



STATE RECORDS COMMISSION OF WESTERN AUSTRALIA

MINUTES OF MEETING HELD ON 2 AUGUST 2013 AT ALBERT FACEY HOUSE, PERTH

PRESENT:

Mr Colin Murphy (CHAIR)	Auditor General
Mr Sven Bluemmel	Information Commissioner
Mr Chris Field	Parliamentary Commissioner for Administrative Investigations
Ms Justine McDermott	Governor's Appointee
Ms Cathrin Cassarchis (Executive Officer)	State Archivist and Executive Director State Records
Ms Joyce Steveni (A/Executive Secretary)	A/Director State Information Management

MINUTES:

Ms Lena Stekl	Recordkeeping Consultant
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1. Welcome and Apologies

The Chair opened the meeting at 9.40am and acknowledged Leigh Hays and Isabel Smith as apologies.

2. Declaration of conflicts of interest

Nil

3. Notices of urgent business

Nil

4. SRC Minutes of 31 May 2013

4.1 Confirmation and Sign-off of Official Minutes for Publication

The minutes were **CONFIRMED** with minor amendments and signed by the Chair.

4.2 SRC Action List

The State Archivist and Executive Director State Records (State Archivist) confirmed that the first item on the action list, concerning Council of Australian Governments (COAG) National Reform Schemes would be removed as the matter is being addressed at a national level.

The Commission **NOTED** the action list.

5. MATTERS ARISING

5.1 State Records Commission Annual Report 2012-13

The State Archivist spoke to the paper and advised that the first draft of the Annual Report had been circulated to Commissioners via email. A timeline of significant

dates has been presented in the paper, with a view to tabling the Report in Parliament in late September in accordance with the Commission's request.

The Commission remarked that it was pleasing to note the early circulation of the Report and commended the State Records Office (SRO) on the quality of the draft. The Commission **NOTED** the information provided and suggested the following amendments to the text:

- removing the word "*impasse*" from the fourth paragraph on page 3;
- replacing the word "*specialised*" with the word "*sufficient*" or "*adequate*" in the fifth paragraph on page 3; and
- removing the last sentence on page 7, "*The possibility of...*".

The State Archivist **AGREED** to the amendments and asked that any further comments on the draft be provided by 9 August.

6. MONITORING THE OPERATION OF AND COMPLIANCE WITH THE ACT

6.1 Organizational Changes

6.1.1 Register - Government Organizations – Administrative Change

The Commission **NOTED** the register with updated information.

6.1.2 Register - Defunct Government Organizations

The Commission **NOTED** the register with updated information.

6.2 Inquiring into Breaches or Possible Breaches

6.2.1 Register – Alleged Breaches

The Commission **NOTED** the register updating current inquiries.

6.2.1.1 Department of the Premier and Cabinet – Destruction of Backup Tapes

The Commission remarked that it was satisfied with the Department of the Premier and Cabinet's response to the recordkeeping issues raised and **AGREED** that no further action was required.

6.3 Breach Methodology – Proposed State Records Office Model

The State Archivist advised that Commissioners Bluemmel and Field had been provided with a copy of the revised breach methodology model for feedback.

The Commissioners remarked that the model was fundamentally sound and that further comment would be provided; however it was important to make it clear that any Commission reporting or actions needed to be proportional to the seriousness of the breach. **NOTED.**

6.4 State Records Commission - Risk Management

Nil

7. COMPLIANCE MONITORING – RECORDKEEPING PLANS

7.1 Compliance Monitoring

The State Archivist advised that the SRO's operational costs are currently being reviewed, including compliance monitoring, to provide input to the Machinery of Government review of the Department of Culture and the Arts.

The Commission **NOTED** the update.

8. APPROVAL OF RECORDKEEPING PLANS (RKPS)

8.1 State Records Advisory Committee (SRAC)

8.1.1 SRAC Minutes – 17 July 2013

The Commission **NOTED** the SRAC minutes.

8.1.2 SRAC Matters Arising

The A/DSIM summarised a proposed amendment to an agency's retention and disposal schedule, considered at the 17 July SRAC meeting, to include disposal decisions for the email and home drive accounts of staff. The staff members' entire email and home drive accounts, would ultimately be retained permanently or destroyed, depending on the officer's position. The SRAC did not endorse the agency's proposal. The SRO considers that storing emails and other records in this manner, rather than being managed in a corporate recordkeeping system, is not good practice and requested the Commission's opinion.

A discussion ensued: acknowledging changing agency practices in light of increasing electronic storage and search capabilities; the need to locate records in order to use or dispose of them, which could be costly if maintained on individual accounts; migration of electronic records maintained for long periods; and the risks of maintaining information in multiple locations without context.

The Commission **NOTED** the information provided and stated that it supported the SRO and SRAC's position regarding the proposed practice. The State Archivist advised that this would be relayed to the SRAC at its next meeting.

8.1.3 SRAC Membership

The Commission **NOTED** the resignation of Dr Kerry Smith and commended her for her valuable association to the SRAC as the Records and Information Professionals Australasia (RIMPA) representative. The SRO has requested nominees from the RIMPA membership.

8.2 Retention and Disposal Schedules for APPROVAL

8.2.1 RD 2013023 – Department of Water

The Commission **APPROVED** the Schedule.

8.2.2 RD 2013041 – Economic Regulation Authority

The Commission **APPROVED** the Schedule.

8.2.3 RD 2013042 – Western Australian Energy Disputes Arbitrator

The Commission **APPROVED** the Schedule.

8.2.4 RD 2011047/2 – Department of Education (incorporating the Teacher Registration Board of Western Australia)

The Commission **APPROVED** the Schedule and the proposed restricted access period.

8.2.5 RD 2007033 –Council of Official Visitors Review Report

The Commission **APPROVED** the continuation of the Schedule.

8.2.6 RD 2007005 – Department of Education – School, College and Campus Records - Review Report

The Commission **APPROVED** the continuation of the Schedule.

8.3 Disposal Lists for APPROVAL

Nil

8.4 Outstanding Restricted Access Matters

Nil

8.5 Transfer of State Archives

8.5.1 Requests to Retain State Archives

Nil

8.5.2 Requests to Transfer State Archives to the Custody of the State Records Office

The Commission **NOTED**:

- the application for archival records of the recently privatised Coal Industry Superannuation Board to be transferred to the SRO; and
- the intention for current records and data to be transferred to the new operator, Auscoal.

8.6 Recordkeeping Plans for APPROVAL

8.6.1 RKP 2013018 – Department of Fire and Emergency Services (incorporating the Fire and Emergency Services Ministerial Body)

The Commission **APPROVED** the Recordkeeping Plan and **REQUESTED** submission of the overarching disaster management strategy and disaster plan for all sites by 31 December 2013 and 31 December 2014 respectively.

- 8.6.2 RKP 2013027 – Department of Education (incorporating the Teacher Registration Board of Western Australia)**
APPROVED.
- 8.6.3 RKP 2013036 – WA Country Health Service**
APPROVED
- 8.6.4 Amended RKP 2013024 – Construction Industry Long Service Leave Payments Board**
APPROVED
- 8.6.5 Amended RKP 2013025 – Shire of Cranbrook**
The Commission **APPROVED** the Recordkeeping Plan and **REQUESTED** submission of the records disaster management plan by 30 March 2014.
- 8.6.6 Amended RKP 2013026 – Chemistry Centre**
APPROVED
- 8.6.7 Amended RKP 2013030 – Shire of Goomalling**
APPROVED
- 8.6.8 Amended RKP 2013031 – Shire of Northam**
APPROVED
- 8.6.9 Amended RKP 2013032 – Independent Market Operator**
APPROVED
- 8.6.10 Amended RKP 2013035 – Town of Bassendean**
The Commission **APPROVED** the Recordkeeping Plan and **REQUESTED** submission of the disaster management plan for records by 31 March 2014.
- 8.6.11 Amended RKP 2013038 – Shire of Quairading**
The Commission **APPROVED** the Recordkeeping Plan and **REQUESTED** submission of the disaster management plan for records by 30 December 2013.
- 8.6.12 Amended RKP 2013039 – Western Australian Tourism Commission**
APPROVED
- 8.6.13 Amended RKP 2013037 – Western Australian Health Promotion Foundation (Healthway)**
APPROVED

8.7 Recordkeeping Plans CLEARED Pending Approval of the Retention and Disposal Schedule

Nil

8.8 RKP Reports – Reports on Reviews

8.8.1 Recordkeeping Plan Reports – Register of Reviews

The A/DSIM advised that all government agencies required to submit reviews to date have done so within the requested timeframes.

The Commission **NOTED** the Recordkeeping Plan review report received from one State government agency.

8.9 Progress Report – Recordkeeping Plan and Retention and Disposal Reviews

Nil

8.10 Schedule 2 and 3 Recordkeeping Plans

Nil

9. LEGISLATION REVIEW ISSUES

9.1 SRO input into new legislation

9.1.1 *Personal Property Securities Act 2009 (Cth)*

The State Archivist advised that the SRO has met with the Department of Commerce representatives, who have indicated that there is no interest at the Federal level to amend the *Personal Property Securities Act* (PPSA) to exclude government records. In addition, the State Solicitor's Office has indicated that there have been no cases in Western Australia involving the PPSA and other Australian records and archives authorities do not appear concerned about potential risk. In light of this, the SRO has revised its position and considers that the risk can be managed at the individual agency level.

The Commission **NOTED** the information provided and advised of its support for the SRO's proposal to update its previous advice to agencies regarding PPSA risk minimisation.

10. MANAGEMENT OF THE STATE ARCHIVES COLLECTION

10.1 Recovery of Estrays

10.1.1 – Estrays – State Library of Western Australia – Government Archives

The State Archivist summarised the current progress with negotiations with the State Library of Western Australia (SLWA) in regard to estrays.

The Commission **NOTED** the update.

11. DIGITAL RECORDS INITIATIVE

11.1 Digital Records Initiative Progress Report

Nil

12. ESTABLISHING STANDARDS AND GUIDELINES

12.1 Register – Publications Review and Development

The State Archivist advised that the previous registers for Standards and guidelines have now been incorporated into a single publications register. The priority list has been reviewed and completion dates are indicated alongside high priority items.

The Commission suggested that the new “Cloud Computing” Standard be renamed to “Cloud Storage” or “Cloud Facilities”, or something more appropriate. The State Archivist **AGREED**.

The Commission **NOTED** the register.

13. ITEMS FOR INFORMATION

13.1 State Records Office Operational Activities

The A/DSIM advised that the Department of Finance’s Shared Services decommissioning project is progressing well. The draft Retention and Disposal Schedule for Shared Services records is almost complete and will be submitted to the next SRAC meeting.

The Commission **NOTED** the report.

13.2 State Records Commission Activities

Commissioners Murphy, Bluemmel and McDermott attended the Margaret Medcalf Award ceremony on 19 June.

NOTED.

14. PUBLIC PROGRAMS AND OUTREACH ACTIVITIES

14.1 Public Programs and Outreach Activities

The State Archivist advised that speakers for the 2013 and 2014 Geoffrey Bolton Lectures have been secured and requested that the Commissioners note that the 2013 Lecture will be held on 27 September at Government House. ABC Radio National has agreed to record and broadcast both Lectures.

The State Archivist thanked Commissioner McDermott for her participation on the 2013 Margaret Medcalf Award judging panel and Commissioner Murphy for officiating the Award ceremony.

The Commission **NOTED** the report.

15. STATE ARCHIVIST'S REPORT

15.1 State Archivist's Report

The State Archivist spoke to the paper and summarised developments in relation to SRO strategic and financial matters.

The Commission remarked that the proposed exhibition at Parliament House presented an excellent visibility opportunity and recommended it be pursued, particularly since the Minister for Culture and the Arts (the Minister) has indicated his support.

The Chair advised that he had recently met with the Acting Director General (A/DG) of the Department of Culture and the Arts (DCA) to apprise him of the Commission's role and to discuss the ongoing separation of collections from the SLWA and compliance monitoring funding.

The Chair **REQUESTED** that the Commission's Annual Report include statements about working with the SLWA to resolve the collections separation issue and the difficulty in budgeting for compliance monitoring in the current government climate. The State Archivist **AGREED**.

Commissioner Field expressed his appreciation of the State Archivist's ongoing work with the SRO's budget constraints and of the Chair's work to represent the Commission throughout the budget and SLWA separation issues.

The State Archivist advised that she will be meeting with a Department of Treasury representative in regard to the DCA Machinery of Government review. The SRO is currently reviewing its budget in terms of meeting its responsibilities under the *State Records Act 2000*. As a saving in the 2013-14 Budget, the State Archivist suggested that no regional Commission meeting in that year. The Commission **AGREED**.

The Commission **NOTED** the State Archivist's report.

16. NEW BUSINESS

16.1 General Disposal Authority for Government Records

The A/DSIM summarised the progress on the draft General Disposal Authority (GDA) for Government Records. An exposure draft of this GDA was published to the SRO's website for comment and has been well received. Feedback is being incorporated into the document and it is expected that the GDA will be considered at the September 2013 SRAC meeting and subsequently submitted to the December 2013 Commission meeting for approval.

The Commission suggested that the GDA could be submitted for approval out of session. The State Archivist **AGREED** and advised that a formal launch of the GDA was being arranged for 13 December.

The meeting closed at 11.10am.

NEXT MEETING – Friday 6 December at 9.30am – Alexander Library Building Board Room

SIGNED.....

DATED.....

Mr Colin Murphy
State Records Commission