



STATE RECORDS COMMISSION OF WESTERN AUSTRALIA

MINUTES OF MEETING HELD ON 6 December 2013 AT THE ALEXANDER LIBRARY BUILDING

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 Isabel Smith (Executive Secretary)	Director State Information Management
Mr Leigh Hays	Director Archives

MINUTES:

Mrs Joyce Steveni	Recordkeeping Consultant
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1. Welcome and Apologies

The Chair opened the meeting at 9.35am.

2. Declaration of conflicts of interest

2.1 Western Australian Universities Sector Disposal Authority

Commissioner McDermott acknowledged a potential conflict of interest with agenda item 8.2.14 and excused herself from comment and consideration of this item.

2.2 Office of the Auditor General Retention and Disposal Schedule and Recordkeeping Plan

The Chair acknowledged a potential conflict of interest with agenda items 8.2.23 and 8.6.9 and excused himself from comment and consideration of these items.

3. Notices of urgent business

The Commission **NOTED** that the lunch which was to follow the meeting has been postponed until sometime in the New Year.

4. SRC Minutes of 2 August 2013

4.1 Confirmation and Sign-off of Official Minutes for Publication

The minutes were **CONFIRMED** with no amendments and signed by the Chair.

4.2 SRC Action List

The State Archivist advised that:

1. The Director Archives (DA) is progressing the matter regarding formalised agreements for State archives retained by Universities;
2. The matter regarding compensation for recovered records will be progressed following the Archives Keeping Plan review; and
3. The proposed Murdoch University Partnership will be addressed at agenda item 15.1.

The Commission **NOTED** the action list.

5. MATTERS ARISING

5.1 State Records Commission Annual Report 2012-13

The State Archivist confirmed that the Annual Report had been tabled in Parliament on 16 September 2013. The State Archivist advised that a planning meeting has been held for the 2013-14 Annual Report and proposed 'value' as the theme for the report, focussing on the value of State Records Office (SRO) initiatives such as ORDA to support government agencies. Several matters had also been noted for inclusion to enhance the report, including a new photograph which will be taken at the next Commission meeting.

The meeting discussed the 'value' theme, including the importance of reminding clients of the value of SRO to agencies in services provided and its efficiency; the value of the archives; the value of effective business operations and recordkeeping practices; and the ultimate value to the community.

The Commission noted the information provided and **AGREED** to 'value' as the theme for the SRC 2013-14 Annual Report.

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.

6.3 Breach Methodology – Proposed State Records Office Model

6.3.1 SRC Policy – Breach Investigation Methodology

The Commission requested that the Purpose be amended to replace "This Policy..." with "This Methodology...". **AGREED**

The Commission acknowledged the work and **NOTED** the final document.

6.4 State Records Commission - Risk Management

Nil

7. COMPLIANCE MONITORING – RECORDKEEPING PLANS

7.1 Compliance Monitoring

The State Archivist advised that this item will be addressed at 15.1.

8. APPROVAL OF RECORDKEEPING PLANS (RKPS)

8.1 State Records Advisory Committee (SRAC)

8.1.1 SRAC Minutes – 25 September 2013

The Commission **NOTED** the SRAC minutes.

8.1.2 SRAC Minutes – 13 November 2013

The Commission **NOTED** the SRAC minutes.

8.1.2a SRAC Minutes – November 2013

The Director State Information Management (DSIM) reported that the November meeting did not have a quorum due to one member being ill on the day however, the meeting proceeded on the proviso that the Agenda items would be provisionally endorsed and the absent member would be given an opportunity to endorse the Schedules out of session. Full endorsement has now been obtained.

The Commission **NOTED** the minutes and the report provided.

8.1.3 SRAC Membership – Nomination

The DSIM confirmed that the proposed nominee for Member is Perth based and the proposed nominee for Deputy although based in Bunbury is prepared to travel to Perth when necessary.

The Commission **APPROVED** the recommendations for the appointment of Member and Deputy to represent the Australian Society of Archivists on the State Records Advisory Committee.

8.2 Retention and Disposal Schedules for APPROVAL

8.2.1 RD 2013017 – General Disposal Authority for State Government Information

The DSIM confirmed the title of the disposal authority as the General Disposal Authority (GDA) for 'State Government Information' rather than 'State Government Records'.

The State Archivist acknowledged the work of the DSIM and her team and others who assisted in the development of the GDA.

The meeting discussed the launch event planned for 11 December. The event is aimed at senior government and intended to promote an appreciation and understanding of government information management matters and SRO activities. It is intended to highlight the correlation between the Archive collection and the identification, collection and preservation of Archival records through the implementation and use of the GDA. The DSIM explained that the GDA provides benefits to agencies by bringing together common records across government; combining three previous GDAs; and

ensuring that agencies will no longer need to include record categories that are covered by the GDA in their own Retention and Disposal Schedules, thereby significantly reducing their workload.

Fiona Stanley will be speaking about the value of archives at the launch. Response to date has been encouraging with a good number of CEOs or their deputies indicating their attendance.

Information sessions for recordkeeping practitioners are planned for February 2014.

The Chair commended all those involved in the development of the GDA.

The Commission **APPROVED** the GDA for State Government Information and the withdrawal of the General Disposal Authorities for Administrative Records; Human Resource Management Records; and Financial and Accounting Records which are now superseded.

8.2.2 RD 2013029 – WorkCover WA

The Commission **APPROVED** the Schedule.

8.2.3 RD 2013040 – Department of Finance (Office of Shared Services Decommissioning)

The State Archivist advised that SRO staff had attended meetings relating to the Shared Services (SS) decommissioning and had worked closely with SS on developing this Schedule.

The DSIM commended the professionalism and dedication of the SS decommissioning staff throughout the project who were appreciative of the SRO advice provided to them. The project took time to identify all information, data and records, some of which were stored in email and on hard drives, to ensure that all agency information was identified and returned to the correct agencies. Information unable to be returned to agencies is being effectively managed by the department of Finance. The DSIM advised that so thorough was the commitment of the project team to successful outcomes that they had even developed a method for archiving the former OSS website.

Whilst the Schedule will require amendment as additional records were recently discovered and are currently being fully identified and appraised for value. The Commission noted the DSIM's positive impressions of the project and suggested that the decommissioning project would make an interesting case study for the annual report.

The Commission **APPROVED** the Schedule.

8.2.4 RD 2013055 – Forest Products Commission

The Commission **APPROVED** the Schedule.

8.2.5 RD 2013045 – State Administrative Tribunal (Department of the Attorney General)

The Commission **APPROVED** the Schedule with the application for non-transfer of State archives and restricted access matters to be submitted at a later date.

- 8.2.6 RD 2013046 – Public Trustee (Department of the Attorney General)**
The Commission **APPROVED** the Schedule.
- 8.2.7 RD 2013047 – Parliamentary Counsel’s Office (Department of the Attorney General)**
The Commission **APPROVED** the Schedule and the proposed restricted access periods.
- 8.2.8 RD 2013048 – Office of the Public Advocate (Department of the Attorney General)**
The Commission **APPROVED** the Schedule.
- 8.2.9 RD 2013049 – Department of the Attorney General – Corporate Services**
The Commission **APPROVED** the Schedule.
- 8.2.10 RD 2013051 – Solicitor General’s Office (Department of the Attorney General)**
The Commission **APPROVED** the Schedule and the proposed restricted access periods.
- 8.2.11 RD 2013054 – Department of Regional Development and Department of Lands**
The Commission **APPROVED** the Schedule.
- 8.2.12 RD 2009096/2 – Western Australian Land Information Authority (Landgate)**
The Commission **APPROVED** the amendment to the Schedule and the application to retain certain State archives
- 8.2.13 RD 2009021/1 – Western Power**
The Commission **APPROVED** the amendment to the Schedule.
- 8.2.14 SD 2011011/1 – WA Universities Sector Disposal Authority**
Commissioner McDermott abstained from the discussion of this item.
The Commission **APPROVED** the amendment to the Authority.
- 8.2.15 SD 2012045 – Sector Disposal Authority for State Training Providers**
The Commission **APPROVED** the Authority.
- 8.2.16 SD 2013050 – Sector Disposal Authority for Court and Tribunal Services (Department of the Attorney General)**
The Commission **APPROVED** the Authority with the application for non-transfer of State archives and restricted access matters to be submitted at a later date.
- 8.2.17 SD 2013001 – Sector Disposal Authority for Land Development Authorities**
The Commission **APPROVED** the Authority.

8.2.18 RD 2008024 Salaries and Allowances Tribunal

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

8.2.19 RD 2003066 – WA Sports Centre Trust

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

8.2.20 RD 2006004 – Bunbury Water Board (AQWEST)

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

8.2.21 RD 2008010 – Chemistry Centre

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

8.2.22 RD 2008012 – Legal Aid Western Australia

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

8.2.23 RD 2008031 – Office of the Auditor General

The Auditor General abstained from the discussion of this item.

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

The Commission requested that Schedules with items for noting are flagged on future Agenda. **AGREED.**

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 State Archivist advised that the transfer had been accepted due to the small volume of materials involved. The Director Archives advised that the SRO has made it clear that transfers of archives are not being accepted, however, a small space is available for special cases.

The Commission **NOTED** the application to transfer sealed Acts of WA Parliament to the SRO's non-archival storage conditions which is considered safer than current storage.

8.6 Recordkeeping Plans for APPROVAL

8.6.1 RKP 2012031 – Metropolitan Redevelopment Authority

The Commission **APPROVED** the Recordkeeping Plan and **REQUESTED** submission of the disaster recovery plan by 31 July 2014.

8.6.2 RKP 2013052 – Department of Finance (incorporating the Public Utilities Office)

The Commission **APPROVED** the Recordkeeping Plan and **REQUESTED** submission of the disaster recovery plan by 31 December 2014.

8.6.3 RKP 2013057 – Mental Health Commission

The Commission **APPROVED** the Recordkeeping Plan and **REQUESTED** submission of the disaster management strategy by 31 December 2014

8.6.4 RKP 2013059 – Office of the Environmental Protection Authority

The Commission **APPROVED** the Recordkeeping Plan and **REQUESTED** submission of the disaster management plan by 31 December 2014

8.6.5 Amended RKP 2013054 – Department for Child Protection and Family Support

The Commission **APPROVED** the Recordkeeping Plan and **REQUESTED** submission of the disaster recovery plan by 31 July 2014.

8.6.6 Amended RKP 2013055 – Shire of Kulin

APPROVED

8.6.7 Amended RKP 2013056 – State Records Office of Western Australia

Commissioner McDermott advised that she had reviewed and provided comment regarding the SRO Recordkeeping Plan but was yet to receive a response. The DSIM apologised for the lack of response, advised that the comment had been considered and incorporated into the Plan where appropriate and stated that the SRO will provide a response to Commissioner McDermott's comment.

The Commission **APPROVED** the Recordkeeping Plan.

8.6.8 Amended RKP 2013060 – Department of Health

The State Archivist referred to a newspaper report which references a possible breach of the *State Records Act* by the Department of Health.

The Commission advised caution when acting on media reports but considered that the SRO could request an explanation from the Department. The State Archivist agreed.

The Commission **APPROVED** the Recordkeeping Plan.

8.6.9 Amended RKP 2013061 – Office of the Auditor General

The Auditor General abstained from the discussion of this item.

APPROVED

8.6.10 Amended RKP 2013062 – Shire of Narrogin

The Commission **APPROVED** the Recordkeeping Plan and **REQUESTED** submission of the records disaster recovery plan by 31 December 2014.

8.6.11 Amended RKP 2013063 – Corruption and Crime Commission APPROVED

8.6.12 Amended RKP 2013064 – Salaries and Allowances Tribunal 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 DSIM advised that two agencies had submitted unsatisfactory Recordkeeping Plan Review Reports. One agency had submitted an amended Plan which did not address any of the changes identified in the review report and the other had identified that the Plan required amendment but had not completed the review form or indicated a submission date. The SRO intends to request that those agencies submit an amended Plan by 30 November 2014 (see also discussion at 8.9.2).

The Commission considers that the size of an agency and the resources available to them should be taken into account when assessing the standard of review reports. However, the Commission considered that there may be circumstances where it is appropriate to accept the documentation provided by the agency but noting that further improvement is required. In circumstances where a commitment is made to amend but that commitment is not met, it is appropriate for the SRO to write to agencies and put them on notice that the matter will be reported to the Commission.

The Commission supported the action to request an amended Plan from the agencies by 30 November 2014.

The Commission **NOTED** the Recordkeeping Plan review reports received.

8.9 Progress Report – Recordkeeping Plan and Retention and Disposal Reviews

8.9.1 Progress Report - Recordkeeping Plan and Retention and Disposal Schedule Reviews

The Commission **NOTED** the information provided.

8.9.2 Progress Report – Recordkeeping Plan Commitments Overdue

The DSIM referred to the discussion at item 8.8.1 and referred to the draft letter for consideration by the Commission. This matter relates to agencies that had made a commitment to submit an amended

Plan and despite contact and offers of assistance by the SRO those Plans have not been received.

The Commission suggested amendments to the second paragraph in the letter to remove the first sentence and reword the second sentence. The DSIM agreed.

The Commission noted the information provided and **ENDORSED** the proposed action to be taken when an agency's commitment to submit an amended Plan is not met.

8.10 Schedule 2 and 3 Recordkeeping Plans

8.10.1 Schedule 3 Organizations – Bunbury Water Corporation and Busselton Water Corporation

The Commission **APPROVED** an order to be published in the Government Gazette for the new Schedule 3 organizations to submit their Recordkeeping Plans to the relevant Minister by 30 June 2014.

8.10.2 Amended RKP 2013058 - Electricity Retail Corporation (Synergy)

The Commission **NOTED** the information provided.

9. LEGISLATION REVIEW ISSUES

9.1 SRO input into new legislation

Nil

9.2 State Records Act 2000

9.2.1 State Records Act 2000 - Amendment

The Commission noted the information provided and **ENDORSED** the SRO's proposed action to provide documentation to prescribe and Gazette the timing of Record Keeping plans for the new Schedule 3 corporations discussed at item 8.10.1.

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 advised that SRO staff had reviewed the list of State archives in the State Library of Western Australia (SLWA) collections and identified the State government archives which should legally be transferred to the State Archives Collection. These are non-contentious items which under the *State Records Act* are State archives. Some of the archives identified fall into the category of **restricted access**, for which the SRO is keen to take immediate custody.

The Chair felt that this is now a relatively straightforward and compelling case and he is keen to see identified State archives,

including restricted access archives, transferred to the State Archives Collection.

The Commission **NOTED** the update.

10.2 Applications to Restrict Access to records in the State Archives Collection

10.2.1 Application to Restrict Archives in the State Archives Collection – Western Australia Police

The Commission **APPROVED** the application to increase the restricted access period for identified Western Australia Police general files about exgratia payments in the State archives collection from 25 to 50 years (WAS488).

11. DIGITAL RECORDS INITIATIVE

11.1 Digital Records Initiative Progress Report

The DSIM provided an update on the recent Australasian Digital Records Initiative (ADRI) teleconference advising that the two main areas of discussion are email management and website capture.

The DA provided an update on the ADRI/NSLA (National and State Libraries Australasia) joint digital preservation group meeting which focussed on commonalities and working together; database preservation; sharing infrastructure; and technical problems with preserving digital data.

The Chair recognised the importance for SRO to keep abreast of these issues which have a global impact.

The State Archivist recommended that Item 11 be removed from future Agenda as these matters are generally discussed under other Agenda items. The original “Digital Records Initiative” related to quite a different and specific purpose which is no longer part of the SRO work plan.

The Commission **ENDORSED** removal of this item from future Agenda.

12. ESTABLISHING STANDARDS AND GUIDELINES

12.1 Register – Publications Review and Development

The State Archivist advised that the SRO has been participating in the Department of Finance project to develop a Cloud Computing Strategy. The SRO is also developing the Cloud Computing Guideline for agencies.

The DSIM advised that the Guideline: Administrative Change has been drafted and is expected to be published in February 2014. The Guideline is particularly relevant for local government in light of the proposed amalgamations.

The Commission **NOTED** the register.

13. ITEMS FOR INFORMATION

13.1 State Records Office Operational Activities

The State Archivist reported on the outcome of discussions with the Returned Soldiers League (RSL) regarding the Centenary of ANZAC project and advised that the RSL had agreed to partner with the SRO in the project.

The Commission **NOTED** the report.

13.2 State Records Commission Activities

Commissioners Murphy, Field and McDermott attended the Geoffrey Bolton Lecture on 27 September 2013.

NOTED

14. PUBLIC PROGRAMS AND OUTREACH ACTIVITIES

14.1 Public Programs and Outreach Activities

The State Archivist spoke to the paper and advised that Marcia Langton's Geoffrey Bolton Lecture will be broadcast on ABC Radio National on 10 December and will be published on their website and the Big Ideas website. Commissioner Field suggested the Australian Public Affairs Channel (APAC) on Foxtel as a possible outlet for the lecture.

The series of Fremantle Prison photographs of moustachioed prisoners was displayed on the screen in the Perth Cultural Centre for Movember and resulted in a 400% increase in website traffic.

The Commission **NOTED** the report.

15. STATE ARCHIVIST'S REPORT

15.1 State Archivist's Report

The State Archivist spoke to the paper advising that the SRO is awaiting the outcome of the Machinery of Government Review of the DCA. The State Archivist and Chair felt their meeting and separate conversations with Richard Muirhead had been worthwhile and believe that Mr Muirhead has a good understanding of the SRO; the question of where SRO fits within DCA or government; and its financial situation. It is expected that the report will be sent directly to the Minister before the end of the year.

The Commission considered the SRO hosting the Institute of Public Administration Australia (IPAA) Christmas function was a good partnership and may provide opportunities in respect of the National IPAA Conference to be held in Perth next year.

With regard to the Business Case, the State Archivist advised that she has an appointment to meet with the Minister in January and will carefully consider the priorities to be addressed in the half hour allocated for the meeting. The State Archivist requested the Chair to meet with the Minister following her meeting in January. The Chair advised that he would await the outcome of the State Archivist's meeting with the Minister and then consider.

The State Archivist advised that she will continue to liaise with Murdoch University to explore possible projects in the digital arena.

The Chair considers that the issue around the repository is that whilst recognising the current budgetary restraints, government needs to identify which year it will fit into.

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

16. NEW BUSINESS

16.1 Report – Archives Keeping Plan Review 2013

The DA advised that five years have elapsed since the Archives Keeping Plan was approved and it was time to review the Plan and report to the Commission. The review found that whilst the structure of the Plan is sound, the content requires updating to include, for example, the new archive management system and how it will be implemented; the growth in digital archives; changes in day to day operations (such as the preservation program and responsibility for running Dianella). The DA proposed that a revised Plan will be presented for the Commission's consideration at the next meeting.

The Commission **NOTED** the report.

16.2 State Records Commission Proposed Meeting Schedule 2014

The DSIM distributed the proposed meeting schedule for 2014 and the register of past regional meetings. The Commission noted the proposed meeting dates and will confirm their availability to the SRO.

The Commission discussed the proposed regional meeting and **AGREED** that the cost is modest; it is appreciated by the regions; and if it can be coordinated with travel planned by the Commissioners, it is worthwhile to proceed this year. Kalgoorlie was provisionally **AGREED** as the venue for the 2014 regional meeting which would align with the Commissioners other regional commitments. Commissioner Field will advise of suitable dates.

16.3 Meeting Agenda, Minutes and Papers

The Chair enquired whether meeting papers could be provided in electronic format for future meetings, either via email or other suitable, secure method and suggested a trial running parallel hard and electronic copy papers for the first meeting, then continuing with electronic only. The DSIM agreed to investigate the best delivery method.

The meeting closed at 11.15am.

NEXT MEETING – Friday 21 March at 9.30am – Alexander Library Building Board Room

SIGNED.....

DATED.....

Mr Colin Murphy
State Records Commission