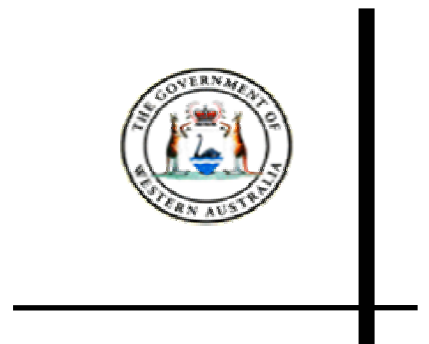


# STATE RECORDS COMMISSION

Perth, Western Australia

**Annual Report**

**2002/03**





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## INTRODUCTION

This Annual Report of the State Records Commission is made to Parliament in accordance with the obligations of the Commission under s.64(1) of the *State Records Act 2000*.

It outlines the activities of the State Records Commission for the period 1 July 2002 to 30 June 2003, identifies highlights during the year, describes the model operating in Western Australia, and discusses the relationship between the Commission and the State Records Office under the *State Records Act 2000*.

The Report also contains comments and observations about the operations of the State Records Office in Western Australia. The Report can be read on-line at <http://www.sro.wa.gov.au>

- Note: The State Records Commission is not an accountable agency with respect to the requirements of the *Financial Administration and Audit Act 1985*.

## ABBREVIATIONS

In this Report, the following abbreviations are used:

Commission	State Records Commission
Act	<i>State Records Act 2000</i>
SRO	State Records Office
SRC	State Records Commission
Director	Director of State Records
Minister	Minister for Community Development; Women's Interests; Seniors and Youth; Disability Services; Culture and the Arts
RKP	Recordkeeping Plans

## CHAIRPERSON'S FOREWORD

The second year for the Commission has been particularly challenging as the deadline for submission of Recordkeeping plans by government organizations draws ever closer. A considerable part of the time of the Commissioners has been devoted to raising awareness across the public sector of the requirements of the Act.

The Commission sees its role as supporting the continuing endeavours of the SRO to raise the standard of recordkeeping in government agencies and of facilitating strategies for compliance with the legislation. However, it is concerned that the goodwill that has accrued during the first year of operation of the Act should not be wasted by increasing frustration at agency level with the inability of the SRO to service its client's needs.

The Commission considers that the resources allocated to the SRO to meet its statutory responsibilities have been at critical levels for several years and the prospect of further reductions next year or in future years will severely impact on the work of the SRO and its ability to provide on-going administrative support to the Commission.

It is only through the professionalism, dedication and goodwill of the SRO and its staff that the management of government records and State archives in Western Australia is accomplished. However, the Commission does not consider that the neglect of past years should continue because if it does, serious problems will arise for the long-term preservation of important government records.

The Commission believes that the time has arrived for the establishment of a dedicated archival and access facility in Western Australia to serve the current and future needs of the State, its institutions and its people. The Commission considers that fiscal responsibility should not take precedence over accountability and that the most precious of public resources, the information holdings of government organizations, must be adequately stored and preserved for the benefit of future generations of Western Australians.

Des Pearson

Chairperson, State Records Commission

## HIGHLIGHTS of 2002–2003

- ▶ In April and June 2003, the Chairperson and the Director addressed the Strategic Management Council on the requirements of the Act and the need for government organizations to prepare recordkeeping plans and submit them to the SRO by March 2004.
- ▶ Tenders were called for workshops to be delivered by external consultants in the second half of 2003, which are designed to train participants in the development of recordkeeping plans for their respective organizations.
- ▶ A model template was published on-line to assist in the preparation of recordkeeping plans by local authorities. The template was developed by the Local Government Records Management Group.
- ▶ The Commission met with the Hon Sheila McHale MLA, the Minister responsible for the Act to discuss urgent issues, including resources for the SRO.
- ▶ The SRO prepared and adopted a framework for the development of future Principles and Standards.
- ▶ The inaugural Margaret Medcalf Award was launched by the SRO as an annual award to recognise and acknowledge the author of a published work that best utilizes records held in the State archives collection. The award is named in honour of Margaret Medcalf, former State Archivist.

## Milestones

- ▶ Tabling of the Commission's first Annual Report (2001/02) in the Legislative Assembly on 16 October 2002.
- ▶ Approval and on-line publication of a General Disposal Authority for Administrative Records.
- ▶ Gazettal of the deadline date of 1 January 2004 for Schedule 3 Organisations to submit recordkeeping plans to respective Ministers.
- ▶ Submission, finalization and approval of the recordkeeping plans of the Commission and the SRO.

## ABOUT US

The State Records Commission was established in July 2001 under Part 8 of the *State Records Act 2000*. The Commission consists of four members: the person who is the Auditor General or who is acting in that office; the person who is the Information Commissioner or who is acting in that office; the person who is the Parliamentary Commissioner for Administrative Investigations or who is acting in that office, and a person appointed by the Governor, who has experience in record keeping and who is not a public service officer.

The Commissioners are:

**Ms Bronwyn Keighley-Gerardy**

*Information Commissioner*

**Ms Deirdre O'Donnell**

*Parliamentary Commissioner for Administrative Investigations*

**Mr Des Pearson**

*Auditor General, Chairman*

**Ms Kandy Jane Henderson**

*Governor's Appointee.*

The Commission met formally on nine occasions during 2002/2003: 1 August, 1 October, 10 October (Special Meeting), 14 November, 12 December, 30 January, 20 March, 8 May and 23 June. The Commissioners also met with the Minister on two occasions.

## WHAT WE DO

The functions of the Commission are prescribed in Part 8 of the *State Records Act 2000* and include:

- monitoring the operation of, and compliance with, the Act;



- monitoring compliance by government organizations with their recordkeeping plans; and
- inquiring into breaches or possible breaches of the Act.

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

Section 62 of the Act provides for the establishment of a committee to assist the Commission with its statutory functions. The State Records Advisory Committee has been established to make recommendations to the Commission regarding retention and disposal components of recordkeeping plans, including records that are to be retained permanently as State archives.

In addition to approving and monitoring agency recordkeeping plans, the Commission is empowered to act as a Special Inquirer (under ss.21, 13 and Schedule 4 of the *Public Sector Management Act 1994*) to inquire into known or suspected breaches of the Act. The Commission was not required to assume that role during 2002-2003.

## **OUR OPERATING ENVIRONMENT**

Under the Act, the Commission is responsible for improving the standard of recordkeeping in 280 government agencies, statutory organizations and other bodies. The Commission has similar responsibilities with respect to 143 local authorities. Altogether, those agencies employ over 100,000 people who produce records in a variety of formats, including conventional paper files, microfilm, cartographic plans, and electronic records.

In December 2002, the Functional Review Taskforce reported to the Government that the cost of providing corporate services, including information and records management, throughout the public sector could be

reduced using a new model of shared service providers.

The Commission sees both opportunities and risks in the implementation of those reforms. The Commission recognizes that opportunities might exist in the new model for shared arrangements concerning the storage of government records, including State archives, but considers that the risks include a possible blurring of the lines of accountability for recordkeeping.

## OUR CLIENTS

The Commission's clients are:

- ▶ The people of Western Australia who are able to access official government records 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.

## KEY PERFORMANCE AREAS

The Commission established key performance areas and broad strategies, which it considers necessary to progress the implementation of the Act. The year's achievements under the following Key Performance Areas are:

### ▶ User-friendly Accessibility

The Agenda and Minutes of Commission meetings are reported and recorded on-line. Other activities are reported in the newsletter, *State of the Record*. Four issues of the newsletter were produced and published on-line during 2002/03.

The Director submitted the Archive Keeping Plan of the SRO to the Commission prior to the statutory deadline of 30 November 2002. An

abridged version of the plan is also available on-line. The plan describes the procedures and policies for the maintenance of State archives that are held within the State archives collection.

### ► Sound recordkeeping

The Commission approved a training program for the development of recordkeeping plans, which is to be delivered to participants attending workshops held over five weeks during which participants will prepare customized templates for use in their own organizations. The Commission considers that this approach will provide a practical solution to assist agencies to comply with the requirements of the Act and facilitate the approval process of such plans by the SRO prior to the March 2004 deadline.

The Commission also gave approval to new guidelines and a checklist for self-evaluation by agencies of their recordkeeping plans prior to submission to the SRO and published those documents on-line for ease of access.

In June 2003, the Commission endorsed a framework for the development of future principles and standards for government recordkeeping.

### ► Reliable Records Management Systems

The Commission endorsed the following publications:

- General Disposal Authority for Administrative Records;
- SRC Guideline No 2 '*Guidelines for storage of State archives retained by Government Organizations*';
- State Government Organization RKP Self-Evaluation Guidelines and Checklist.
- Local Government Organization RKP Self-Evaluation Guidelines and Checklist

### ► Effective disposition

During the year, 23 recordkeeping plans were submitted to the Director and the Commission approved 7 plans prior to 30 June 2003 (see APPENDIX B for a full list of plans received and approved during the year). Recordkeeping plans of the Commission and the SRO were submitted, finalized, and

approved.

The Commission was advised that the Legislative Assembly, the Legislative Council and the Parliamentary Services Department had all submitted their recordkeeping plans to the appropriate parliamentary officials by 1 December 2002, as required.

The deadline for Schedule 3 organizations to submit plans for approval was settled and published in the Government Gazette. On 24 March 2003, the Minister for Energy approved the recordkeeping plan for Western Power.

The Commission applied for, and was granted, special funding to complete a project involving the identification and description of a large collection of records relating to the 1992 *Royal Commission into Commercial Activities of Government and Related Matters*. In 1999, those records were transferred into the custody of the SRO from the Director of Public Prosecutions. Work commenced on the processing of those records in November 2002 and is scheduled for completion by the end of 2003.

## THE YEAR IN REVIEW

The Commission considers that there are a number of issues of critical importance that are impacting upon the ability of government agencies and the SRO to deliver the standard of recordkeeping expected of a State by contemporary society.

### ► **Inadequate storage for State archives**

The Commission considers that the issue of archival storage needs to be addressed as a matter of priority in Western Australia.

Since July 2001, the SRO has been unable to accept custody of new archival records from agencies because it does not have sufficient storage space for those records. Unless appropriate storage facilities for archival records are found, the Commission recognises that the SRO is unable to fulfil its core responsibility under s.32 of the Act, which requires the transfer new archival records into the custody of the Director.

The Commission is acutely aware that government agencies must find the

resources from within their own budgets to fund the storage of archival records for indefinite periods because the SRO is unable to do so.

The Commission asked the SRO to undertake research to identify and quantify the size of the present archival storage problem. Most agencies were only able to estimate the size of their archival records, but the data indicates that:

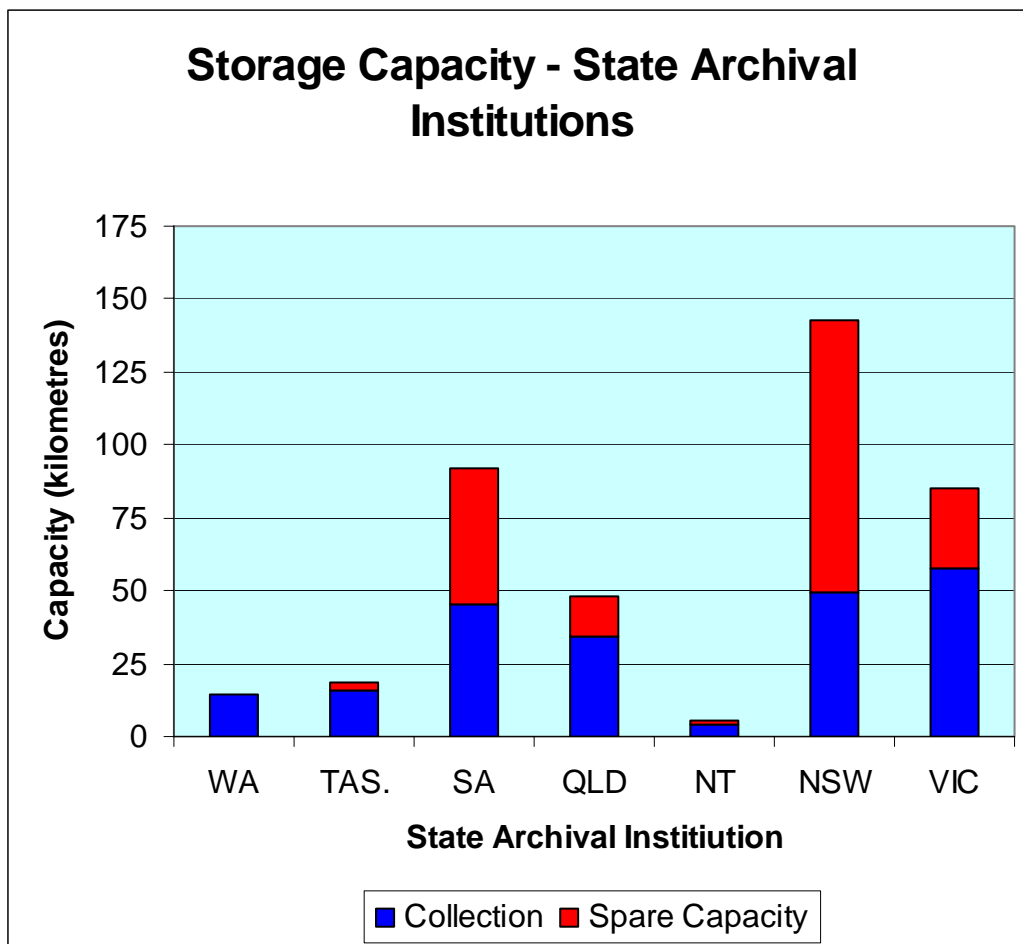
- Over 31,000 linear metres of State archives are held in government agencies, more than twice the size of the State archives collection. To put that in perspective, there are enough archives in government agencies to cover two football ovals. If placed in boxes end on end, those archives would stretch from Perth to Mandurah. If they were stacked in boxes on top of each other they would make a tower fifty kilometres high.
- Government agencies spend an estimated \$1,200,000 per annum on the storage of State archives, including \$280,000 for commercial storage and approximately \$920,000 per annum on in-house storage, often in the Perth CBD.
- Over 131,000 linear metres of State records (including State archives) are held in government agencies.
- Government agencies spend an estimated \$3.8 million per annum on the storage of State records (which includes State archives), including \$2.7 million for commercial storage and approximately \$1.13 million per annum on in-house storage, often in the Perth CBD.

The storage needs of existing records place considerable financial and practical burdens on government agencies. More importantly, the Commission recognises that the storage of State archives requires higher standards and greater environmental controls, which only add to the present burden.

The research data clearly reveals the extent of the current problem in Western Australia. The Commission notes that, of all State and Territory archival institutions, only the Northern Territory has a smaller storage capacity than

Western Australia, while the capacity of both Queensland and South Australia far exceeds that of Western Australia.

Whilst the research data will assist the SRO in its strategic planning to address the access and storage requirements of the State for the next 10-15 years, Western Australia remains the only State without an adequate, purpose designed, modern facility to store, preserve and provide access to records that are the evidence of the government of Western Australia from settlement to the present day.



Source: COFSTA survey 2001-2002

### ► **Rate of Submission of Recordkeeping Plans**

Government agencies are required to submit a draft recordkeeping plan to the Commission before 7 March 2004. To date, only 29 draft plans have been lodged with the Director.

The Commission is concerned about the slow rate of submission of these plans which, if left to the deadline, will create an operational burden for the SRO and for the State Records Advisory Committee in the coming year.

To address this problem, the Director sought assistance from the Strategic Management Council to implement the following plan to ensure the timely compliance with the submission deadline. The planned approach requires:

- High-level involvement by each Director General and support of recordkeeping plan processes in his or her agency;
- Each Director General to provide the SRO with an agreed timetable for lodgement of his or her recordkeeping plan;
- Consent to a timetable of accelerated dates for lodgement of individual plans;
- Support for agency representatives to attend the workshop training program; and
- An undertaking to aggregate plans of similar agencies, where appropriate.

The Commission supports the development of a whole-of-government solution to the production of recordkeeping plans and recognises the support given by the members of the Strategic Management Council to assist the Director to achieve those outcomes.

### ► **Online Register of State archives**

Section 73 of the *State Archives Act 2000* requires the Director to establish a register of State archives. Currently, about two thirds of the records held by the SRO in the State archives collection are identified and listed only on an in-house database. The Commission considers that the existing database

should be overhauled and upgraded to enable on-line access as the Archives Register and to make all State archives, regardless of physical location, more accessible by Government agencies and the community.

The Commission notes that the holdings of all State government archives (other than Western Australia) will be accessible on-line by mid 2005. For example, researchers currently have on-line access to the collection databases of the National Archives of Australia, State Records in NSW, the Queensland State Archives and the Public Records Office of Victoria. Further, the archives of South Australia will be searchable on-line by mid 2004, and the Tasmanian State Archives plans to introduce a similar web based system for accessing the archives in that State.

Although preliminary work to upgrade the in-house database of the SRO has commenced, the Commission is aware that, unless the SRO receives additional resources, it will be unable to complete the task, leaving Western Australia as the only State unable to provide the public with on-line access to its important state archives.

Further, unless additional resources are forthcoming, the Commission accepts that Western Australia will be unable to participate in national initiatives to establish an Australia-wide gateway to library, museum and archival data, and that the public in Western Australia will not enjoy the substantial research and access benefits that are expected from such a project.

### ► **New approaches to maintaining electronic records**

The records management community worldwide is facing the challenge of finding the best way to collect, preserve and provide access to digital records. In Western Australia, government organizations are required to manage current and long term digital records in their own devolved environment.

The Commission is of the view that present arrangements are no longer desirable for several reasons. Firstly, it increases the risk of data loss through competing pressures and priorities in agencies. Secondly, the periodic restructure and reorganization of agencies disrupts information systems and increases the risk of loss of data or records through oversight, neglect, or technological failure. Thirdly, unless technology is properly managed, digital



records may not be migrated to new digital formats.

► **Increased access through digitization**

The Commission supports current and future initiatives by the Director to establish a comprehensive and ongoing program to digitize records in the State archives collection. A pilot program has commenced to convert frequently used records series in the State archives collection into a digital format to enable the public to consult and use State archives on-line and via other compatible systems once a suitable database and interface is established. This will overcome the ‘tyranny of distance’ that prevents many clients from obtaining access to State archives.

► **Local Government Councillors’ Records**

Under the Act, councillors are covered by the definition of a ‘government organization employee’ and records created or received by councillors in that capacity are ‘government records’ for the purposes of the Act, a situation consistent with practice in other states.

The Commission is aware that the Western Australian Local Government Association objects to the application of the Act to councillors and that serious misinformation has been circulating among local authorities about the implications of the Act for councillors performing their community duties and obligations.

The Commission is concerned that the intended goals of the legislation, which are to meet community expectations of cost effectiveness, openness and accountability in records management, together with the generally good recordkeeping standards and practices of many local authorities, should not be jeopardised by this campaign.

The Commission and the SRO explored opportunities to reassure councillors that the Act does not impose unnecessary or onerous responsibilities on them and will continue to do so until this issue is satisfactorily resolved.

### ► Recordkeeping plans for new organizations

Newly established organizations are required to submit recordkeeping plans to the Commission within 6 months after the date of their creation.

New government organizations established after November 2001 were the Police Royal Commission and the Gordon Inquiry. The Commission notes that both organizations have submitted draft recordkeeping plans to the Director.

## SPREADING THE MESSAGE

During 2002–2003, Commissioners made the following presentations to promote awareness of the Commission and the Act:

**10 July 2002:** Commissioner Keighley–Gerardy addressed the Annual General Meeting of the WA Branch of the Australian Society of Archivists.

**26 September:** Commissioner O’Donnell addressed the Local Government Managers Australia (WA Division) seminar.

**25 October:** Commissioner Pearson presented a paper entitled “*The State Records Act, where to from here?*” to the Annual State Conference of the Local Government Managers’ Association.

**21 November:** Commissioner Keighley–Gerardy presented awards for ‘Excellence in Records Management’, which were sponsored by the Records and Information Managers Liaison Group.

**7 March:** Commissioner Pearson presented a paper entitled “*A major step towards transparent and accountable government*” at the ‘Countdown to March 2004’ Seminar.

**19 March:** Commissioner Pearson discussed progress with recordkeeping plans at a Records Management Association of Australia function to mark the first anniversary of the release of Standards 1-6.

**12 June:** Commissioner Keighley–Gerardy presented a paper entitled “*A regulator’s view from the inside*” at the Archives and Records Education Stakeholders’ Forum in Melbourne.

## **OUR RELATIONSHIP WITH THE STATE RECORDS OFFICE**

The Director is the Executive Officer to the Commission and through him the SRO provides advice and support to the Commission. In that capacity, the Director attends meetings of the Commission, and the Team Leader, Recordkeeping Services in the SRO, is the Executive Secretary to the Commission.

The Director reports to the Commission on all matters relating to the operation of the Act. However, the Director is administratively accountable to the Director General, Department of Culture and the Arts, and the SRO is resourced through the Director General.

Draft recordkeeping plans of Government organizations are submitted to the Director and checked by SRO staff before submission to the Commission for approval. The plans are assessed against a consistent matrix, a report is prepared, and the documents are forwarded to the Commission for consideration and approval.

The Commission has established the State Records Advisory Committee, which examines Retention and Disposal Schedules prepared by Government organizations and makes recommendations to the Commission about retention periods. The Director is the chairperson of this Committee, while secretarial support is provided by other SRO staff.

The inaugural Director, Mr Chris Coggin, retired on 7 November 2002 after 24 years of service. Following that, members of the Commission participated in the selection processes for an Acting Director and the new substantive Director.

Subsequently, Ms Maureen Robinson was appointed as Acting Director until 24 March 2003, when Mr Tony Caravella commenced duties as the new Director. Ms Isabel Smith, also served as Acting Director from 11 November to 13 December 2003.

## THE STATE RECORDS ACT 2000

The Act and the *State Records (Consequential Provisions) Act 2000* and were fully proclaimed on 30 November 2001.

Part 8 of the Act establishes the Commission as an independent statutory authority with standards setting, auditing and reporting responsibilities. The Commission is accountable directly to Parliament.

Under the Act, a State record is defined as any record of information created, received or maintained in any form by a government organization or Parliamentary Department. State records can exist in any format on which information is stored, including plans, photographs, films, magnetic and optical media.

A cornerstone of the legislation is the recordkeeping plan which is required by each government organization. Each plan must identify all of the 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. Each plan must be submitted to the Commission for approval.

Part 9 of the Act establishes the position of Director. The Director and staff of the SRO provide advice, assistance and training to government organizations concerning the management of records, particularly in relation to recordkeeping plans. The SRO also provides information about, and public access to, records held in the State archives collection.

The *State Records (Consequential Provisions) Act 2000* amended relevant parts of other State legislation and its transitional provisions ensured the orderly transfer of State archives held by the Library Board into the custody of the Director.

## 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 State records that are not to be State archives; and
- Associated matters.

The Committee meets regularly to consider the retention and disposal components of recordkeeping plans, and makes recommendations to the Commission about the disposal of records described in those plans.

Membership of the Committee includes representatives from the Public Service and bodies concerned with recordkeeping. Members and deputy members are appointed for either two years (in the case of former members who have been reappointed) or three years if a new member.

During 2002/03, the Committee met 7 times and approved 23 disposal authorities. Two meetings dealt specifically with the General Disposal Authority for Administrative Records.

The Commission acknowledges the work of all Committee members and their dedication to this task which is largely performed in the member's own time.

### **Members of the State Records Advisory Committee (SRAC) as at 30 June 2003**

#### **Chair**

##### **Director: State Records Office**

Mr Tony Caravella

#### **Members & Deputies**

##### **Australian Society of Archivists (WA) Inc**

Ms Jenny Edgecombe (Deputy: Dr Karen Anderson)

##### **Department of Indigenous Affairs**

Mr Andrew Pepper (Deputy: Ms Sue Beverley)

**Historical Interests representative**

Professor Geoffrey Bolton (Deputy: vacant)

**Institute for Information Management Ltd (WA)**

Ms Gaynor Deal (Deputy: Mr Brian Soares)

**Law Society of Western Australia**

Mr Michael Sonter (Deputy: Ms Prue Griffin)

**Local Government Managers' Association**

No current member (Deputy: Ms Noelene Jennings)

**Local Government Records Management Group**

Ms Shirley Conway-Mortimer (Deputy: Ms Janet Farrell)

**State Government CEO representative**

Mr Greg Joyce (Deputy: Mr Brian Bradley)

**Records & Information Management Liaison Group**

Mr Roy Watkins (Deputy: Ms Trish Fallon)

**Records Management Association of Australia (WA)**

Ms Josette Mathers (Deputy: Ms Gail Murphy)

**Executive Secretary****Manager: State Recordkeeping: State Records Office**

Ms Isabel Smith

**Secretary****Administrative Assistant: State Records Office**

Mrs Karen Eichorn

## CONTACT DETAILS

The Commission can be contacted by telephone, fax, email, or in writing and all enquiries should be directed to the SRO at the following addresses:

### State Records Commission

Alexander Library Building

Perth Cultural Centre

Perth WA 6000

Mon – Fri : 9am to 5pm

☎ (08) 9427 3426

fax: (08) 9427 3368

email: [sro@sro.wa.gov.au](mailto:sro@sro.wa.gov.au)

website: [www.sro.wa.gov.au](http://www.sro.wa.gov.au)

### State Records Office

Ground Floor

Alexander Library Building

James St (West entrance)

Perth Cultural Centre

Perth WA 6000

☎ (08) 9427 3360

fax: (08) 9427 3368

email: [sro@sro.wa.gov.au](mailto:sro@sro.wa.gov.au)

### Chairman, State Records Commission

Mr D D R Pearson, Auditor General

Office of the Auditor General

4th Floor, 2 Havelock St

West Perth WA 6005

☎ (08) 9222 7500

fax: (08) 9322 5664

email: [ag@audit.wa.gov.au](mailto:ag@audit.wa.gov.au)

### Director of State Records and

#### Chief Executive Office to the Commission

Mr Tony Caravella

☎ (08) 9427 3370

fax: (08) 9427 3368

email: [tcaravella@sro.wa.gov.au](mailto:tcaravella@sro.wa.gov.au)

## ***APPENDIX A***

### **State Records Office of Western Australia**

#### **Standards and Principles Framework**

##### **Introduction**

Following the implementation of the *State Records Act 2000* the State Records Commission published six Standards that include within them eighteen principles. In essence, the Standards created by the State Records Office match the requirements of the Act to ensure that all government agencies have basic criteria to work with by which Government records are created, identified, maintained and stored. Two Guidelines have also been produced.

There is a constant and continuing call from Government Agencies for the production of more Standards, on a range of topics. In order to produce Standards in an appropriate and timely manner the SRC and SRO have devised a framework for the production of Principles, Standards and Guidelines.

##### **Comparative models and structures - Standards creation organization**

International Standards are prepared by peak professional and technical committees, which identify areas of need within their own professions. The Australian and American national standards organizations prepare standards in a similar way. Both best practice and technical standards are issued at a relatively abstract level. AS ISO 15489, for example, provides a foundation for the development of Recordkeeping practices and policies, which meet international criteria for best practice records management. The Standard is accompanied by a Technical Report which “provides one methodology that will facilitate the implementation of ISO 15489...”

The Standard is issued in conjunction with a range of other standards, both technical and procedural, and is accompanied by a set of guidelines for its implementation. Technical Standards may be accompanied by Technical



Reports and appendices, which provide more specific instruction and measurements. Archival authorities, both in Australia and overseas, have also produced policies, standards and guidelines.

**National Archives of Australia** – The National Archives (NAA) are implementing their strategy entitled *Recordkeeping in the Commonwealth: a New Approach*. Under this strategy the Archives will be developing a range of policies, standards and guidelines. Some standards have already been developed, such as the *Standard on Physical Storage of Commonwealth records*, and there are range of policies and guidelines, including *e-permanence made easy*.

**New South Wales** – In addition to being keenly involved in the development of AS 4390, the State Records Office of New South Wales (SRONSW) has been active in the development of standards for many years. They have produced a pyramidal model of legislation and regulation. Under this model the SRONSW has a key set of policies, made explicit in legislation, and regulated through standards.

The SRONSW includes its “suite” of General Disposal Authorities within the concept of a standard. Similarly, it has a layer below that of standards for codes of practice, although the explanatory text makes clear that these codes are also regarded as standards in terms of developing and maintaining best practice. Below that there is the level of Guides and manuals, which are designated as providing practical guidance and the tools by which Government can implement the higher level documents.

**Victoria** - The Keeper of the Public Records Office of Victoria (PROV) is required by legislation to “establish standards for the efficient management of public records...” and has published Standards, which fall within the category of best practice standards. In addition, the PROV has published specifications, which provide greater technical detail, but do not have the same legal status as the Standards.

**Queensland** – The Queensland State Archives (QSA) has developed a whole-of-government framework for records and archives that fits into the Queensland Government’s Government Information Architecture. Under this framework the Archivist has developed a set of policy statements which are detailed with specific information standards, including a key policy statement

which “functions as the overarching whole-of-Government policy for recordkeeping in Queensland.”

This key policy statement is embodied in Information Standard 40, which “is the umbrella recordkeeping policy for State and Local Government in Queensland. It is technology-neutral and provides policies and principles for recordkeeping regardless of the administrative environment in which public records are created, managed or disposed.” In addition to the Information Standards Queensland State Archives has issued a range of guidelines and codes of best practice

**South Australia** – The State Records of South Australia (SRSA) released *its Adequate Records Management Standard* in May 2002. The Standard forms part of an “over-arching framework...” which includes other standards, an Improvement Matrix and information sheets. SRSA is developing a suite of interrelated standards and guidelines.

**Tasmania** – The Archives Act 1983, and Archives Regulations 1987, provide the framework within which the Archives Office of Tasmania (AOT) issues policies, guidelines and procedures for the management of State records according to best practice.

**Northern Territory** – The Northern Territory Archives Service (NTAS) has produced a hierarchical framework for the development of policies, principles and guidelines, which draws largely on the work of the SRONSW. The key difference lies in the level at which Government legislation sits, under Codes of Practice, and the fact that there are no standards only the codes. Policies are developed and implemented in accordance with published guidelines.

**New Zealand** – The issue of standards development has been given to a Statutory Regulatory Group, which has been convening since 1996. Archives New Zealand has published a paper on the issue of the creation and development of standards that expands considerably on the work of Roberts at the SRONSW, which goes into the background and reasons behind the need for such a Group. Standards are to be developed that both expand on and interlink with other government regulations and standards as well as international standards and codes of practice.

### Framework for new Western Australian Recordkeeping standards

In assessing the frameworks adopted in other archival and recordkeeping jurisdictions two main models for the development of regulatory and advisory material have been identified. The first is the hierarchical model, adopted by SRONSW and NTAS, and the second is a less hierarchical, more interconnected structure, which is based on the development of suites of material, adopted by SRSA and Archives New Zealand.

The SROWA framework falls into the second model, being both organic and evolving, consisting of suites of standards and principles, which may be both interlinked and/or overlapping, that reflect the three core areas of records and archive management – Recordkeeping, Access and Preservation.

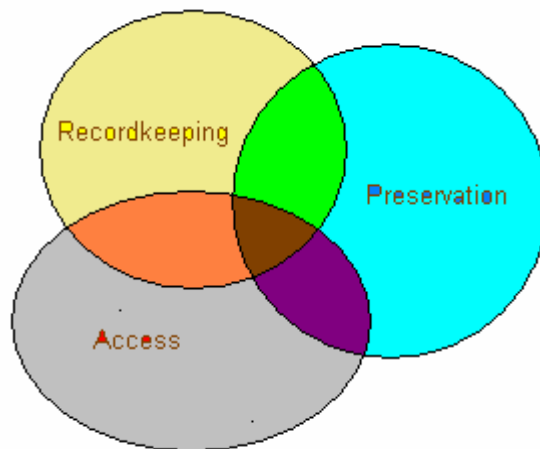


Figure 1 – Framework model

The *State Records Act 2000* is the key to the SRO Standards Framework. Following on from the legislation are the principles and standards, wherein principles are encompassed within each standard and form the foundation for that standard. New standards can be created within the framework, as areas of need are identified, particularly as technological changes impact on

recordkeeping processes, access regimes and preservation knowledge.

In addition, guidelines and manuals will be developed and published, which provide interpretation and advice on the implementation of the legislation and standards. Guidelines can be used as a preliminary stage in the preparation of standards by creating an environment or expectation for a standard, or to explore and develop new processes and procedures. Guidelines can provide valuable practical and technical advice in support of a standard.

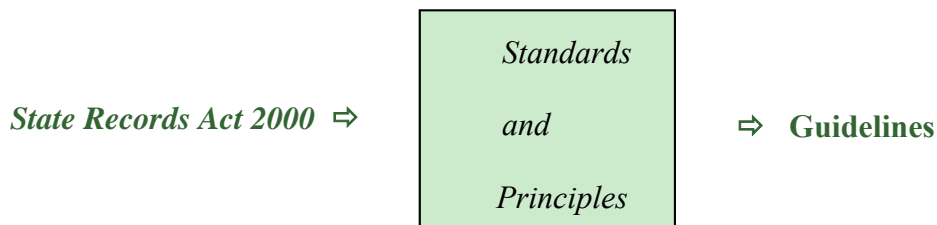


Figure 2: Linear model

## Conclusion

The State Records Office of Western Australia will adopt an organic framework for the development of principles and standards, based on the three core areas of Recordkeeping, Preservation and Access.

**APPENDIX B****Recordkeeping Plans Received and Approved As At 30 June 2003****1. Recordkeeping Plans requiring Parliamentary approval**

<b>Organisation</b>	<b>Due date for submission</b>	<b>Approval date</b>
Legislative Assembly	1 December 2002	16 October 2002
Legislative Council	1 December 2002	4 December 2002
Parliamentary Services Department	1 December 2002	4 December 2002

**Compliance report:** All plans submitted and approved

**2. Recordkeeping Plans requiring Ministerial approval**

<b>Organisation</b>	<b>Due date for submission</b>	<b>Approval date</b>
State Records Commission	30 November 2002	28 September 2002
Western Power	1 January 2004	24 March 2003
Water Corporation	1 January 2004	Not yet received

**Compliance report:** 1 plan yet to be submitted and approved

### 3.1 Recordkeeping Plans approved by the State Records Commission as at 30 June 2003

<b>Organization</b>	<b>Plan approval date</b>
Fremantle Port Authority	20 March 2003
International Centre for the application of Solar Energy	8 May 2003
Office of the Auditor General	8 May 2003
South West Area Health Service	20 March 2003
State Records Office	1 July 2002
Western Australian Country Health Service	20 March 2003
Western Australian Police Royal Commission	20 March 2003

### 3.2 Draft Recordkeeping Plans received by the Director prior to 1 July 2003, but not approved by the Commission before 1 July 2003

Albany Port Authority
Armadale Redevelopment Authority
Art Gallery of Western Australia
Bunbury Cemetery Board
City of Wanneroo
Conservation Commission of Western Australia
Construction Industry Long Service Leave Payments Board
Country High schools Hostels Authority
Department of Culture and the Arts
Gordon Inquiry
Great Southern Regional Council
Psychologists' Board of Western Australia
Shire of Northam
State Library of Western Australia
Totalisator Agency Board
Western Australian Land Authority
Western Australian Museum

**Compliance report on all Government and Parliamentary Organizations: 29 plans received: 394 plans not yet submitted**

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