



STATE RECORDS COMMISSION

Perth, Western Australia

Annual Report

2008 / 2009





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CHAIRPERSON'S FOREWORD

I am pleased to present the State Records Commission's eighth annual report, reflecting on recordkeeping milestones in a year which saw major changes in the Commission's membership, and further progress towards realizing the Commission's *Vision for 2011*.

There were two changes to the Commission's membership during 2008-09. On 18 May 2009 Sven Bluemmel commenced duties as Information Commissioner, and State Records Commissioner, on the same day John Lightowlers ceased to be a Commissioner. My colleagues and I are very appreciative of John's interest and active participation in promoting best practice in government recordkeeping during his 18 months service as Commissioner.

In December 2008 Kandy-Jane Henderson resigned as the Governor's appointee to the Commission. Kandy-Jane leaves the Commission as the inaugural Governor's appointee – appointed initially for a three year term in July 2001, and reappointed for further terms in July 2004 and May 2007. Kandy-Jane was also our longest serving member, and made a significant contribution as the only Commissioner with extensive experience as a recordkeeping professional. Kandy-Jane's successor on the Commission is Justine McDermott, whose experience in the field of tertiary education archives and records management will provide the Commission with a new perspective on government recordkeeping in this State.

In December 2008 the first phase of monitoring the level of government organizations' compliance with their recordkeeping plans was completed. The Commission notes the overall 61% response rate, and hopes this rate will be improved upon during the next round of compliance monitoring. The surveys to be conducted in 2009-10 will target government organizations that are required to issue licences under their enabling legislation.

The State's public sector expects and welcomes ongoing directions regarding the appropriate management of digital records. I am therefore pleased to report that a *General Disposal Authority for Source Records*, i.e. the disposal of the originals of records copied to a digital format, was approved for publication this year. Further to the issue in 2007-08 of *SRC Standard 8: Digital Recordkeeping*, this year the Commission endorsed two ancillary guidelines prepared by the State Records Office: a *Guideline for the Management of Digital Records*, and a *Guideline for Email Management*.

This year I regret to report that the State Records Office has not received approval to develop a State archive repository. That Office's current storage facility has been full for the past eight years. Although I and my fellow Commissioners are cognizant of current economic pressures and priorities affecting government, we are concerned that the current inefficient dispersal of the State's official archives throughout the State limits public access to



those valuable records and places the State's cultural heritage at risk of loss or damage. Without suitable storage facilities, the State faces the potential loss of vital government information, and valuable recorded history.

On behalf of my fellow Commissioners I wish to thank all who have contributed to this year's achievements; in particular former Commissioners Henderson and Lightowlers. I also thank Cathrin Cassarchis, and staff of the State Records Office, for their ongoing support for the Commission's operations and dedication to the implementation of recordkeeping legislation in this State.

Colin Murphy
Chairperson, State Records Commission

September 2009



THE STATE RECORDS COMMISSION

Left to right: Colin Murphy, Chris Field, Justine McDermott and Sven Bluemmel



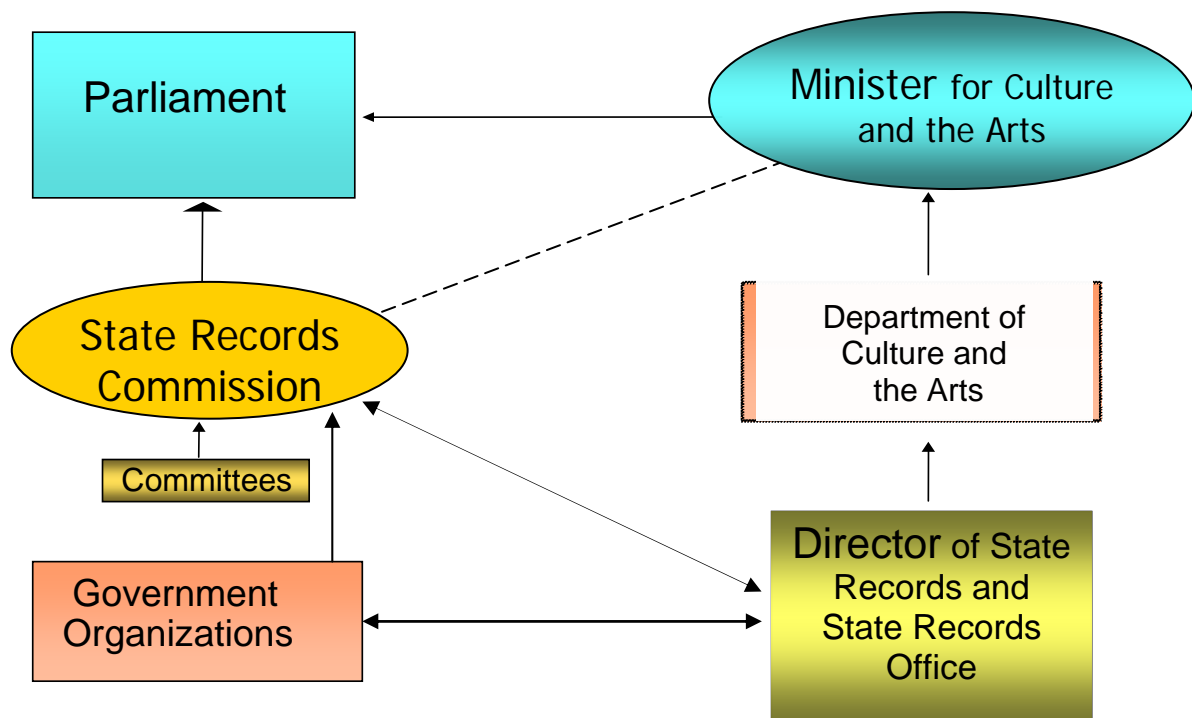
INTRODUCTION

This Annual Report is submitted to Parliament in accordance with the obligations of the State Records Commission (hereafter called the Commission) under section 64(1) of the *State Records Act 2000* (hereafter called 'the Act').

The Report outlines the activities of the Commission during 2008 - 2009 and comments on matters that pertain to the operations of the State Records Office (hereafter called the SRO).

- **Note:** The Commission is not an accountable agency with respect to the requirements of the *Financial Management Act 2006*.

FIGURE 1. Representation of the Commission's role in the reporting framework established by the *State Records Act 2000*.





HIGHLIGHTS 2008 – 2009

Lonnie Awards – This year's award for excellence in annual reporting by State government agencies on their recordkeeping obligations, was presented to the Disability Services Commission at the Lonnie Awards event on 17 June 2009. According to the award citation, the winning agency demonstrated a commitment to best practice through describing initiatives in place to evaluate its systems and raise awareness of recordkeeping responsibilities.

Margaret Medcalf Award – This Commission sponsored award for excellence in researching and referencing archives was presented by Commissioner McDermott on 20 May 2009. This year's award winner was Isla Macphail for her published work: *Highest Privilege and Bounden Duty: A study of Western Australian Parliamentary Elections, 1829-1901*.

New Commission Standards & Guidelines – Under section 61 of the Act the Commission is to establish principles and standards governing recordkeeping by State organizations. This year the Commission approved for publication a new *General Disposal Authority for Source Records* and its associated *Digitization Specification*.

ABOUT US

The Commission was established in July 2001, in accordance with Part 8 of the Act. The Commission consists of four members: the Auditor General, the Information Commissioner, the Parliamentary Commissioner for Administrative Investigations (Ombudsman), and an appointee with recordkeeping experience from outside Government. The Governor appoints the fourth Commissioner for a three-year term.

During 2008 - 09 the Commissioners were:

Mr Colin Murphy, Auditor General, and **Chair of the Commission**.

Mr John Lightowlers, Acting Information Commissioner, to 17 May 2009.

Mr Sven Bluemmel, Information Commissioner, from 18 May 2009.

Mr Chris Field, Parliamentary Commissioner for Administrative Investigations.

Ms Kandy Jane Henderson, Governor's Appointee to the Commission, to 5 December 2008.

Ms Justine McDermott, Governor's Appointee to the Commission, from 24 March 2009.



Profiles of new Commissioners

Justine McDermott joins the Commission with 20 years experience in archives and records management. She has worked with the National Archives in Sydney, and more recently as university archivist for Edith Cowan University and at the University of Western Australia. In 2004 Justine was appointed to her current position of Associate Director, Archives and Records Management Services, at UWA.

Sven Bluemmel is the Western Australian Information Commissioner. Prior to his appointment in May 2009, Sven held senior positions in the WA Public Sector Commission, the Department of the Premier and Cabinet, and the Commonwealth Attorney General's Department. Sven has also practiced law in the private sector in Melbourne and Perth, and is recognized nationally as an expert in information and privacy law.

WHAT WE DO

The Commission's functions are set out in the Act and include:

- approving agencies' recordkeeping plans;
- monitoring the operation of and compliance with the Act;
- monitoring compliance by government organizations with their recordkeeping plans;
- inquiring into breaches, or possible breaches of the Act; and
- establishing principles and standards for the governance of recordkeeping by State organizations.

The Commission held four formal meetings during 2008 - 09. The meeting dates were: **10 October, 5 December 2008, 23 March, and 22 June 2009.**

Of the four meetings, three were held at the Alexander Library Building in central Perth. The October 2008 meeting was hosted by the Department of Child Protection in Geraldton.

Once they are approved, the minutes of each meeting may be viewed on the SRO's website at www.sro.wa.gov.au .

OUR OPERATING ENVIRONMENT

In performing its functions the Commission is responsible for ensuring, as far as possible, that a standard of recordkeeping that best serves the interests of the people of Western Australia is maintained in over 300 government agencies and statutory organizations (including 141 local governments).

Altogether these agencies employ well over 100,000 people who produce records in a variety of formats, including conventional paper files, microfilm, cartographic plans and digital records.



The Commission comprises four part time Commissioners, and its technical advice and administrative support is provided by the Director of State Records (hereafter called the Director). In this circumstance the Commission's approach is to establish a framework that gives effect to the Act, which places a primary responsibility on government organizations and the Director, to comply with recordkeeping requirements.

OUR CLIENTS

The Commission's clients consist of:

- the people of Western Australia, who are able to access records in the State archives collection and ultimately benefit from the principles and standards by which State archives are selected;
- WA public sector agencies;
- local authorities; and
- a range of statutory offices, including the Governor's Establishment, Ministerial offices, Commissions and Committees of Inquiry.

VISION FOR 2011

Three years ago the Commission released its *Vision for 2011*. This document sets out the Commissioners' priorities and identified the measures that they and the Director believed could be achieved within five years, in terms of best practice recordkeeping across the WA public sector. The vision is built on the following foundations:

1. *Recordkeeping Plans for all State and Local government authorities approved and implemented;*
2. *Digital records standards and guidelines developed in tandem with a national approach;*
3. *A monitoring regime informed by intelligence derived from targeted analysis of the record keeping plans; and*
4. *Access to archives facilitated through a range of practical mechanisms and employing sophisticated information technology.*

The first of these foundations was achieved in March 2004 with the final approval of all outstanding first-round recordkeeping plans.

Further progress was achieved this year with the completion of two SRO guidelines: a *Guideline for the Management of Digital Records*, and a *Guideline for the Management of Email Records*. At its June 2009 meeting the Commission also approved for publication a new *General Disposal Authority for Source Records*.

The first phase of a monitoring regime to evaluate agencies' compliance with recordkeeping plans was completed in December 2008. This exercise was conducted using questionnaires in four stages, covering 112 government agencies.



Access to archives in the State archives collection continues to be developed through additions to AEON (the SRO's online catalogue).

The Commission expects that over time these programs will result in the following positive outcomes for all Western Australians:

- *A sustainable, self regulated public sector, with effective records management integrated into mainstream operations; and*
- *Useful accessible archives.*

KEY PERFORMANCE AREAS

The following activities carried out in 2008-09 demonstrate the Commission's resolve to achieve the objectives identified in the *Vision for 2011*.

1. Evaluation and approval of Recordkeeping Plans

Under section 61 of the Act the Commission must establish principles and standards for the governance of recordkeeping by State organizations and guidelines for the compilation of recordkeeping plans by those organizations. A recordkeeping plan (hereafter called an RKP) describes an agency's recordkeeping systems, disposal arrangements, policies and practices. The RKP indicates whether records are to be retained permanently as State archives and when the records are to be transferred to the State Records Office. It also contains recommendations about records that are to be treated as restricted access archives.

Under the Act all government organizations are required to submit a RKP for approval by the Commission. The first stage of the RKP approval process was completed by March 2004; by then the RKP of almost every organization (that was extant when the process commenced in March 2002), had been approved or cleared by the Commission.

During 2008-09 the Commission approved seven new RKPs and approved amendments to 45 existing RKPs (see Figure 2).

The Act requires a government organization to review its RKP, and submit a report of that review to the Commission within five years of its approval date (or last review). This year 65 agencies were required to review their RKPs.

The appendices to the Report detail the status of those RKPs due for review by or submittal to the Director during 2008-09.

Retention and Disposal Schedules

The disposal plan for an organization's records is commonly referred to as a records retention and disposal schedule (hereafter called a R&D). This document is an integral part of an organization's recordkeeping plan. State government organizations develop R&Ds that are unique to their

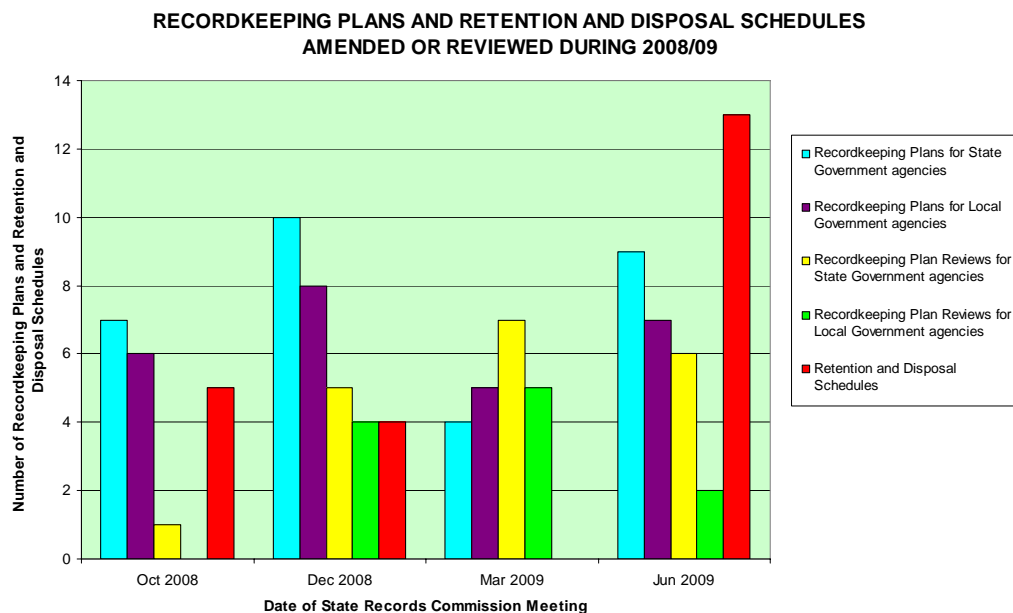


organizations, whereas the *General Disposal Authority for Local Government Records* determines the disposal of local government records. The Commission advises an organization that its RKP is finally approved once it has approved the retention and disposal component of the plan.

During 2008-09 the Commission approved 20 disposal authorities referred to it by the State Records Advisory Committee: of these 16 were referred by the Committee during the reporting year. The disposal authorities comprised three new and 12 significantly revised R&Ds, and five R&Ds requiring minimal or no amendment. In addition the Commission approved the *General Disposal Authority for Source Records*, submitted by the Director.

Figure 2 below shows the number of recordkeeping plans, reviews of plans, and retention and disposal authorities, considered and approved by the Commission this year.

FIGURE 2.



New system for online management of disposal authorities

The SRO is the initiator of and lead agency in the development of ORDA (Online Retention and Disposal Application). The project's purpose is to move the management of government disposal authority and recordkeeping plan information to an online systems based approach to assist State and local government organizations.

Despite funding constraints it is pleasing that the SRO has been able to allocate some small resource towards research and development that will lead to innovative records management systems across government.



2. Commission Standards

The Commission is required under section 61 of the Act to produce principles and standards governing recordkeeping by government agencies. The following progress was achieved during 2008-09.

Digital Recordkeeping

In last year's report the Commission reported on the publication of *SRC Standard 8: Digital Recordkeeping*. In 2008-09 the Director finalised two supplementary guidelines for use with Standard 8; these are a *Guideline for the Management of Digital Records* and a *Guideline for Email Management*. At the June 2009 meeting the Commission approved the final draft of a *General Disposal Authority for Source Records*; i.e. the disposal of long term value records that are created in a non digital format, and are subsequently digitized. The latter document includes a *Digitization Specification* as an Appendix.

The two Guidelines and the General Disposal Authority were cleared for publication in June 2009, and can be viewed on the SRO's website.

Register of Commission Standards

The Director regularly provides the Commission with progress reports regarding the development, review and completion of Standards and General Disposal Authorities (GDAs). There are currently four Standards in progress with three GDAs overdue for review. The three GDAs concern *Administrative Records*, *Human Resource Management Records*, and *Local Government Records*. The review of the *GDA for Local Government Records* commenced during 2008-09. The Director is exploring available options to resource the review of the other two GDAs, with a view to their completion by December 2011.

3. Monitoring Compliance with Recordkeeping Plans

The Commission is required under section 60(1)(b) of the Act to monitor compliance by government organizations with recordkeeping plans. In March 2008 the Commission agreed to the execution of an initial phase of four surveys, covering 127 agencies (later amended to 112) during 2008. The fourth and final component of the survey was sent to selected agencies in November 2008.

The first phase of the Compliance Monitoring Program focused on those agencies required to create and maintain a "Register" as prescribed by enabling or subsidiary legislation. The purpose of the program was to ascertain the extent to which:

- agencies are compliant with enabling legislative requirements to create and maintain prescribed records;
- the creation and management of the prescribed records is compliant with the Commission's Standards; and



- the creation and management of the prescribed records are compliant with an agency's approved RKP and R&D.

Results of the four surveys conducted in 2008.

The State Records Office surveyed 112 agencies (47 State, 65 Local).

Of the 47 State government agencies surveyed; 40 responded = 85% response.

Of the 65 Local government agencies surveyed; 28 responded = 43% response.

A total of 68 agencies responded to the survey = 61% response.

The program has indicated that:

- Like Registers across a range of government agencies are being managed in a consistent manner;
- Government agencies are compliant with legislative requirements to create and maintain prescribed records to a satisfactory degree;
- The creation and management of the prescribed records is compliant with the Commission's Standards, to a satisfactory degree;
- The coverage and applicability of RKPs and Disposal Authorities to core business records such as prescribed Registers can be improved;
- Agencies that have identified a need for improvement have committed to do so; and
- Training, particularly in the application of disposal authorities and induction programs, is identified as a future need.

Compliance monitoring 2009-10

At the March 2009 meeting the Commission noted the 61% overall response rate to the four surveys conducted in 2008, and endorsed the Director's proposal that the next phase of compliance monitoring continue to focus on core business records prescribed by legislation. Examples include "Licences" and "Management Plans". Preliminary research indicates that a range of government agencies are required to create and manage such records.

State Records Award for Excellence in Recordkeeping

The Institute of Public Administration Australia (IPAA) recognizes excellence in annual reporting by the public sector through the Lonnie Awards. In 2006 a new award for excellence in annual reporting on recordkeeping was introduced by IPAA, in collaboration with the Commission and the SRO.

This year all State government agencies annual reports were again assessed for the award. The final short listing yielded the annual reports of 20 organizations for consideration by the judging panel of industry representatives. The judging panel evaluated the reports according to whether;

- the efficiency and effectiveness of the organization's recordkeeping systems are evaluated not less than once every five years;
- the organization conducts a recordkeeping training program;



- the efficiency and effectiveness of the recordkeeping training program are reviewed from time to time; and
- the organization's induction program addressed employees' roles and responsibilities in regard to their compliance with the agency's recordkeeping plan.

The fourth *State Records Award* for excellence in recordkeeping was announced at the IPAA's W S Lonnie Awards presentation on 17 June 2009.

The winner of this year's award was the Disability Services Commission. The Judging Panel also commended the Fremantle Port Authority for a high standard of reporting.

4. User Friendly Accessibility to State Archives

Archives Explored Online

For the past four years the public has been able to search online for items identified on the SRO's archives 'catalogue', known colloquially as AEON (Archives Explored Online). Currently, no images of actual documents in the State archives collection can be viewed online. This year the SRO secured funding to develop appropriate software to place images of archives online. The SRO intends to provide online access during 2009-10 to a large number of digital images of 19th and early 20th century Lands Department survey and cadastral plans.

New storage for State archives

In previous annual reports the Commission has expressed concern that the Director of State Records cannot accept custody of conventional archives from government organizations because of the lack of appropriate storage space. In 2008-09 the Director remains constrained from her obligation under section 32 of the Act to accept custody of archives from government organizations when the archives become 25 years old. This situation has prevailed since 2001.

Section 32(4) of the Act requires the Director of State Records to provide directions to agencies on how records must be kept pending their transfer to archival custody at the SRO. This year the Director issued the first, '*Directions for keeping hardcopy archives awaiting transfer to the State Records Office*'. The *Directions* are issued to assist State organizations with the appropriate management of records that remain with the creating agency, because the Director is unable to accept their custody. Whilst agencies are encouraged to pursue best practice options for the storage of State archives, the *Directions* set minimal compliance requirements as an interim measure, mindful of the additional cost imposed for government.

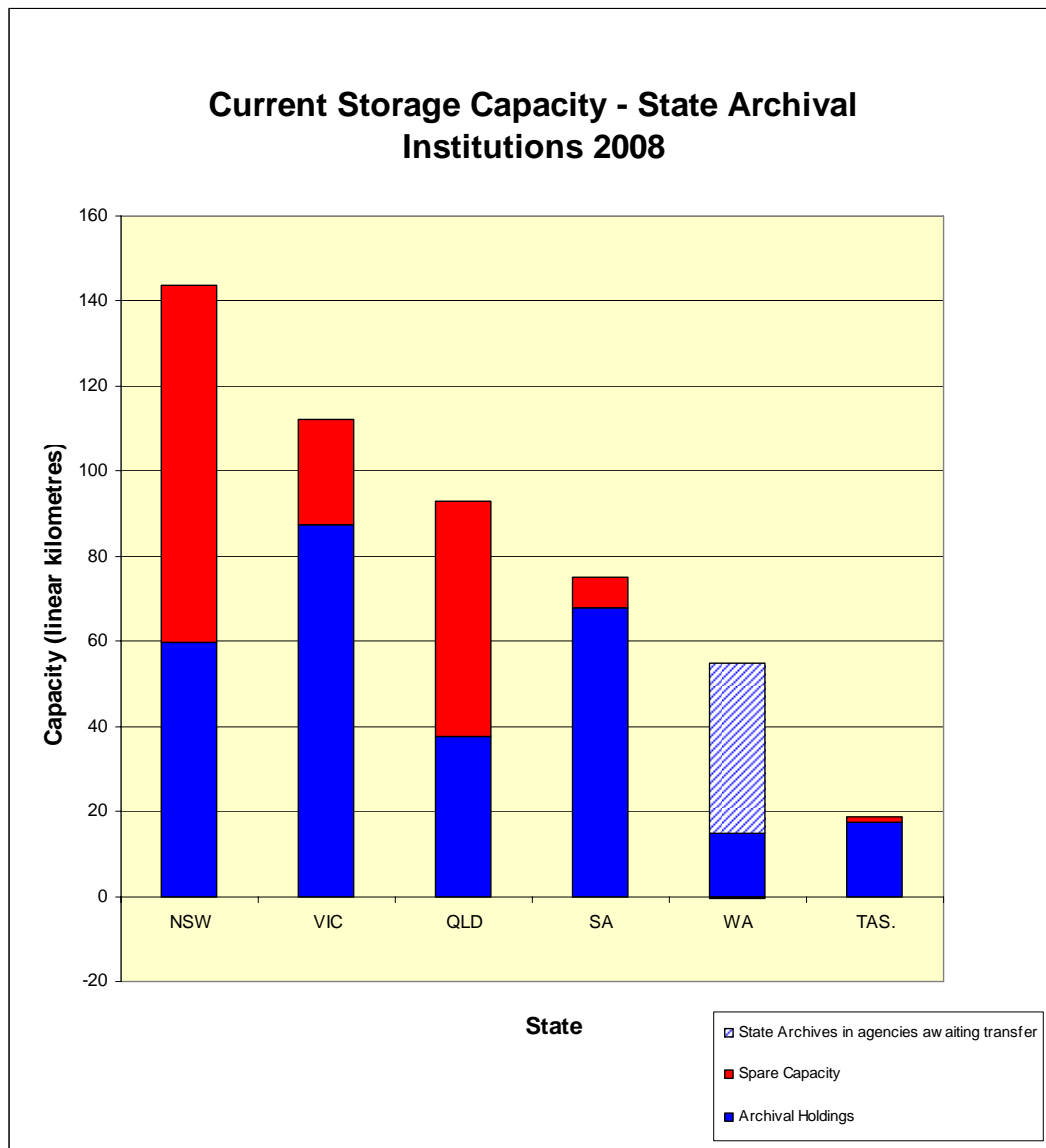
Government organizations currently bear the cost of storing an estimated 40 kilometres of paper based State archives which cannot be transferred to a centralized repository. The cost to government also extends to digital archives which also must be maintained in agency custody. Currently the



SRO has no capacity to preserve and provide access to State archives created in a digital format.

The accumulation of State archives (including digital archives) awaiting transfer to the SRO is of concern to the Commission because those records remain at risk of loss or damage while they continue to be kept in unsuitable accommodation. **Figure 3** indicates (inter alia) the extent of State archives that are held by government organizations, and are awaiting transfer to the State Records Office.

FIGURE 3. Comparison of storage capacity held by Australian State archival authorities (including capacity shortfall for WA).





Restricted access archives

Under Part 6 of the Act all State archives should be open access archives after 75 years unless they contain exceptionally sensitive information or information about another person's medical condition or disability – in which case they may be restricted for up to 100 years.

Sections 37 & 38 of the Act require the Commission to rule on applications by government organizations to restrict access to certain State archives (or open previously restricted archives) and set the age at which these records cease to be restricted.

SRC Standard, 4 Principle 1 requires government organizations to identify restricted access archives in their RKPs. During 2008-09 the Commission approved restricted access applications submitted by seven organizations.

OUR RELATIONSHIP WITH THE STATE RECORDS OFFICE

Part 9 of the Act establishes the position of Director of State Records. As well as having other functions under the Act, the Director is the Commission's Executive Officer and provides advice and support to the Commission. In that capacity, the Director attends meetings of the Commission. The SRO's Manager of State Recordkeeping, is the Executive Secretary to the Commission.

The Director reports to the Commission on matters relating to the operation of the Act. The Director also reports to the Director General, Department of Culture and the Arts, on administrative and financial matters.

A cornerstone of the legislation is the RKP, which is a compliance requirement for each government organization. Each RKP must identify all records created by the organization, explain how those records are managed in the context of the organization's functions, specify a retention period for each class of record, and describe disposal procedures for obsolete records.

Draft RKPs are submitted by government organizations to the Director for evaluation by SRO staff, before the RKPs are submitted to the Commission for approval.

The Director and staff of the SRO provide advice, assistance and training to government organizations, concerning the management of records by those agencies. The SRO also provides information about, and public access to, records held in the State archives collection. The Director is required, under the Act, to create and maintain a register of all State archives, including those not in the State archives collection.



COMMITTEES OF THE COMMISSION

Section 62(1) of the Act directs the Commission to establish a committee to assist the Commission with the selection of records as State archives, and propose retention periods for all State records. Section 62(3) allows the Commission to establish other committees to assist it in the performance of its functions.

The Commission has formally established two Committees under section 62 of the Act: the **State Records Advisory Committee**, which examines retention and disposal schedules prior to their referral to the Commission for approval, and the **Digital Records Working Group**. SRO staff provide administrative support to each Committee.

1. The State Records Advisory Committee

The State Records Advisory Committee is established to provide advice regarding:

- State records that should be archives;
- retention periods for those State records that are not to be State archives; and
- associated matters.

The Committee meets regularly to consider the records retention and disposal components of RKPs, and makes recommendations to the Commission about the disposal of records described therein.

During 2008-09 the Committee met on three occasions, and recommended 16 disposal authorities for Commission approval. The Committee's meeting dates were: 28 August, 5 November 2008, and 13 May 2009.

The Committee includes representatives from the Public Service and bodies concerned with recordkeeping. Members and deputy members are appointed for three-year terms. Members of the State Records Advisory Committee who are not government employees may be paid sitting fees for their attendance at Committee meetings in recognition of the impost on their time associated with considering disposal authorities, a critical element of the comprehensive records management framework established by the Act.

Membership of the State Records Advisory Committee, as approved by the State Records Commission, as at 30 June 2009

Chair of the Committee

Ms Cathrin Cassarchis – Director of State Records

Australian Society of Archivists (WA) Inc

Dr Roberta Cowan (Deputy: Vacant)



Department of Indigenous Affairs

Ms Tanya Butler (Deputy: Ms Rebecca Bairnsfather-Scott)

Historical Interests representative

Ms Jennie Carter (Deputy: Ms Julie Lunn)

Institute for Information Management Ltd (WA)

Mr Neil Whiteley (Deputy: Vacant)

Law Society of Western Australia

Mr Robert O'Connor QC (Deputy: Ms Anne Seghezzi)

Local Government Records Management Group

Ms Julie Mathieson (Deputy: Mr Mark Caporn)

Local Government CEO Representative

Mr Jonathan Throssell (Deputy: Mr Gary Evershed)

State Government CEO Representative

Mr Brian Bradley (Deputy: Vacant)

Records Management Association of Australasia

Vacant (Deputy: Vacant)

Executive Secretary

Ms Isabel Smith – Manager of State Recordkeeping, SRO

Minutes Secretary

Administrative Assistant, SRO

In December 2008 the Commission endorsed major changes to the Committee's membership. The Commission acknowledges the valuable contribution provided by all members, in particular that of several longstanding members who retired from the Committee this year.

Members of the Committee who retired during 2008-09 (and the bodies they represented)

Mr Andrew Pepper	Department of Indigenous Affairs
Dr Cathie Clement	Historical Interests
Dr Neville Green	Historical Interests
Ms Lesley Ferguson	Institute for Information Management
Mr Michael Sonter	Law Society of WA
Ms Shirley Conway-Mortimer	Local Government Records Management Group
Mr Barry Sergeant	State Government CEOs
Ms Josette Mathers	Records Management Association of Australasia
Ms Gail Murphy	Records Management Association of Australasia



2. The Digital Records Working Group

The Digital Records Working Group (DRWG) operates as a committee of the Commission, as per section 62(3) of the Act.

The DRWG was established to advise the Commission (via the SRO) for the following purposes:

- to provide advice regarding projects undertaken by the Australasian Digital Records Initiative (ADRI);
- to assist with the development of solutions for the effective management of digital records; and
- to advise on the development of guidelines, principles and standards for the management of digital records in government agencies (and related matters).

The SRO's Manager of Archives Control and Access is the Chair of the DRWG. The SRO also provides administrative support for the Committee. The Committee met only once during 2008-09, on 11 September 2008.

Membership of the DRWG is drawn from government agencies, academia and professional groups. Members are recruited on the basis of their knowledge of digital recordkeeping issues and their expertise in and willingness to contribute to developing policies relating to the control and management of those records. Members are appointed on a voluntary basis for a three year term.

During 2008-09, Working Group members contributed out of session towards the development of the SRO's Guidelines for *Digital Records Management* and *Email Management*. DRWG members have also provided assistance with the development of the *General Disposal Authority for Source Records*.

The Commission and the Director gratefully acknowledge the work of all Working Group members during 2008-09.

Members of the Digital Records Working Group

Chair of the Committee

Mr Leigh Hays	Manager of Archives Control and Access, SRO
Mr Florian Goessmann	iVEC (new member)
Mr John Layton	WA Police Service
Ms Amanda Lea	City of Mandurah
Mr Stewart Luxton	Public Sector Commission
Mr Carmelo Naso	Department of Treasury and Finance
Mr Kye O'Donnell	Curtin University
Mr Martin Rowles	Public Sector Commission (new member)
Ms Debra Rule	Department of Corrective Services
Mr Brian Soares	Department of the Attorney General



Mr Brian Stewart
Ms Joyce Steveni

State Library of Western Australia
Recordkeeping Consultant, SRO (new member)

Executive Secretary
Ms Meg Travers

Digital Archives Support Manager, SRO

Minutes Secretary
Ms Claire Harloe

Senior Executive Assistant, SRO

COMPLIANCE REPORT – STATE RECORDS ACT 2000

Part 8 of the Act establishes the Commission. The Commission's duties are set out there and elsewhere in the legislation. A compliance statement on the Commission's activities in 2008-09 is presented below.

Part 3 Division 2

Section 20 (2) – gazette orders prescribing timing for submission of organization's record keeping plans

No orders were issued during 2008-09.

Section 23(1) – approve or refuse record keeping plans

In 2008-09 the Commission approved seven recordkeeping plans for government organizations, and also approved amendments to 45 existing recordkeeping plans.

Section 23(2) – give reasons for refusal to approve record keeping plan

The Commission did not refuse to approve any recordkeeping plans submitted during 2008-09.

Part 3 Division 3

Section 25 – Commission to have a plan

The Commission's amended RKP was approved by the Minister in February 2008. No further action was required during 2008-09.

Section 26 - State Records Office to have plan

The SRO's amended RKP was approved by the Commission in December 2007. No further action was required during 2008-09.

Section 27(3) - gazette orders prescribing timing for submission of Schedule 3 organizations' record keeping plans

No orders were issued during 2008-09.



Part 3 Division 4

Section 28(3) – require an agency to review its record keeping plan (discretionary)

The Commission required no reviews in 2008-09.

Section 28(5) five yearly review of all record keeping plans

The recordkeeping plans of 65 organizations were due for review during 2008-09. Reviews or reports of plans were received from 65 organizations.

Section 29(1) – give directions as to intervals for periodic reporting (discretionary)

No directions were given in 2008-09.

Section 30(1) – give Parliament copies of reports to Commission under section 29

No reports were required by the Commission in 2008-09.

Part 5 Division 2

Section 37 - Restricted access archives identified

The Commission approved restricted access applications submitted by seven government organizations during 2008-09.

Section 38 – when archives cease to be restricted access archives

During 2008-09 no applications were submitted by the Director under this section.

Part 5 Division 3

Section 40(2) – approve or refuse archives keeping plan

At its December 2008 meeting the Commission approved the revised archives keeping plan submitted by the Director. The original plan was approved in May 2003.

Section 40(3) – give reasons for refusal

Not required.

Section 40(4) – direct time for resubmission

The State Records Office archives keeping plan is to be reviewed by December 2013.



Section 41 - Plan to be reviewed

The Director is required to conduct a review of the archives keeping plan within five years of the plan's approval. The Commission approved the fully reviewed archives keeping plan in December 2008.

Part 5 Division 4

Section 43(3), (4) & (5) – deal with applications from Director to destroy archives

No applications from the Director were received in 2008-09.

Part 6

Section 48(1) & (2) - direct that record is “exceptionally sensitive archive” & set age of cessation (on application)

No directions were given by the Director in 2008-09.

Section 48(4) – review direction given under s.48 (1)

No directions required review in 2008-09.

Part 8 Division 1

Section 60(1)(b) – monitor compliance by government organizations with record keeping plans

During the calendar year 2008, 112 agencies were surveyed regarding compliance with their recordkeeping plans. The Commission has endorsed a further round of surveys for 2009-10 (see also page 12).

Section 60(1)(c) – inquire into breaches or possible breaches of this Act

1. Report on progress with the investigation of three alleged breaches of the Act by government organizations which were mentioned in the Commission's 2007-08 Report.

- In June 2007 the Commission noted media reports which alleged that emails in the Department of Health's (the DoH's) system were only fully retrievable for three months after each message was sent/received. Further explanatory information was then sought from the DoH regarding its recordkeeping policy and procedures with respect to the retention of emails.

The Commission deferred action on investigation of this matter pending the outcome of two other investigations being undertaken. One



investigation was conducted by appointment of a special investigator on behalf of the Minister for Health, and the other was conducted by the Corruption and Crime Commission (the CCC).

The CCC's report was released in late January 2008, identifying inadequacies in the management of the DoH emails. Two recommendations falling within the scope of the *State Records Act 2000* were referred to the Commission. In accordance with the CCC's Recommendation 5, the Commission undertook to review the existing SRO Standard for the management of email records and publish revised guidelines under the Commission's *SRC Standard 8: Digital Recordkeeping*. In addition, the DoH was advised that the Commission would be conducting a review of the agency's record handling processes in accordance with Recommendation 4 of the CCC's report.

The Commission subsequently requested the SRO to undertake an analysis comparing the CCC's findings, with the practices documented within the DoH RKP. This analysis identified certain discrepancies. The DoH was then asked to explain the possible failure of its recordkeeping systems and provide documented evidence to assure the Commission of the implementation of rectified control mechanisms.

The Commission was satisfied with the subsequent DoH response and is monitoring the implementation of improved practices via six monthly progress reports.

- On 29 May 2008 the Estimates and Financial Operations Committee (the Committee) of the Legislative Council reported on an investigation into the Balga Works Program at Balga Senior High School. The Committee found that the Department of Education and Training (the DET) had failed to ensure that a record was kept of any meeting between the DET and the relevant Minister regarding the program. The Committee also noted anomalies in the recording of program enrolment and attendance figures.

Following an SRO investigation the DET advised that practices are being improved via the introduction of a revised and authorised policy for the keeping of student records. The Director has requested a copy of the policy and the matter will continue to be monitored.

- The 2007-08 Report referred to a request for the Director of State Records to issue a direction to former Councillors of the Shire of Kalamunda under section 52 of the Act. This issue was later resolved by a ruling from the then Acting Information Commissioner in November 2008. There was no further action taken by the Director as the matter did not fall within the scope of section 52 of the Act.



2. Alleged Breaches of the Act by Government organizations reported to the Commission during 2008-09.

One alleged breach was reported during the period and is currently under investigation.

Section 61 – establish principles and standards

A *General Disposal Authority for Source Records* was approved for publication by the Commission in June 2009.

The Commission notes that three existing General Disposal Authorities are overdue for review by the State Records Office (see Register of Commission Standards, page 11), and that the Director is addressing the matter.

Section 62 – establish committees

The State Records Advisory Committee was established in December 2001 in accordance with section 62(1) & (2) of the Act. The current membership structure of the committee was approved by the Commission in July 2005. The Committee met on three occasions during 2008-09.

The Digital Records Working Group was established under section 62(3) in 2005. The Working Group held one formal meeting during 2008-09.

Section 64(1) & (3) – submit annual report to Parliament by 1 November each year

The Commission's seventh Annual Report (2007-08) was submitted to both Houses of the State Parliament on 30 October 2008. Copies of the Report were tabled in the Legislative Assembly on 11 November 2008, and the Legislative Council on 12 November 2008.

Section 64(2) & (3) – submit reports to Parliament re contraventions of the Act (discretionary)

No special reports were submitted to Parliament in 2008/09.

Section 64(4) – give Minister copy of report

A copy of the Commission's Annual Report (2007-08) was given to the Minister for Culture and the Arts on 30 October 2008.

Part 8 Division 2

Section 65(4) – include in annual report any policy directions given by Minister

The Minister for Culture and the Arts issued no general policy directions to the Commission, in accordance with section 65(2) of the Act, in 2008/09.



Section 66(4) – comply with requests by Minister for information and make facilities available

During 2008-09 neither the Commission nor the Director received any specific request as per this section of the Act.

Part 8 Division 3

Section 68 – Commission may request a government organization to report about its record keeping or an aspect of its record keeping

The Commission approved the Department of Health's (the DoH) RKP in March 2007 acknowledging several areas of practice lacking structure; content; documented procedure; and adequate control systems. In view of those inadequacies, the DoH was requested to provide six-monthly progress reports on the implementation of improved practices in accordance with its RKP and Retention and Disposal Schedule.

Four reports have been received to date with the latest report being considered at the Commission's meeting of 22 June 2009 and progress continues to be monitored.

COMPLIANCE WITH STANDARD 2, PRINCIPLE 6

The SRO manages the Commission's records, and therefore its compliance with SRC Standard 2 Principle 6 is linked to the compliance of the SRO.

The following action was taken this year to ensure that the Commission complies with SRC Standard 2 Principle 6.

- Although the Commission's RKP is not due for review until 2013, the SRO evaluated relevant recordkeeping systems and practices (including a file audit) and assessed that the current systems are efficient and effective.
- The Recordkeeping Policy and Procedure Manual is currently under review to ensure that Commissioners and SRO staff are made aware of their recordkeeping responsibilities and current practices.
- Commissioners have undergone induction programs and briefing sessions with the Director following their appointment.
- The SRO reviewed and improved the induction pack for Commissioners to include the Recordkeeping Policy and Procedure Manual.



SPREADING THE MESSAGE

The Commissioners attended and/or participated in the following events and activities during 2008-09, with the aim of enhancing public sector and community awareness of the Commission and the Act.

- 8-9 August 2008** Commissioners Murphy and Henderson attended the annual conference of the Australian Society of Archivists, at the Parmelia Hotel, Perth.
- 20 October 2008** Commissioners Murphy, Henderson and Lightowlers attended the SRO's Geoffrey Bolton Lecture at Government House.
- 20 May 2009** Commissioner McDermott presented the 2008 Margaret Medcalf Award at the Alexander Library theatre.

HOW TO CONTACT THE STATE RECORDS COMMISSION

The State Records Commission operates through the State Records Office of Western Australia. All enquiries for the Commission, whether in person, by telephone, fax, email, or in writing, should be directed through the State Records Office.

State Records Commission of Western Australia

C/- State Records Office of Western Australia
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Perth WA 6000

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Chairperson: State Records Commission

Mr Colin Murphy
Auditor General

Director of State Records & Executive Officer to the State Records Commission

Ms Cathrin Cassarchis

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Appendix 1

Recordkeeping Plans Required for Review on or before 30 June 2009

Status Register

Organization Name	Status R = Received	Next Review Date
Albany Cemetery Board	R	3 Jun 2014
Building & Construction Industry Training Fund	R	5 Dec 2013
Bunbury Cemetery Board	R	2 Oct 2013
City of Canning	R	3 Jun 2014
City of Melville	R	3 Jun 2014
City of Swan	R	3 Jun 2014
Coal Miners Welfare Board	R	3 Jun 2014
Conservation Commission of WA	R	2 Oct 2013
Construction Industry Long Service Leave Payments Board	R	5 Dec 2013
Department of Agriculture & Food	R	22 Jun 2014
Department of Culture & the Arts	R	22 Apr 2014
Department of Fisheries	R	4 Dec 2013
Department of Housing	R	22 Jun 2014
Department of Mines & Petroleum	R	4 Dec 2013
Department of Racing Gaming & Liquor	R	22 Apr 2014
Drug & Alcohol Office	R	8 Dec 2013
Dudinanning Cemetery Board	R	3 Jun 2014
Dwellingup Cemetery Board	R	22 Apr 2014
Gascoyne Development Commission	R	14 Jul 2013
Geraldton Cemetery Board	R	9 Mar 2014
Goldfields Esperance Development Commission	R	5 Dec 2013
Hairdressers Registration Board	R	22 Jun 2014
Kalgoorlie-Boulder Cemetery Board	R	3 Jun 2014
Kimberley Development Commission	R	5 Dec 2013
Law Reform Commission of WA	R	22 Apr 2014
Medical Board of WA	R	8 Dec 2013
Midwest Development Commission	R	29 Jan 2014
Minerals & Energy Research Institute of WA	R	23 Mar 2014
Office of Energy	R	23 Mar 2014
Office of the Information Commissioner	R	23 Mar 2014
Perth Theatre Trust	R	22 Apr 2014
Pharmaceutical Council of WA	R	27 Mar 2014
Pilbara Development Commission	R	14 Jul 2013
Potato Marketing Corporation	R	8 Dec 2013



Appendix 1

Recordkeeping Plans Required for Review on or before 30 June 2009

Status Register

Organization Name	Status R = Received	Next Review Date
Shire of Ashburton	R	9 Mar 2014
Shire of Chittering	R	22 Jun 2014
Shire of Dardanup	R	22 Jun 2014
Shire of Dowerin	R	23 Mar 2014
Shire of Halls Creek	R	5 Dec 2013
Shire of Jerramungup	R	3 June 2014
Shire of Kellerberrin	R	18 Nov 2012
Shire of Lake Grace	R	30 Aug 2012
Shire of Laverton	R	22 Apr 2014
Shire of Menzies	R	16 Dec 2010
Shire of Merredin	R	30 Mar 2014
Shire of Mundaring	R	22 Jun 2014
Shire of Murray	R	23 Mar 2014
Shire of Ngaanyatjaraku	R	7 Oct 2012
Shire of Perenjori	R	7 Oct 2010
Shire of Pingelly	R	22 April 2014
Shire of Ravensthorpe	R	22 Apr 2012
Shire of Serpentine-Jarrahdale	R	3 Jun 2014
Shire of Three Springs	R	3 Jun 2014
Shire of Victoria Plains	R	22 Apr 2014
Shire of Wandering	R	18 Nov 2012
Shire of Yilgarn	R	9 Mar 2014
Shire of York	R	27 Mar 2014
Small Business Development Corporation	R	6 Nov 2013
South Caroling Cemetery Board	R	22 Apr 2014
State Library of WA	R	21 Aug 2013
WA Sports Centre Trust	R	14 Jul 2013
Water Corporation**	R	18 June 2014
Western Australian Treasury Corporation	R	29 Jan 2014
Workcover WA	R	29 Jan 2014

Legend

** = Submitted amended Recordkeeping Plan to the relevant Minister for approval.



Appendix 2

Recordkeeping Plans for submission by New Organizations on or before 30 June 2009

Status Register

Organization Name	Due Date	Submission Date
Public Sector Commission	28 May 2009	28 May 2009
Shire of Broomehill-Tambellup	1 Jan 2009	25 Feb 2009
The Waste Authority of Western Australia	1 Jan 2009	11 Sep 2008



Acronyms used in this Report

Acronym		Term
GDA	=	General Disposal Authority
R&D	=	Retention and Disposal Schedule
RKP	=	Recordkeeping Plan
SRC	=	State Records Commission
SRO	=	State Records Office