



# STATE RECORDS COMMISSION OF WESTERN AUSTRALIA

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## MINUTES OF MEETING HELD ON 31 MAY 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	Deputy Director Archives

### MINUTES:

Ms Lena Stekl	Recordkeeping Consultant
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#### 1. Welcome and Apologies

The Chair opened the meeting at 9.35am.

#### 2. Declaration of conflicts of interest

Commissioner McDermott and Commissioner Field each acknowledged a potential conflict of interest with agenda item 8.6.3 and excused themselves from comment and consideration of this item.

#### 3. Notices of urgent business

Nil

#### 4. SRC Minutes of 5 December 2012

##### 4.1 Confirmation and Sign-off of Official Minutes for Publication

The minutes were **CONFIRMED** and signed by the Chair.

##### 4.2 Confirmation of Published Minutes

The Commission **APPROVED** the minutes for publication to the website.

##### 4.3 SRC Action List

The State Archivist and Executive Director State Records (State Archivist) advised that the Council of Australasian Archives and Records Authorities agreed at its last meeting that individual jurisdictions would determine their own approaches to recordkeeping for the Council of Australian Governments (COAG) National Reform Schemes. The State Records Office (SRO) regards this as a high priority.

The State Archivist further advised that the SRO was participating on a working group to develop a retention and disposal schedule for administrative records of national bodies.

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 suggested theme for the 2012-13 State Records Commission (the Commission) Annual Report (the Report), should be "Efficiencies throughout Government".

The Commission remarked that the quality of the Report had improved with each year and **REQUESTED** that the timeline be amended to allow for actions to be completed a month earlier, with a view towards tabling in Parliament by the end of September 2013. The State Archivist **AGREED**.

### **5.2 Schedule of State Records Commission Meetings 2013**

The State Archivist advised that all Department of Culture and the Arts (DCA) portfolio agencies had been requested to review existing programs and identify savings, as covered in her paper under agenda item 15.1. As a potential saving she proposed that the August 2013 Commission meeting be held locally, rather than in a regional location as originally planned. The Commission **AGREED**.

## **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.

The Chair remarked that one of the agencies identified in the register was examined as part of the Office of the Auditor General's records management audit which is currently in progress. The Director State Information Management (DSIM) **AGREED** to await the release of this audit before taking further action on this matter.

### 6.2.1.1 Western Power – Wood Pole Management

The Commission remarked that it was satisfied with Western Power'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 DSIM advised that a draft breach investigation methodology had been developed in response to the Commission's request. The Commission expressed appreciation of the work undertaken to develop the model and commented on its importance for the prioritization of resources.

In discussing the model, the Commission stated that investigations and subsequent recommendations should reflect the proportionality and materiality of the allegation. This would affect how quickly a matter should be dealt with and also whether it should be reported to Parliament, should a breach be determined. It was also noted that section 64 of the *State Records Act 2000* (the Act) states that the Commission may exercise its discretion in reporting breaches to Parliament, rather than this being mandatory. The DSIM **AGREED** to amend the wording accordingly.

The Commission queried whether, under Step 1, agency personnel would be able to advise how serious an incident was. The DSIM advised that the intent at this step is to gain an impression of how widespread a practice may be within an agency and **AGREED** to amend the wording.

The DSIM advised that Step 2 of the model is intended to establish whether an allegation requires investigation or whether it constitutes inappropriate practice of a minor nature. The Commission **AGREED** that it would not be necessary to advise on matters relating to the latter scenario.

Commissioner Field advised that he and Commissioner Bluemmel would be willing to provide further comment on the draft. The DSIM **AGREED** to forward the documentation electronically following amendment.

### 6.4 State Records Commission - Risk Management

Nil

## 7. COMPLIANCE MONITORING – RECORDKEEPING PLANS

### 7.1 Compliance Monitoring

The State Archivist advised that due to the recent State election and the resignation of the Department of Culture and the Arts' (DCA) Director General, there has been no progress with the funding submission for the Minister for Culture and the Arts (the Minister). The matter is currently being discussed with the Acting Director General of the DCA, however the success of such a submission is uncertain given the current budget constraints.

The Commission **NOTED** the update.

## **8. APPROVAL OF RECORDKEEPING PLANS (RKPS)**

### **8.1 State Records Advisory Committee (SRAC)**

#### **8.1.1 SRAC Minutes – 20 February 2013**

The Commission **NOTED** the SRAC minutes.

The DSIM advised that SRAC meetings and processing of Retention and Disposal Schedules would be suspended temporarily, unless disposal authorities are deemed urgent or require exceptional attention. The SRAC have expressed willingness to be flexible about the requirement for meetings and have offered to provide comment on draft Standards as required.

#### **8.1.2 SRAC Membership**

The Commission **NOTED** the resignation of Dr Roberta Cowan and commended her for her valuable association with the SRAC as the Australian Society of Archivists (ASA) representative and that the SRO will request a replacement nominee from the ASA membership.

### **8.2 Retention and Disposal Schedules for APPROVAL**

#### **8.2.1 RD 2012041 – Parliamentary Services Department**

The Commission **ENDORSED** the Schedule for approval by the President of the Legislative Council and the Speaker of the Legislative Assembly.

#### **8.2.2 RD 2012040 – State Solicitor's Office**

The Commission **APPROVED** the Schedule and the restricted access periods.

#### **8.2.3 RD 2012003 – Department for Communities**

The Commission **APPROVED** the Schedule, the restricted access periods and the application to retain certain State archives.

#### **8.2.4 RD 2013005 – State Library of Western Australia**

The Commission **APPROVED** the Schedule.

#### **8.2.5 SD 2012021/1 – Sector Disposal Authority for Port Authorities**

The Commission **APPROVED** the amendment to the Authority.

#### **8.2.6 RD 2004278/2 – Water Corporation**

The Commission **APPROVED** the amendment to the Schedule.

#### **8.2.7 RD 2006021/1 – Racing and Wagering Western Australia**

The Commission **APPROVED** the amendment to the Schedule.

#### **8.2.8 RD 2007021/1 – State Records Commission**

The Commission **ENDORSED** the amendment to the Schedule for approval by the Minister.

### **8.2.9 RD 2006036 – Governor’s Establishment Review Report**

The Commission **APPROVED** the continuation of the Schedule, the restricted access periods and the application to retain certain State archives.

### **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 Deputy Director Archives (DDA) advised that the SRO continues to receive enquiries from government organizations about the possibility of transferring State archives, with some queries arising in response to imminent Machinery of Government changes.

The Commission **NOTED** the update.

### **8.6 Recordkeeping Plans for APPROVAL**

#### **8.6.1 RKP 2012050 – Curtin University Student Guild**

The Commission **APPROVED** the Recordkeeping Plan and **REQUESTED** submission of the records disaster management plan by 30 November 2013.

#### **8.6.2 RKP 2013014 – Murdoch University Student Guild**

The Commission **APPROVED** the Recordkeeping Plan and **REQUESTED** submission of the records disaster management plan by 30 November 2013.

#### **8.6.3 RKP 2013016 – University of Western Australia Student Guild**

The Commission **APPROVED** the Recordkeeping Plan and **REQUESTED** submission of the records disaster management plan by 30 November 2013.

#### **8.6.4 RKP 2013021 – Peel Health Campus Inquiry**

The DSIM advised that this Inquiry is now complete and that the records will be maintained by the Public Sector Commission.

**APPROVED**

#### **8.6.5 Amended RKP 2012029 – Shire of Dumbleyung**

The Commission **APPROVED** the Recordkeeping Plan and **REQUESTED** submission of the records disaster management plan by 30 September 2013.

**8.6.6 Amended RKP 2012042 – Department of Corrective Services  
APPROVED**

**8.6.7 Amended RKP 2012043 – Heritage Council (State Heritage Office)  
APPROVED**

**8.6.8 Amended RKP 2012044 – City of Rockingham  
APPROVED**

**8.6.9 Amended RKP 2012046 – City of Wanneroo  
APPROVED**

**8.6.10 Amended RKP 2012047 – Town of Cambridge  
APPROVED**

**8.6.11 Amended RKP 2012048 – Art Gallery of Western Australia  
APPROVED**

**8.6.12 Amended RKP 2013004 – Shire of Plantagenet  
APPROVED**

**8.6.13 Amended RKP 2013007 – Shire of Koorda  
APPROVED**

**8.6.14 Amended RKP 2013008 – Shire of Northampton  
APPROVED**

**8.6.15 Amended RKP 2013009 – Forest Products Commission**

The Commission **APPROVED** the Recordkeeping Plan and **REQUESTED** submission of the records disaster management plan by 31 December 2013.

**8.6.16 Amended RKP 2013010 – Shire of Shark Bay**

The Commission **APPROVED** the Recordkeeping Plan and **REQUESTED** submission of the records disaster management plan by 31 December 2013.

**8.6.17 Amended RKP 2013011 – Equal Opportunity Commission**

The Commission **APPROVED** the Recordkeeping Plan and **REQUESTED** submission of the records disaster management plan by 31 December 2013.

**8.6.18 Amended RKP 2013012 – Shire of Mount Marshall  
APPROVED**

**8.6.19 Amended RKP 2013013 – Shire of Trayning  
APPROVED**

## **8.6.20 Amended RKP 2013109 – Shire of Meekatharra**

**APPROVED**

## **8.6.21 Amended RKP 2013002 – State Records Commission**

The Commission **ENDORSED** the Recordkeeping Plan for submission to the Minister.

## **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 the Recordkeeping Plan review reports will now be presented in a register format indicating due date, date received, and future actions following review for each RKP.

The Commission endorsed the approach and **NOTED** the Recordkeeping Plan review reports received for ten local government agencies and one State government agency.

## **8.9 Progress Report – Recordkeeping Plan and Retention and Disposal Reviews**

The DSIM spoke to the paper and advised that, in response to the Commission's request, the format of this report had been simplified to indicate the Recordkeeping Plan and Retention and Disposal Schedule workload for the remainder of the calendar year.

The DSIM advised that the SRO is planning to simplify its Recordkeeping Plan evaluation processes, with the expectation that agencies will assume full responsibility for practices and commitments described in their RKPs. This would allow the SRO to focus on initiatives which would assist agencies, such as standards development and training.

The Commission **REQUESTED** that it be alerted to any instances where reviews were not completed within the required timeframe. The DSIM advised that the SRO monitors and follows up with agencies to ensure that review reports are always submitted within five years, as required under the Act.

The Commission **ENDORSED** the approach to future RKP processing and noted the information provided.

## **8.10 Schedule 2 and 3 Recordkeeping Plans**

### **8.10.1 RKP 2013006 – Legislative Assembly**

The Commission **NOTED** the review and amendment of the Legislative Assembly's Recordkeeping Plan and its approval by the Speaker of the Legislative Assembly.

## 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 she and the DSIM will be meeting with the Department of Commerce on 10 June to discuss the possibility of amending the *State Records Act 2000* to exclude State Records from the *Personal Property Securities Act*. An update will be provided at the next meeting.

The Commission expressed concern that amendment of the State Act would create an unfortunate position with the State being at odds with Commonwealth legislation and therefore suggested it might be better to explore an alternative approach with the Department of Commerce. The State Archivist **AGREED**.

#### 9.1.2 COAG National Reform Schemes

The State Archivist advised that the SRO continues to work with the national working group to ensure appropriate practices are established and implemented regarding the recordkeeping COAG national reforms schemes.

**NOTED.**

## 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 status of negotiations with the State Library of Western Australia (SLWA) on the outstanding transfer of State archives and requirements of the Act.

#### 10.1.2 – Applications to Restrict Access to Records in the State Archives Collection

The DDA advised that the Department of Education and the Western Australia Police have applied to restrict access to certain items in the State Archives collection.

Commissioner Bluemmel queried whether the Department of Education's application should specify that public access should be sought via an application to the agency, rather than application to the SRO as stated in the paper. The DDA confirmed that this was the case and **AGREED** to amend relevant documentation accordingly.

The Commission **APPROVED** the applications to restrict access to the consignments identified.



## 11. DIGITAL RECORDS INITIATIVE

### 11.1 Digital Records Initiative Progress Report

The DSIM advised that the SRO participated on an Australasian Digital Records Initiative teleconference on 4 April. The SRO has received several requests from other State archives authorities to implement the Online Retention and Disposal Application (ORDA). At present, ORDA is being incrementally adopted as WA State organizations develop or amend Schedules, and the draft General Disposal Authority for Government Records has also been added. The SRO has nominated ORDA for the 2013 Premier's Awards under the "Improving Government" category.

The Commission **NOTED** the information provided.

## 12. ESTABLISHING STANDARDS AND GUIDELINES

### 12.1 Register - SRC Standards

The DSIM advised that development of a Standard for cloud computing has been identified as a high priority, as well as the review of *Standard 6: Outsourcing*. Other Standards are in need of review.

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

### 12.2 Register - Guidelines

Nil

## 13. ITEMS FOR INFORMATION

### 13.1 State Records Office Operational Activities

The Commission **NOTED** the report.

### 13.2 State Records Commission Activities

Nil

### 13.3 Lonnie Awards – State Records Commission Award 2013

The Commission **NOTED** the presentation of the 2013 State Records Commission Award to the Economic Regulation Authority on 1 March 2013, with a special commendation awarded to the Department of Mines and Petroleum.

## 14. PUBLIC PROGRAMS AND OUTREACH ACTIVITIES

### 14.1 Public Programs and Outreach Activities

The State Archivist advised that Commissioner Murphy will officiate the Margaret Medcalf Award presentation ceremony on 19 June. Invitations for this event are being finalised.

The SRO is currently negotiating a date and speaker for the 2013 Geoffrey Bolton Lecture.

The Commission **NOTED** the report.

## 15. STATE ARCHIVIST'S REPORT

### 15.1 State Archivist's Report

The State Archivist spoke to the paper and elaborated on the Machinery of Government review that proposes returning employing authority arrangements to portfolio agencies.

The State Archivist advised that, at the Minister's request, she toured and reviewed Parliament House premises to consider the possible establishment of a display of State archives. However, there appeared to be limited exhibition space available.

The Commission commented that this would be an important initiative to raise the SRO's visibility within Parliament and suggested that the State Archivist visit all areas, including the Parliamentary dining room, to assess suitability. The State Archivist **AGREED** and will circulate the Ministerial regarding the outcome of the tour for Commissioners' information.

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

## 16. NEW BUSINESS

### 16.1 Partnership Opportunities

The State Archivist spoke to her paper about the SRO's discussions regarding partnership opportunities.

The Commission remarked that this was an innovative initiative which it was willing to support. However, it would be critical to demonstrate that the SRO has followed proper Government process for procurement and that the SRO should work closely with the Department of Finance to ensure that due process is followed. The Commission **REQUESTED** that the SRO firstly advise the Minister about the proposed partnership and the work undertaken so far, emphasising that no formal agreement has been reached, before proceeding.

### 16.2 Formal Agreement for Agencies to Retain Archives

The DDA advised that the SRO is continuing to work with the Western Australian State Universities in regard to developing formal agreements for State archives to be retained on their premises.

The Commission **NOTED** the update.

### 16.3 Collection Management Information System

The DDA summarised the work that has been done so far to source a new Collection Information Management System (CMIS). The SRO is collaborating with the Western Australian Museum (the Museum) to adapt an existing open source collection management program. The adaptations will include new functionality

such as archives repository location details, which will assist with the creation of the register of State archives required under the Act. Other CAARA members have expressed interest in this work as many institutions are seeking replacements for ageing systems.

The Commission queried how the CMIS was being budgeted and the DDA responded that it was being funded from unused salary funds, as well as a contribution from the Museum. Several other State jurisdictions are also likely to contribute as the project progresses.

The Commission **NOTED** the information provided.

The meeting closed at 11.50am.

**NEXT MEETING – Friday 2 August** at 9.30am – Alexander Library Building Board Room

SIGNED.....

DATED.....

Mr Colin Murphy  
State Records Commission