



# State Records Commission

Annual Report  
2016 – 2017



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State Records Commission of Western Australia

# ANNUAL REPORT 2016 – 2017

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Executive Officer to the Commission:  
Cathrin Cassarchis, State Archivist and Executive Director State Records

State Records Commission of Western Australia

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# Chairperson's Foreword



This year as I present the 16<sup>th</sup> Annual Report of the State Records Commission (**the Commission**), on behalf of my fellow Commissioners, I am pleased to report on a range of measures approved by the Commission regarding the effective management of State records in the public sector.

Following the announcement of the first round of Machinery of Government changes in April 2017, the State Records Office (**SRO**) immediately commenced the necessary work to support government through this process.

This year the SRO has also continued to: provide advice, consultation and training to State and local government throughout the State; provide input to Commissions of Inquiry such as the Royal Commission into Institutional Responses to Child Sexual Abuse; participate on National committees, working through the Council of Australasian Archives and Records Authorities and Standards Australia to contribute to and develop holistic approaches to standardised information mechanisms suitable for adaptation within Australasia; and oversight Recordkeeping Plans and Retention & Disposal Schedules for effective information governance of the State.

The SRO has focussed on helping government organizations to reduce unnecessary practices by utilizing the effective management of recorded information to improve business operations. One such practice has been encouraging organizations to move from paper to paperless wherever possible while ensuring government information, both hard copy and digital, is protected from the risk of unintentional loss or destruction.

I am also pleased to advise that the SRO has developed a draft Born Digital Strategy to transition government to a fully digital information management environment. Following consultation this Strategy will be released in 2017-18.

As usual I am indebted to my fellow Commissioners for their ongoing support.

The Commission acknowledges, with gratitude, the work of senior management and record keeping staff across all State and local government agencies. Their continued support for the work of the Commission and the SRO underpins good business practices in safeguarding the information assets within government.

We are also grateful to Ms Cathrin Cassarchis, who has continued to provide exceptional leadership as State Archivist and Executive Director State Records.

The Commission takes very seriously ensuring that it implements the relevant provisions of the *State Records Act 2000*. Ultimately, good management of the State's information allows government to create, find, use and re-use information effectively for as long as it is required, ensuring those records of government business with permanent value are identified and preserved as State archives while those no longer required are lawfully destroyed.

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Chris Field

Chairperson, State Records Commission  
September 2017



# Strategic Focus

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The Commission reports to Parliament on progress and achievements against the requirements of the *State Records Act 2000* (the Act), including:

- (a) State record keeping is of a standard that best serves the interests of the people of WA; and
- (b) Subject to the law, that government records are accessible to the public.

The Commission contributes to the strategic planning processes of the SRO and in this context, supports the SRO's priorities in the following areas:

## Maintain a world class regulatory environment

Following the McGowan Government's April 2017 announcement of Machinery of Government (MOG) changes, the SRO has provided advice, guidance and documentation to assist agencies with the substantial changes planned for 1 July 2017 and beyond. The first phase of MOG involves amalgamation, or other administrative change, for 41 existing State government organizations. Timely advice to affected agencies is critically important to ensure that the provenance of government information is not lost during this time of significant change; and that future government information is captured and managed appropriately.

The SRO is also providing significant consultancy to external bodies concerned with State records. As part of the Council of Australasian Archives and Records Authorities' working group assisting the Royal Commission into Institutional Responses to Child Sexual Abuse, the SRO is providing input into ownership and custody issues and other recordkeeping requirements for relevant records. The SRO also provides professional consideration of industry standards as a member of the Standards Australia IT-021 Committee - Records and Document Management Systems group.

Section 76 of the *State Records Act 2000*, relating to information about Aboriginal Australians, was reviewed by the Commission during 2016-17, with the existing interpretation and application of this section found to be appropriate and satisfactory.

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The Online Retention and Disposal Application (ORDA) continues to be well utilized, with 27 additional Disposal Authorities registered to ORDA during the year. The system enables agencies to use a master template for the development of their Retention and Disposal Schedules; thus limiting the amount of time and duplication of effort for each agency. In 2016-17, the SRO commissioned the development of a new ORDA module to enable government agencies to prepare and submit Recordkeeping Plans to the SRO via the online system. This module is expected to be fully operational during the first quarter of 2018.

## Manage the State Archives Collection

It has been nearly two decades since State government organizations have been able to transfer State archives to the SRO. Establishing a purpose built State Archive (incorporating a Digital Archive) in order to support the Western Australian government remains a high priority for the SRO and the Commission.

During 2016-17 the SRO managed the State Archives Collection through AtoM (Access to Memory) which is a Collection Management System using a web based open source software for archival description. The SRO completed installation of a new digital preservation system called Archivematica, which is intended to store the SRO's digitized archives in a fit-for-purpose system and provide basic capacity for the transfer of born-digital archives from government agencies.

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## Broaden Access to Services

Through a partnership with the Department of Aboriginal Affairs (DAA), on 30 June 2017 the SRO completed digitization of all files in the State Archives Collection from the various departments responsible for Aboriginal affairs since 1898. Approximately 15,000 files have been digitized resulting in over 1 million images. The SRO is currently developing access protocols to the digitized content for the provision of online access.

The SRO implemented a Digitization on Request service in 2016-17 for members of the public and government agencies. Under this service, copies of archival records are digitized on request for a fee, with digital copies to be made available via the SRO's online catalogue at a subsequent stage.



Duane Kelly, Indigenous Cadet, with a depiction of an 1866 murder scene at Canal Rocks, Yallingup – State Archives Collection

# Significant Issues

## Archives at Risk

Due to the lack of appropriate storage space and infrastructure, the SRO has been unable to accept transfers of State archives from Western Australian government agencies into the State Archives Collection since 2001.

The Commission remains concerned about the potential loss or damage of more than 56.5 linear kilometres of hard copy State archives which are currently awaiting transfer to the State Archives Collection. These historically significant archives are held by government agencies at their own cost in conditions which are not ideal and which present risks to their ongoing survival.

While the volume and distribution of a large quantity of hard copy State archives presents significant but largely manageable challenges, the Commission is also concerned about an increasing volume of permanent value digital information. Documents, images, databases, business applications and business systems are being created across Western Australian government agencies in the course of delivering services to the community. The Commission is aware that born digital records are inherently more fragile than paper and are at relatively greater risk of damage or loss over time.

In early 2017 the SRO drafted a *Born Digital Strategy* in order to set a framework for the management of digital assets within government. The Strategy was distributed to a number of government agencies for initial feedback and the Commission anticipates that this strategy will be released next year in order to help State government agencies manage and protect the digital archives they are creating.

The Commission looks forward to resolving the lack of appropriate infrastructure for both hard copy and digital archives. This is a matter of priority to enable the protection of irreplaceable State information, ranging from records from the 1800s to government data created in the 1990s and beyond.

**“Efficient and effective information management processes are required to support agency operations and government transparency and accountability. There are many challenges in this area with resourcing pressures and changing technologies. But the work is important to facilitate open and accountable government and protection and preservation of State archives.”**

Colin Murphy, Auditor General



Both hard copy and digital information face significant risks to their ongoing preservation.  
(Bottom photograph: Pawsey Supercomputing Centre)

# About Us



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

The Commission was established in July 2001, in accordance with Part 8 of the *State Records Act 2000*. The Commission consists of four members: the Auditor General; the Information Commissioner; the Parliamentary Commissioner for Administrative Investigations (Ombudsman); and an appointee with record keeping experience from outside government. The Governor appoints the fourth Commissioner for a three-year term.

## During 2016-17 the Commissioners were:

### **Mr Colin Murphy**

Auditor General, and Chair of the Commission until March 2016

### **Mr Chris Field**

Parliamentary Commissioner for Administrative Investigations – Chair of the Commission since March 2016

### **Mr Sven Bluemmel**

Information Commissioner

### **Ms Justine McDermott**

Governor's Appointee to the Commission

The Commissioners' personal profiles can be viewed on the SRO website at [www.sro.wa.gov.au](http://www.sro.wa.gov.au)



# Commissioner Profile – Chris Field



I commenced my career as a lawyer at Arthur Robinson and Hedderwicks (now Allens Linklaters), prior to holding the roles of Executive Director, Consumer Law Centre Victoria and Chairman, Australian Consumers' Association (now Choice). Immediately prior to my appointment as Ombudsman, I was an inaugural Member of the Economic Regulation Authority. I hold Arts and Law (Honours) degrees.

I am an Adjunct Professor in the School of Law at the University of Western Australia, a position I have held since 2006. I am also co-founder and co-coordinator (with Professor Simon Young) of the unit *Government Accountability – Law and Practice* that is taught biennially in the School of Law at the University of Western Australia. I am also the author of a range of publications on law, economics and public policy.

In 2016, I was elected Second Vice President of the International Ombudsman Institute. The Institute represents 170 Ombudsman institutions from more than 90 countries. Prior to my election as Second Vice President, I served as the Treasurer of the Institute between 2014 and 2016 and President of the Australasian and Pacific Ombudsman Region of the Institute between 2012 and 2014.

As the Western Australian Ombudsman, I am also an ex-officio member of the State Records Commission and currently hold the position of Chairman of the Commission. The Ombudsman receives, investigates and resolves complaints about State Government agencies, local governments and universities, initiates major own motion investigations with all the powers of a Standing Royal Commission, reviews certain child deaths and family and domestic violence fatalities, and undertakes inspection and monitoring functions. I also concurrently hold the role of Energy and Water Ombudsman.

Recordkeeping is integral to good administrative practice. The records of public authorities are of critical importance to the work of the Ombudsman. In my office's investigations and reviews, and inspection and monitoring functions, good recordkeeping provides transparency and accountability in administrative decision making, by recording evidence of what, where and how a decision was made. Good recordkeeping practices provide evidence of the interactions between public authorities and Western Australians, and decisions affecting them. It can also provide important evidence to support decision making by public authorities. State records also provide insight into the unique history and development of Western Australia, into its administration and governance. They provide a wonderful window on our past and will, no doubt, serve future generations enormously as they seek to inform their progress enriched by the recorded knowledge of the past.

I strongly support the work of the Commission that the Western Australian Parliament has tasked us to undertake. It has been a great privilege to have served as a State Records Commissioner since 2007 and as Chairman of the Commission since March 2016.

# What We Do

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The Commission's functions are set out in Part 8 of the *State Records Act 2000* and include:

- Approving government organizations' Record Keeping Plans;
- Approving the legal disposal of government records;
- Monitoring the operation of and compliance with the Act;
- Monitoring compliance by government organizations with their respective Record Keeping Plans;
- Inquiring into breaches, or possible breaches, of the Act;
- Establishing principles and standards for the governance of record keeping by State organizations; and
- Determining the access status of certain State archives.

The Commission holds regular meetings per year, including one in regional WA when possible (see Figure 1).

The minutes of each meeting may be viewed on the SRO website at [www.sro.wa.gov.au](http://www.sro.wa.gov.au).

The Commissioners also attend events with the aim of enhancing public sector and community awareness of the work of the Commission and the benefits of the Act.

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## 12 August 2016

Commission meeting held in Perth.

## 24 November 2016

Commissioners Bluemmel, McDermott and Field attended the Geoffrey Bolton Lecture, delivered by Commissioner Andrew Murray at Government House.

## 9 December 2016

Commission meeting held in Perth.

## 2 March 2017

Commissioners Murphy and Bluemmel attended the W.S. Lonnie Awards presentation.

## 17 March 2017

Commission meeting held in Perth.

## May/June 2017

Commissioner McDermott participated in the judging of the 2017 Margaret Medcalf Award.

## 28 June 2017

Commissioners McDermott and Bluemmel attended the presentation of the 2017 Margaret Medcalf Award.

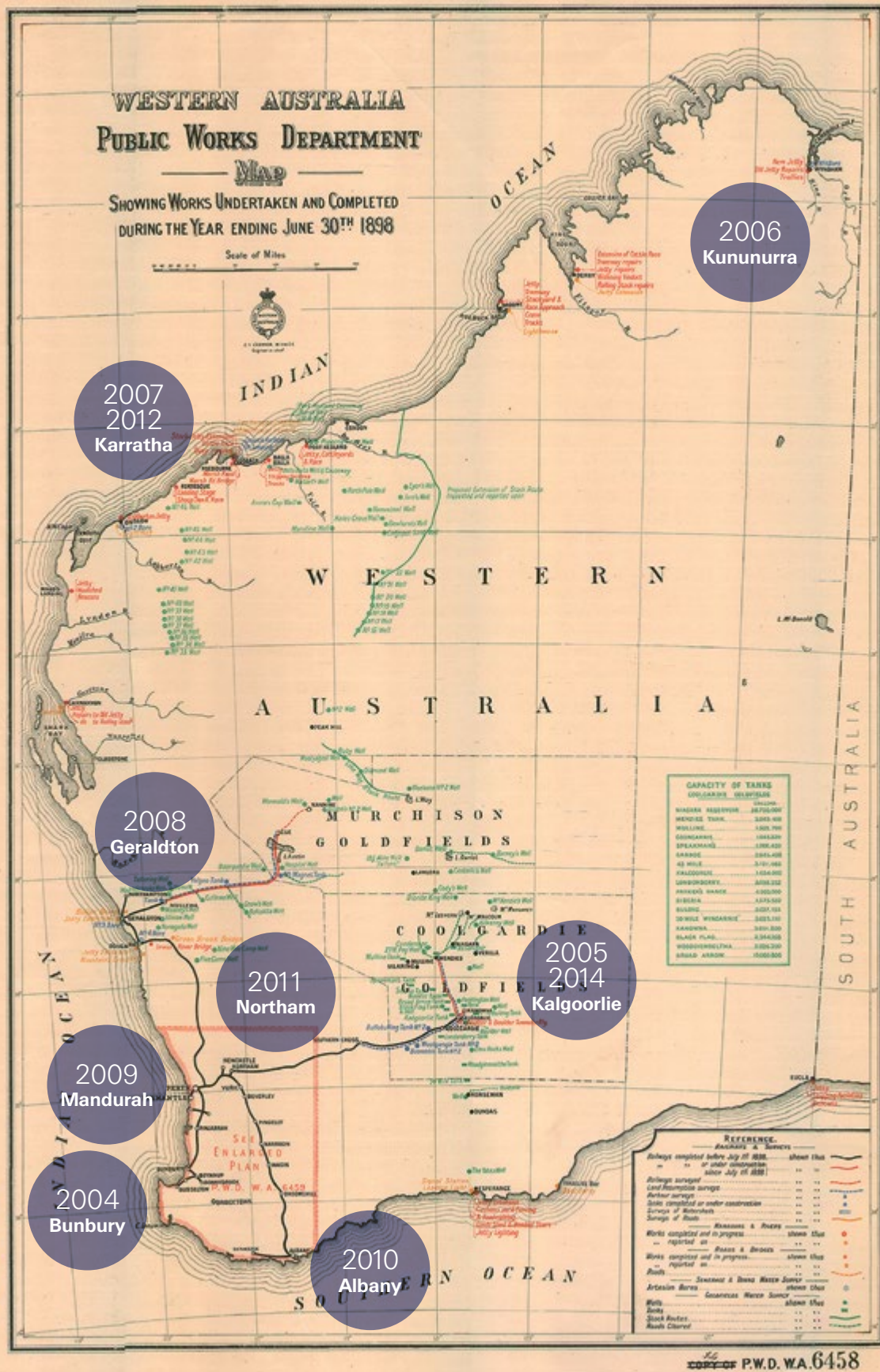


Figure 1: WA regional centres visited by the Commission since 2004

# Our Operating Environment

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In performing its functions the Commission is responsible for ensuring, as far as possible, a high standard of record keeping is maintained in over 300 government agencies and statutory organizations (including 140 local government authorities) that best serves the interests of the people of Western Australia.

These agencies employ over 100,000 people who produce or receive government information in a variety of formats, including conventional paper files, microfilm, cartographic plans, photographs, audio recordings and an ever increasing volume of digital records.

In administering the *State Records Act 2000*, the Commission has established a framework which places primary responsibility for effective record keeping on government agencies. The SRO offers substantial support to agencies to ensure compliance. This support may take the form of Standards, Guidelines, templates, fact sheets, advisory services, consultancy or training.

# Our Clients

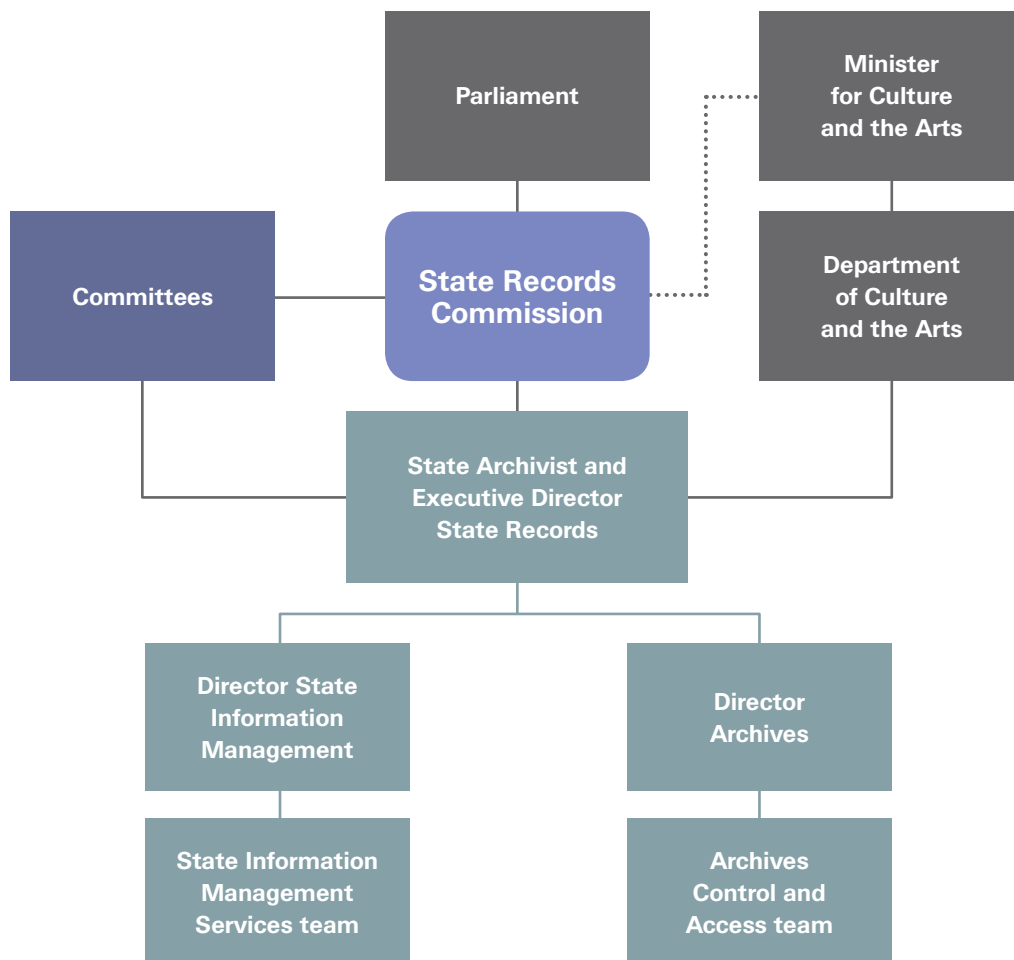
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## The Commission's clients consist of:

- State Parliament;
- Western Australian public sector organizations;
- Government trading enterprises;
- Local government authorities and elected members;
- A range of statutory offices, including the Governor's Establishment; Ministerial offices; Commissions; and Committees of Inquiry; and
- The people of Western Australia, who are able to access information in the State Archives Collection and ultimately benefit from the principles and standards by which State archives are selected and preserved.



# Our Relationship with the State Records Office



**Figure 2:** Representation of the Commission’s role in the reporting framework established by the Act

Part 9 of the *State Records Act 2000* establishes the entity called the State Records Office and prescribes the functions and role of the head of the SRO. In addition to other functions under the Act, the State Archivist and Executive Director State Records is the Commission’s Executive Officer, providing advice and support to the Commission, and along with the Director State Information Management, forms the Executive Secretariat to the Commission. These positions host and support the Commission’s meetings, functions and activities, with the State Archivist reporting to the Commission on matters relating to the operation of the Act and providing technical advice and administrative support when necessary.

A cornerstone compliance requirement of the Act is the mandate for each government organization to have a Record Keeping Plan.

The Record Keeping Plan must identify all records created and received by the organization; explain the format and content of those records; how they are managed in the context of the organization’s functions; specify a retention period for each class of record; and describe the management, security, and legal disposal procedures for all recorded information regardless of format.

The State Archivist ensures the monitoring and evaluation of agency compliance on behalf of the Commission and presents compliance and suspected breach reports to the Commission regarding agency practice.

For further information on the operation of the SRO see the Annual Report for the Department of Culture and the Arts.

# Key Performance Areas

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The following outlines activities carried out by the Commission during 2016-17 in meeting the requirements of the *State Records Act 2000*.

## 1. Government Record Keeping

### Evaluation and Approval of Record Keeping Plans

Under section 61 of the Act the Commission must establish principles and standards for the governance of record keeping by State organizations and provide guidelines to assist the compilation of Record Keeping Plans.

A Record Keeping Plan describes an agency's record keeping systems, disposal arrangements, policies and practices and indicates whether records are to be destroyed, or retained permanently in the State Archives Collection. It also contains recommendations about records to be treated as restricted access archives.

Under the Act, government organizations are required to submit Record Keeping Plans for approval by the Commission. As part of a continuous cycle of improved practice, a Record Keeping Plan must be reviewed within five years of its approval date (or last review), and a report of the review submitted to the Commission. This year 29 agencies were required to review their Plans (see Appendix 1).

During 2016-17 the Commission approved 47 new or amended Record Keeping Plans and the continuation of a further six requiring no amendment. In addition, 33 Record Keeping Plan review reports were considered by the Commission. These figures include 57 Record Keeping Plans submitted in the previous year which, due to meeting schedules, the Commission dealt with during the 2016-17 period. Of the 86 Plans actioned within the reporting period, 41 were from State government agencies and 45 from local government (see Figure 3).

Also during the reporting year a total of seven new organizations were required to submit Record Keeping Plans within six months of their creation date and all seven organizations complied (see Appendix 2).

In the coming year, 2017-18, a total of 38 agencies will be required to review their Record Keeping Plans (see Appendix 3).

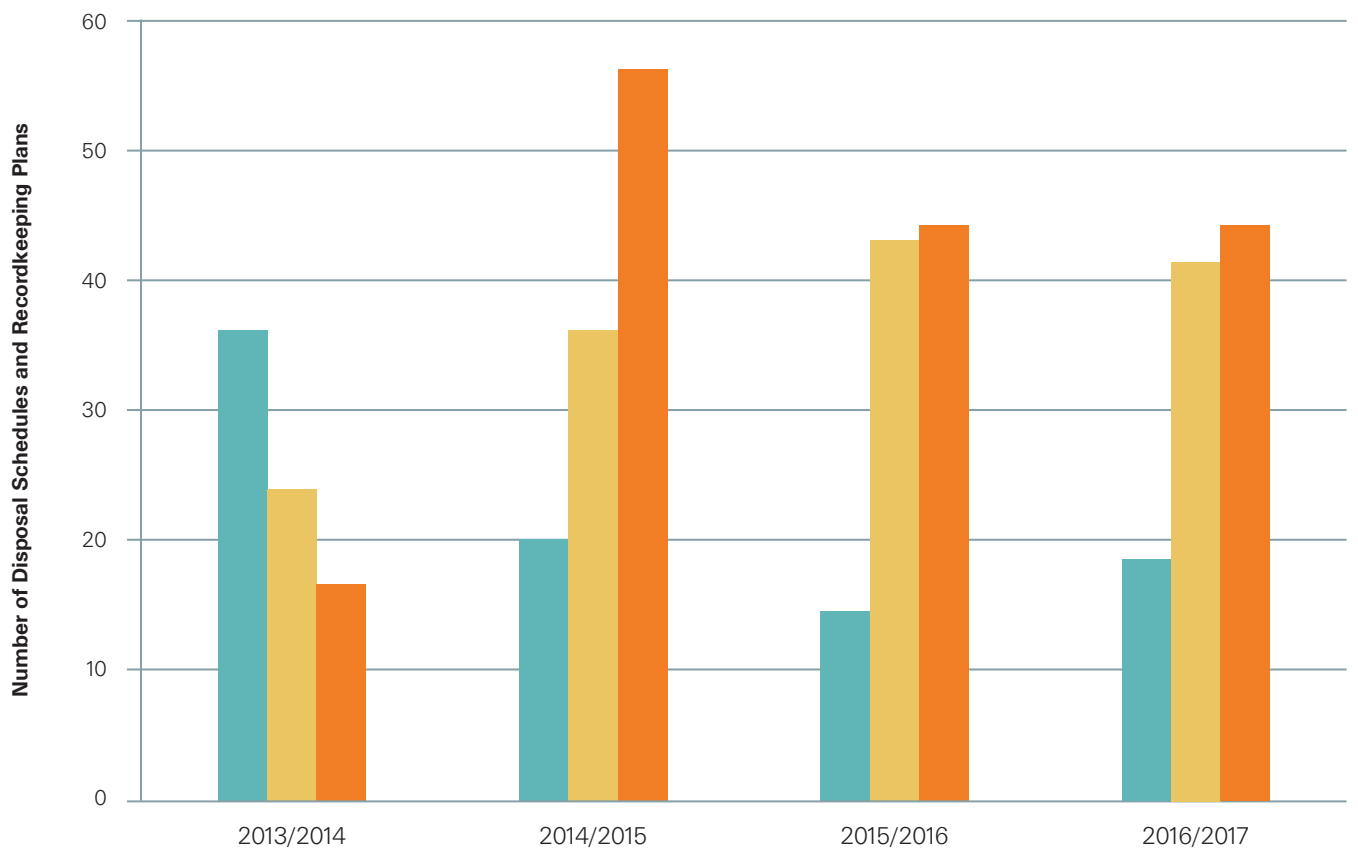
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## Retention and Disposal Schedules

The Retention and Disposal Schedule is an integral part of an organization's Record Keeping Plan. Unless records are covered by a General Disposal Authority or Sector Disposal Authority developed by the SRO, State government organizations are required to develop Retention and Disposal Schedules to accommodate the legal disposal of their core business (or functional) records. Record Keeping Plans can only be approved by the Commission once the Retention and Disposal Schedule has been given final approval.

Following advice from the SRO and the State Records Advisory Committee (see page 27), the Commission approved 19 Retention and Disposal Schedules during 2016-17 (see Figure 3). Of these, 14 were processed via the Online Retention and Disposal Application with the remainder being processed in hard copy.

## RECORDKEEPING PLANS AND RETENTION AND DISPOSAL SCHEDULES ACTIONED



**Figure 3:** Record Keeping Plans and Retention and Disposal Schedules Actioned

- Retention and Disposal Schedules
- Record Keeping Plans for State Government agencies
- Record Keeping Plans for Local Government agencies

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## Online Retention and Disposal Application

Developed by the SRO, the Online Retention and Disposal Application (ORDA) is a web-based system enabling government agency staff, and consultants working with agencies, the convenience of drafting and submitting disposal authorities in a secure online environment. The system integrates all processes associated with the SRO's management of disposal authorities including registration, tracking, reviewing and reporting, and marks a significant shift away from labour intensive hardcopy submissions previously required from agencies.

**ORDA, a web-enabled system, manages the full workflow for a disposal authority: from initial preparation through to final approval – thus eliminating the tedious duplication of effort for agencies.**

During 2016-17 the SRO registered 27 new disposal authorities via the Online Retention and Disposal Application, adding to the 14 authorities being progressed during the year (see Appendix 4).

In 2016-17, the SRO commissioned the development of a new module for ORDA that will allow government agencies to prepare and submit Recordkeeping Plans to the SRO via the online system. Current processes require submission of Plans and related information to the SRO in hardcopy. The new module will facilitate all workflow processes for reviewing and approving Recordkeeping Plans and associated attachments and aims to improve efficiency by streamlining processes. In addition, the new module will include a suite of reporting capabilities to allow data gathered from across government, in particular specific sectors of government, to be analyzed and used to improve and benefit whole-of-government practices. Agencies will be able to generate dashboard reports of their recordkeeping maturity / capabilities in comparison with other sectors from government.

The new module is scheduled to be finalized for operational use in the first quarter of 2018.

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## Sector Disposal Authority Program

The program to develop a range of Sector Disposal Authorities (SDAs) across State government continued with the SRO progressing the development of five SDAs during the year. Sector Disposal Authorities provide the legal means of disposal of information common to a group or sector of like organizations which operate with common functions.

The Mental Health SDA was approved by the Commission in December 2016 and is now available for five mental health agencies for disposal of their functional records. The SRO is working with representatives from the Water services sector; and the Racing, Gaming, and Wagering and Liquor industries; to progress their respective SDAs toward approval. Once completed, these two Sector Disposal Authorities will service a total of eight agencies, eliminating a significant ongoing workload for those individual organizations. Also in development is an SDA for Strategic Projects and one for Reviews, Investigations and Inquiries across the whole of government.

Since its inception, the program has realized a total of nine Sector Disposal Authorities which cover the core business records of approximately 66 government organizations.





**Figure 4:** Sector Disposal Authorities (SDAs) and government agency coverage

**Sector Disposal Authorities not only reduce time and resource imposts on government agencies but importantly, reduce duplication of process and ensure a consistent and comprehensive approach to the legal disposal of information across government.**

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## Publications completed 2016-17

During 2016-17 SRO staff progressed the following new and revised publications, available on the SRO website at [www.sro.wa.gov.au](http://www.sro.wa.gov.au), to assist organizations with common recordkeeping and information management matters:

### Machinery of Government (MOG) Advice:

In response to the MOG changes announced by the Premier in April 2017, the SRO provided advice via the Website "News" page to assist those State government organizations affected by the changes. Advice included reference to relevant SRO and Public Sector Commission information, as well as guidance on how MOG affected agencies should capture their website information.

### New Information Sheets:

- **Annual Reporting Requirements**  
Developed to assist government organizations with the preparation of annual report statements as required under SRC Standard 2, Principle 6.
- **Day Batching of State Records**  
Developed to inform government organizations of implications related to the practice of storing hard copy records in order of the date the record was received, scanned and captured.
- **Retention Batching of State Records**  
Developed to inform government organizations of implications associated with the practice of storing hard copy original records in accordance with the retention period after scanning and capture.
- **Vital Records**  
Developed to assist government organizations with the identification and protection of records essential to ongoing business.

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### Revised Information Sheets:

Revisions included updates to terminology and contact information for:

- **Email Records**
- **Recordkeeping Responsibilities and You**

### Sector Disposal Authorities (SDAs):

- **SDA for Mental Health Services**  
The SDA for Mental Health Services was approved by the State Records Commission in December 2016. It was developed by the SRO as a disposal authority to cover the core business records of those government organizations responsible for providing mental health services.
- **SDA for Land Development Authorities**  
Revisions to the introduction and scope were approved in December 2016.

### Training and Presentations:

- **General Disposal Authority for Local Government Records (GDALG) and SRC Standards Update 2016**  
The SRO delivered a presentation to the Local Government Records Management Group meeting in August 2016 covering the GDALG and SRC Standards updates released in June 2016. This presentation, including notes, was published on the SRO website to assist local government organizations with the implementation of the revised GDALG and updated SRC Standards.

### Recordkeeping Plan Templates:

- **Recordkeeping Plan Templates and Guidelines**  
Reviewed and updated in October 2016 to: simplify processes for government; include cloud technologies; and reflect changes to SRC Standards and supporting documentation.

### Website Restructure:

The "State Recordkeeping" pages of the website have been significantly restructured to improve user navigation and facilitate searching. Amendments included: the removal or revision of out of date information; improved links between pages; and the significant revision of *Recordkeeping FAQs (Frequently Asked Questions)*.

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## Monitoring Compliance with the *State Records Act 2000*

Under section 60(1) of the Act, the Commission is required to monitor the operation of the Act and compliance by government organizations with their Record Keeping Plans.

The Commission continues to rely on the Record Keeping Plan review cycle and the investigation of suspected breaches as the chief mechanisms for ensuring agency compliance with the Act. The Commission is of the view that a complementary compliance monitoring regime should be implemented as soon as resourcing permits.

## Review of section 76

During 2016-17, the Commission considered it timely to conduct another review of the interpretation and application of section 76 of the *State Records Act 2000*.

Broadly, section 76 requires that if a State record contains information about Aboriginal cultural material or traditions, Aboriginal bodies concerned with that information must be consulted regarding any retention, disposal or access decisions to that information. Essentially, government organizations holding information of that nature (and therefore subject to section 76) would be required to consult with relevant Aboriginal bodies as part of the development of an agency's Retention and Disposal Schedule.

In December 2003, the State Records Commission endorsed the State Records Office's approach to the implementation of section 76. This approach was also supported by the former Department of Indigenous Affairs, being:

- With respect to section 76(1) – Agencies, other than core agencies, will not be required to submit evidence of consultation with Aboriginal bodies unless they are directly involved in the discovery and/or management of an Aboriginal site or matter relating to the heritage of Aboriginal Australians, or hold original records pertaining to those matters.

NB: Core agencies are those determined to have a direct involvement in creating, holding or collecting information about Aboriginal cultural material, sites, traditions, places or things of importance or significance.

Combining their own considerable research with that of the State Records Office, Commissioners Field and Bluemmel led the review and ultimately determined that the interpretation of section 76 is being satisfactorily administered.

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## Record Keeping Training

The Commission notes a sustained level of enquiries and requests for the provision of training for agencies.

With limited resources, the SRO was unable to meet all training requests but did deliver the following targeted record keeping training during 2016-17:

- An induction session delivered to members of the University of Western Australia Student Guild;
- A training presentation delivered to the City of Stirling;
- A presentation delivered at the Western Australian Local Government Association Procurement Network Forum, attended by staff of local government authorities; and
- Two training presentations delivered to the Shire of York.

## Significant Advice and Consultancy

### Royal Commission into Institutional Responses to Child Sexual Abuse Working Group

The Royal Commission into Institutional Responses to Child Sexual Abuse was established under the *Royal Commission Act 1902* (Cwth) on 11 January 2013. All States subsequently issued Letters Patent or their equivalent, Instrument of Appointment, to appoint six Commissioners to conduct an inquiry into institutional responses to child sexual abuse under their respective laws.

A number of issues in relation to recordkeeping were raised by the Royal Commission at a Council of Australasian Archives and Records Authorities (CAARA) meeting held in October 2013. Working through the CAARA working group, members (including the SRO) recognized the need for a standardized recordkeeping regime for the Royal Commission information and data compliant with the legislative requirements of each State and Territory. Ongoing discussions resulted in many issues being resolved, including the ultimate centralized custody and recordkeeping requirements of the records of the Royal Commission.

Each jurisdiction has reviewed their Royal Commission, Freedom of Information and State Records legislation to identify disposal, custody, access, and restricted access obligations; noting differences with Commonwealth legislative requirements.

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The core aim of the Working Group is to establish a consistent approach to the management of Royal Commission records now and into the future; to that end, draft agreements relevant to the custodial arrangement of Royal Commission records are being drafted.

## Machinery of Government

Following the announcement of Machinery of Government (MOG) changes on 28 April 2017, the SRO has experienced a high demand for assistance from agencies, about related information management matters. The first phase of MOG involves changes to the administration of 41 State government organizations. The SRO recognizes that information management issues relevant to significant administrative change must be addressed as a priority to ensure government records are preserved and that their provenance is captured and managed appropriately. Limited advice has been provided via the SRO website and where possible consultation, including participation on various interagency Working Groups has been a priority (see also page 21).

The SRO anticipates a significant increase in requests for assistance as the MOG process continues in 2017-18.

## Industry Participation

### Standards Australia Committee

The State Records Office of Western Australia is a member of the Standards Australia IT-021 Committee - Records and Document Management Systems which meets several times a year.

The IT-021 Committee's area of activity includes:

- Standardization of practices, processes and functions relevant to the management of documents, records and archives;
- Standardization of managerial frameworks to enable the systematic control of creation, capture, registration, classification, access, preservation and disposal of records and documents;
- Specification of frameworks within which technical solutions should exist; and
- Advocacy of recordkeeping and Document Management as an essential managerial function to other industry bodies (national and international).

Representatives review and comment on new and existing International and Australian Standards, specifically ensuring that WA's professional opinion is considered in industry practice. The benefits of industry trends and best business practice developments are passed on to WA's State and local government clients.

## 2. State Archives

State archives are the significant records of government business which have permanent evidential and cultural value. Only 21 percent of identified State Archives have been transferred to the State Archives Collection where they are permanently preserved and made accessible.

The State Archives Collection is held by the SRO and consists of over 2 million unique and irreplaceable documents in approximately 15 linear kilometres of permanent value records. In addition government organizations have identified and hold approximately 6.2 million documents awaiting transfer to the SRO as State archives. These government archives are scattered throughout over 300 government organizations and remain generally inaccessible to both government and the community.

In total there are an estimated 8.2 million documents equating to 71.5 linear kilometres of identified hard copy State Archives; enough to twice fill the playing field at the new Perth Stadium at Burswood.

The SRO also holds approximately 2.5 million images, or 6.5 terabytes of digital content, including digitized State archives of which 7% are available to the public through AtoM – the SRO's online catalogue. In 2017-18 the SRO plans to expand its use of Archivematica, a digital preservation system installed in early 2017, to preserve digital content and export more images for access through its online catalogue. However, the Commission notes the requirement for a digital archive solution to accept transfer of large quantities of data held across government agencies.

**Only 21 percent of identified State archives have been transferred to the State Archives Collection where they are permanently preserved and made accessible.**



## State Archives Collection

The State Archives Collection is Western Australia’s largest documentary heritage collection consisting of permanent value records from over 2000 government agencies since early settlement of the Colony. With over two million individual items, the State Archives Collection provides evidential value of government activities and its interaction with citizens.

The Collection supports a wide range of research needs, including family history, heritage, legal, scientific and other community purposes. The use and re-use of State archives by government agencies provides ongoing support to the business of government. The State Archives Collection represents a significant information asset.

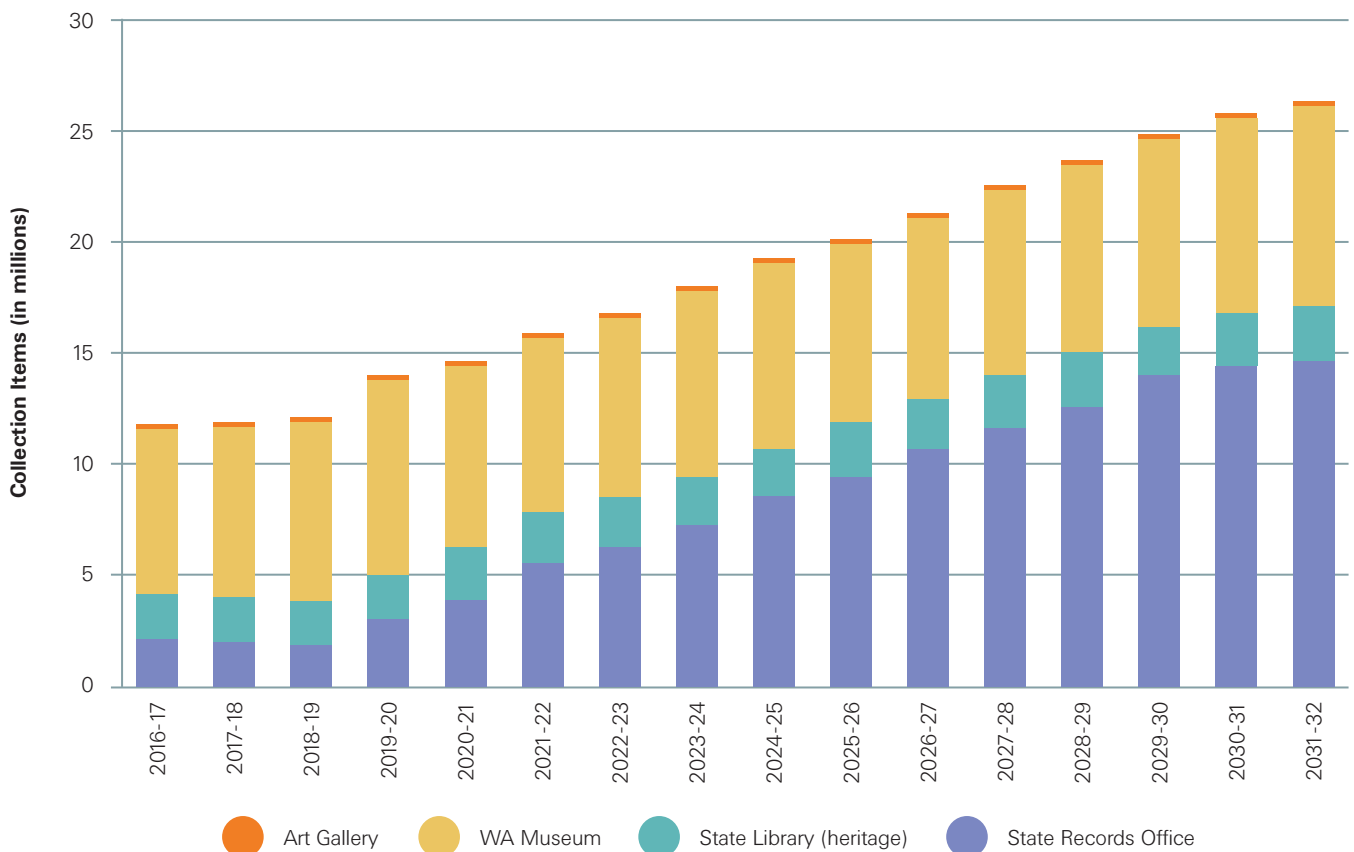
Once a purpose-built archival storage facility is available for government organizations to use, the projected growth through regular transfer of State archives to the SRO will quickly make the State Archives Collection the largest State cultural heritage collection.

The ongoing management and preservation of the State Archives Collection is therefore of considerable interest to the Commission, which fulfils its function of monitoring the operation of, and compliance with, the *State Records Act* via the SRO’s approved Archives Keeping Plan. That plan sets out how State archives are to be kept in archival storage conditions, managed and preserved in order to provide appropriate access to both government and the community.

The Archives Keeping Plan has identified that over the past ten years the delivery of specialized preservation services to help maintain the State Archives Collection has suffered a general decline of investment and resources. Currently, no conservation services are available to the SRO to support the ongoing protection of fragile items, whether analogue or digital, in the State Archives Collection, and this remains a cause of ongoing concern for the Commission.

## STATE CULTURAL COLLECTIONS INDIVIDUAL ITEMS HELD IN WA INSTITUTIONS

FIFTEEN YEAR PROJECTION 2017-2032



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Which of the items below are at greatest risk of permanent loss? – Convict tickets of leave from the mid-1800s; government information assets currently stored in data centres; or the very first telegraph tape with messages dating from 1877?



(Photograph: Pawsey Supercomputing Centre)



**In spite of appearances, 21<sup>st</sup> century government data is far more fragile and at greater risk of permanent loss than many items from the 19<sup>th</sup> century.**

## State Archives held by Government Organizations

The Commission remains concerned about the increasing backlog of State archives held by government organizations. While these are kept by agencies in accordance with the State Archivist's *Directions for Keeping State Archives Awaiting Transfer to the State Archives Collection*, agencies now shoulder the burden of ensuring the long-term care, preservation and access to those State archives in their custody.

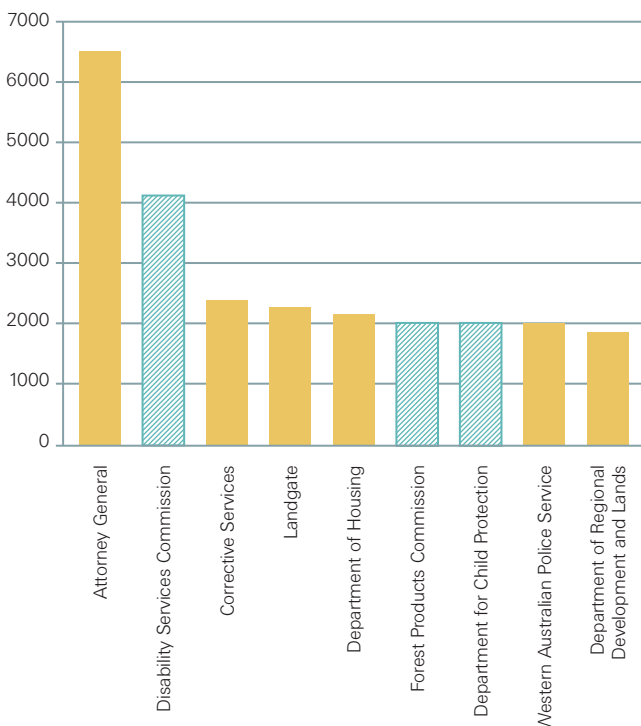
Since July 2001 government agencies have been unable to transfer hard copy archives to the SRO due to a lack of specialized storage space. As a consequence, approximately 56.5 kilometres of identified State archives, numbering over 6.2 million items, are stored within government agencies or amongst temporary records in commercial records storage facilities that do not meet archival storage standards. The annual increase of State archives awaiting transfer to the SRO is estimated to be between 1.5 to 2 linear kilometres.

The accumulation of State archives within agencies means vital information of personal, business and community importance is generally inaccessible outside of the agencies. In effect, the Western Australian public is being denied access to information to which there is a legal right.

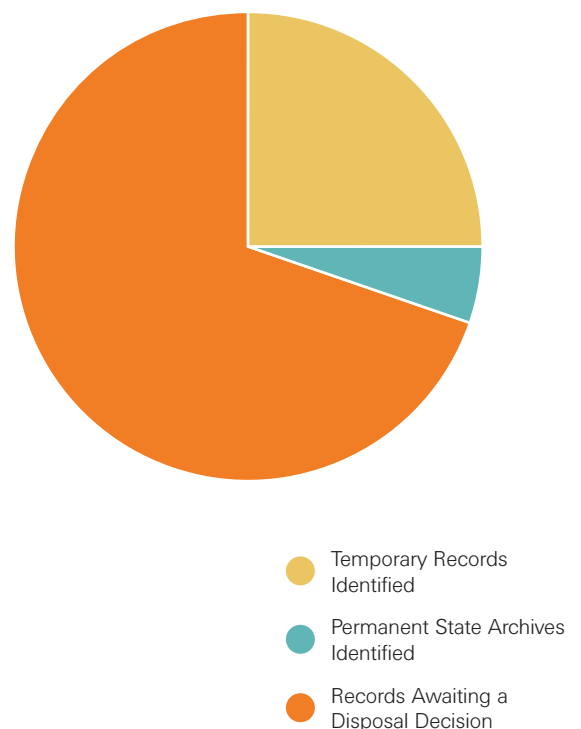
This year the SRO analyzed 49 agencies' Recordkeeping Plans received in 2016-17 containing data about the types and volumes of information held by each agency, and how this information is being managed. Out of all hard copy records held across 49 agencies, approximately 5% of those government records were identified by reporting agencies as State Archives, with 25% identified as temporary value records. Approximately 70% of all government records held in the reporting agencies have not been evaluated for archival status. The appropriate application by government agencies of approved retention and disposal authorities in order to manage government information remains a challenge.

## STATE ARCHIVES AWAITING TRANSFER 2016-17

LARGEST AGENCIES IN LINEAR METRES, WITH AGENCIES WHICH HAVE NEVER TRANSFERRED (STRIPED)



## IDENTIFYING STATE ARCHIVES IN AGENCIES 2017



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While there are large volumes of identified State archives awaiting transfer to the SRO, the Commission is also concerned about the lack of a Digital Archive to accommodate an increasing volume of State archives created in digital format. The implications for the State are evident in analysis undertaken by the SRO in which only 29 of the 49 agencies (59%) submitting Recordkeeping Plans in 2016-17 were able to report on the volume of digital information held.

These 29 reporting agencies identified that they held 1.25 petabytes of digital information as records, data and information in business systems, records management systems and email applications. These findings are consistent with the 2015 SRO survey of digital recordkeeping reported on last year which also showed that just 46% of respondents were confident they would be able to transfer digital archives to the SRO if the appropriate infrastructure was in place. The issue is a continuing threat to the preservation and access to digital archives for government and the community.

As with State archives in hard copy format, the responsibility for managing digital archives currently rests with each government agency until they can be transferred to the SRO. This is an onerous task given the fragile nature of digital information and the ease with which it can become corrupt or lost. To accommodate whole of government data preservation, digital archive repositories are being established in other Australian government jurisdictions but WA is yet to meet the needs of government in this area. This situation presents a significant impost for government agencies, in terms of ongoing cost for storing permanent value records and having to carry out functions which are not within their area of expertise, nor their primary responsibility.

## Estrays

In 2016-17 the SRO accepted no emergency transfers of State archives from government agencies. However the SRO did receive some government records in the possession of an unauthorized custodian (estrays) into its custody.

In the past year the following estrays were returned to government custody by members of the public:

- Perth Junior Technical School Admission Register, 1917-1923;
- Kalgoorlie Road Board Cash Book, 1944-1946;
- Fisheries Department, Inspector's Daily Logbook (Coastal), 1894-1895;
- List of Convicts arriving on the "Lord Raglan", 1858;
- Port Hedland Police Station Charge Book, 1920-1927; and
- Eight Public Works Department / Main Roads Department field books, undated.

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Further government records were also transferred to the SRO from the State Library after they were identified during a review of unprocessed material donated by members of the public to the State Library. These included:

- Wiluna State Battery Cash Book, 1903-1911;
- Department of the Environment Photographic Slides, 1980s; and
- Midland Workshop Springs Specifications Journal, undated.

## State archives in the custody of the State Library of WA

In 2016-17 the SRO continued a project to complete the transfer of State archives held by the State Library to the State Archives Collection. When the *State Records Act* was first enacted in 2001, some State archives remained in State Library custody. This project will ensure that legislative requirements have been fulfilled and that government archives with the State Library are united with other relevant State archives.

A small number of transfers of State archives were completed in 2016-17, with the SRO accepting 40 consignments consisting of over 400 items. A further 17 consignments of State archives are ready and awaiting transfer whilst 47 more consignments have been identified and requested from the State Library. These proposed transfers are yet to be finalized and the SRO is closely monitoring progress. The Commission notes that a consistent momentum of transfer is yet to be achieved.

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## 3. Broaden access to our services

### Restricted access archives

Under Part 6 of the *State Records Act 2000*, all State archives should be open access archives after 75 years, unless they contain exceptionally sensitive security, commercial or personal information – in which case they may be restricted for up to 100 years.

Sections 37 and 38 of the Act require the Commission to rule on applications by government organizations to restrict access to certain State archives and set the age at which these records cease to be restricted, or open previously restricted archives. The Commission must also conduct a five yearly review of certain restricted access State archives, required under sections 37 and 48 of the Act. On behalf of the Commission, the review was carried out in 2016 recommending the continuation of existing restricted periods for certain State archives, including those confidential records of State Ministers and certain Department of Education files.

In 2016 the Commission also renewed its 2007 ruling that State archives relating to the Department of Aboriginal Affairs (DAA) should have an access period of 100 years from date of closure of the record. These records were deemed to have an exceptionally sensitive status because they contained highly confidential personal information about individuals pertaining to parentage, complex family relationships, employment, birth and death details of family members, removal of children, adoption, fostering and non-parental custody arrangements, as well as information about medical conditions and other personal details.

The Commission also continued the 100 year restricted access period for those records of the Department of Child Protection and Family Support which were first deemed to be exceptionally sensitive records in 2007. These archives record sensitive and name identifying information about the adoption, fostering and non-parental custody of former Department of Child Protection clients.

A register of Commission directions on restricted access archives is available on the [Accessing Restricted Records](#) page of the SRO website.

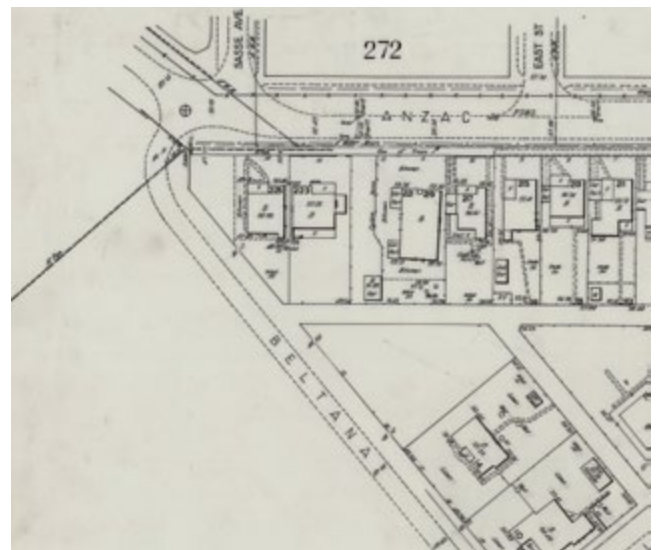
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## Digitization Activities

In 2016-17 the SRO completed a project in partnership with the Department of Aboriginal Affairs to digitize all files held in the State Archives Collection that document Aboriginal welfare throughout the 20<sup>th</sup> century. Approximately 15,000 files were digitized resulting in over 1 million images. Next year the SRO will develop access protocols to the digitized content. The project will significantly improve access to the information in these records for Aboriginal Australians and assist in the preservation of the original source documents.

With funding provided by the Friends of Battye Library Society Inc. in 2016-17, the SRO completed digitization of its set of sewerage plans which cover most of the Perth metropolitan area for the first half of the 20<sup>th</sup> century. The plans were drawn in preparation for the Perth sewerage scheme and show considerable detail about individual residential properties across the metropolitan area, over many decades. Geo-referencing of the sewerage plans is well progressed with over three quarters of the 2,202 plans now geo-referenced. The SRO hopes to make the geo-referenced plans accessible via a modern mapping interface later in 2017.

In the reporting year the SRO adopted a Digitization on Request service, which had been trialled in the previous year. The digitization service provides equitable access to archival records, irrespective of the client's location. During its first year of operation the program produced approximately 16,000 digital copies for clients.



Mt Hawthorn Sewerage Plan,  
1966 Perth Metropolitan Sewerage Scheme Plan 271  
[scale: 40 feet to 1 inch]



# Geoffrey Bolton Lecture

Each year the State Records Office hosts a lecture in honour of the distinguished Australian historian, Emeritus Professor Geoffrey Bolton AO, who passed away on 3 September 2015. The Lecture series recognises Professor Bolton's long period of use and promotion of archives, his service on various committees of the State Archives, and his overall contribution to the promotion of Australian history and culture.

The stated aims of the Geoffrey Bolton Lecture are twofold: to encourage the expression of ideas and debate about the meaning and nature of history, culture and society, grounded in archival research; and to provide archival and historical context to national debate on contemporary issues.

Since 2004 the lecture series has lifted the profile of archives and record keeping in Australia, and promoted debate about the use and interpretation of archives. The discovery and use of archival resources to authenticate all forms of research is reliant on good recordkeeping.

On 24 November 2016, Commissioner Andrew Murray, of the Royal Commission into Institutional Responses to Child Sexual Abuse, delivered the 2016 Geoffrey Bolton Lecture at the Government House Ballroom in St George's Terrace, Perth. His topic was "Children in Need: Why Records are Central to Identity and Justice" (see also page 17).

Commissioner Murray spoke about the Royal Commission findings on problems with recordkeeping practices, noting that while sound recordkeeping guidelines have been created, they are not always followed.

The lecture was illustrated with the stories of survivors of child abuse while they were in out-of-home care, and also included Commissioner Murray's personal reflections as a child migrant in Fairbridge children's home in Rhodesia (now Zimbabwe) and his own search for information.



The audience attending the Lecture at Government House, Perth.  
(Photograph: Bohdan Warchomij)

**“Child abuse victims and survivors ... are still finding it very hard to access historical records about their time in care”**

**Commissioner Andrew Murray,  
Royal Commission into Institutional  
Responses to Child Sexual Abuse**



Commissioner Andrew Murray delivering the 2016 Geoffrey Bolton Lecture.  
(Photograph: Bohdan Warchomij)



Commissioner Andrew Murray (right) with Her Excellency the Honourable Kerry Sanderson AC, Governor of Western Australia.  
(Photograph: Bohdan Warchomij)

# Margaret Medcalf Award

The Margaret Medcalf Award is an annual event hosted by the SRO and supported by the State Records Commission. The Award is presented for excellence in referencing and research, and honours Miss Margaret Medcalf OAM, the second State Archivist for Western Australia (from 1971 to 1989), for her valuable contribution to the development of archives in Western Australia. Works nominated for the Award must demonstrate use of archival sources, and substantial (but not necessarily exclusive) use of the State Archives Collection. Nominated works may be fiction or non-fiction and may comprise any format (i.e. book, article, conference paper, website, index, etc). Nominated works may be published or unpublished.

This year marks the 13<sup>th</sup> anniversary of the award's presentation and the variety of the nominations and winners reflects the diverse nature of the archives themselves.

The judging criteria for the award are:

- **Level of use of the State Archives Collection**  
How much does the work rely on archival sources for its argument? What proportion of the cited works are State archives?
- **Use of referencing**  
How well does the work reference the sources in the State Archives Collection? How easy would it be to locate the archival sources the author references?
- **Level of contribution to knowledge**  
This includes the contribution to our collective historical, cultural and heritage knowledge bases.
- **Original use of the State Archives Collection**  
Does the work use new archival material or use different sources to answer questions or highlight issues? Is well known archival material dealt with in a new or different way?
- **Presentation**  
How well has the work been crafted? How well does it stimulate interest in the material? Does the work have community appeal?

On 28 June 2017 the Hon. David Templeman MLA, Culture and Arts Minister, announced the winner of the Margaret Medcalf Award 2016 at a special event before invited guests. The Award was presented to Dr Crien Fitzgerald for her book *Turning Men into Stone: a social and medical history of Silicosis in Western Australia from 1890 to 1970*, which traces the history of silicosis in WA mining

and its effects, not only upon the miners but also their families. The work displays substantial use of State archives and is a deeply researched study which sensitively and soberly addresses an overlooked aspect of the history of mining in Western Australia.

The judging panel consisted of Ms Justine McDermott, State Records Commissioner; Professor Jane Lydon, holder of the inaugural Wesfarmers Chair in Australian History at the University of Western Australia; and Ms Cathrin Cassarchis, State Archivist and Executive Director State Records.



Miss Margaret Medcalf OAM, second State Archivist for Western Australia.

(Photograph: Bohdan Warchomij)



Dr Crien Fitzgerald, winner of the Margaret Medcalf Award, acknowledges the professionalism and specialist expertise of SRO archivists during her research.

(Photograph: Bohdan Warchomij)

# W.S. Lonnie Award for Excellence in Compliance Reporting

The Institute of Public Administration Australia – WA (IPAA WA) recognizes excellence in annual reporting by the public sector through its W.S. Lonnie Awards. Since 2006, the Commission has sponsored a specialist Lonnie Award which recognizes excellence in reporting against the compliance requirements of the Commission’s Standard 2, Principle 6 in annual reports.

The annual reports of all State government organizations were considered for this award, with an initial shortlist yielding the reports of 38 organizations. Those reports were evaluated further and reduced to a final shortlist of seven for consideration by a judging panel. The judging panel evaluated the reports according to how well they addressed the following criteria:

- The efficiency and effectiveness of the organization’s record keeping systems are evaluated not less than once every five years;
- The organization conducts a record keeping training program;
- The efficiency and effectiveness of the record keeping training program are reviewed from time to time; and
- The organization’s induction program addresses employees’ roles and responsibilities in regard to their compliance with the organization’s Record Keeping Plan.

At the W.S. Lonnie Awards function on 2 March 2017, the Commission’s Award was presented to the **Department of Education**. The judging panel considered the Department’s report an excellent account of its work to monitor and improve recordkeeping practices throughout the State.

The Department’s 2015-16 annual report statement described a comprehensive program to monitor and improve organizational compliance with its Recordkeeping Plan: comprising audits across the Department including regional offices; appropriate risk assessments for cloud computing services; training and support for staff; with both mandatory records awareness courses and workshops held throughout the State, involving some 700 school administrators and teachers. The training program for school staff includes not only a view to increase awareness of best practice recordkeeping, but also to ensure the capture and return of School Archives to the Department’s protection.

A special commendation was awarded to the **Western Australian Treasury Corporation**, whose annual report describes an impressive framework of internal compliance audits for reviewing recordkeeping systems and practices; staff surveys; mandatory training; and routine monitoring of the efficiency and effectiveness of recordkeeping practices.



Elsbeth MacKay, Principal Policy Officer, Department of Education (right), accepts the W.S. Lonnie Award for Excellence in Compliance Reporting from Cathrin Cassarchis, State Archivist.

(Photograph: IPAA WA)

# Committees of the Commission

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

## State Records Advisory Committee

The State Records Advisory Committee is established to advise the Commission about:

- State records that should be State archives;
- Retention periods for those State records that are not to be State archives; and
- Associated matters (as prescribed by the Commission).

The Committee meets regularly to consider the retention and disposal components of Record Keeping Plans, a critical element of the comprehensive records management framework established by the Act. The SRO leads and provides administrative support to the Committee and recommendations are presented to the Commission following each meeting.

This year the Committee met on four occasions to consider 17 disposal authorities. The Committee met on the following dates:

- 15 September 2016;
- 24 November 2016;
- 2 March 2017; and
- 17 May 2017.

Members and deputy members are appointed for three-year terms by the Commission and include representatives from the public service and record keeping bodies.

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## Membership of the Committee during 2016-17

### Chair of the Committee

Ms Isabel Smith –  
Director State Information Management, SRO

### Executive Secretary

Mr Martin Fordham –  
Record Keeping Consultant, SRO

### Department of Aboriginal Affairs

Ms Tanya Butler  
(Mr Ross Tomasini, appointed December 2016)

### Historical Interests

Mr Neil Foley  
(Deputy: vacant)

### Law Society of Western Australia

Mr Robert O'Connor QC  
(Deputy: Mr David Bruns)

### Local Government Records Management Group

Ms Julie Mathieson  
(Deputy: Vacant)

### State Government CEO Representative

Mr Richard Strickland  
(Deputy: Vacant)

### Australian Society of Archivists

Ms Rita Edwards  
(Deputy: Ms Maria Carvalho)

### Records and Information Management Professionals Australasia

Ms Suparna Chatterjee  
(Deputy: vacant)

### Minutes Secretary

Ms Gillian Hodson – Administrative Assistant, SRC



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## Retiring Committee Members

During 2016-17 the following members retired from the Committee:

- **Mr James Curtis**, deputy representing the Department of Aboriginal Affairs;
- **Mr Michael Tsakalakis**, deputy representing the Local Government Records Management Group; and
- **Mr Richard Strickland**, member representing State government Chief Executive Officers.

The Commissioners extend their appreciation and thanks to all Committee representatives for their valuable participation and contribution to the important work of the Committee. The dedication with which they approach this work bears witness to their considerable commitment to the selection and preservation of Western Australia's archival heritage.

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## Member profile – Julie Mathieson

Julie Mathieson has served on the State Records Advisory Committee (SRAC) since 2009, representing the Local Government Records Management Group (LGRMG).

Julie makes a valuable contribution to SRAC through her knowledge gained over 19 years' experience in local government. Since 2007 Julie has held the position of Information Management Lead (Records) at the City of Perth. Previously, Julie worked at the City of Belmont from 1998, moving to the Records Manager and FOI Coordinator position at the City of Swan in 2001. Julie completed an undergraduate Bachelor of Applied Science (Records Management) at Curtin University, graduating in 1999.

A long serving member of the LGRMG, Julie has previously held both the Secretary and Chair roles with the group. As a representative of the LGRMG, Julie was involved with SRO initiatives to develop the initial local government Record Keeping Plan template; and the 1999 review of the General Disposal Authority for Local Government Records.

She has helped deliver several LGRMG conferences and is also a corporate member of the Records and Information Management Professionals Australasia group (RIMPA). She represented the City of Perth in accepting the J Eddis Linton Award in 2015 (Collaboration category) for the Cadetship program established with Curtin University and has contributed immense knowledge and expertise to the work of the SRAC.

## Committee Remuneration 2016-17

Position	Name	Type of remuneration	Period of membership	Gross/actual remuneration
Member	Mr Robert O'Connor	Per meeting / half day	3 years	\$600
				<b>Total: \$600</b>

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# Compliance Report – *State Records Act 2000*

Section 60 of the Act requires the Commission to monitor the operation of and compliance with the Act. Monitoring is largely achieved by self-evaluation undertaken by government agencies, as well as investigations by the SRO into suspected breaches of the Act. The Commission is of the view that a complementary compliance monitoring regime should be implemented as soon as resourcing permits.

Part 8 of the Act establishes the Commission. A compliance statement on the Commission's activities in 2016-17 is presented below.

PART or SECTION	NOTES
<b>Part 3</b> Division 2	
Section 20(2) – gazette orders prescribing timing for submission of organizations' Record Keeping Plans	Nil
Section 23(1) – approve or refuse to approve Record Keeping Plans	Approved 53 Record Keeping Plans.
Section 23(2) – give reasons for refusal to approve Record Keeping Plans	All approved

PART or SECTION	NOTES
<b>Part 3</b> Division 3	
Section 25 – Commission to have a plan	Current plan to be reviewed by 23 June 2018.
Section 26 – State Records Office to have a plan	Current plan to be reviewed by 6 December 2018.
Section 27 – Schedule 3 organizations to have plans	Horizon Power (Regional Power Corporation) submitted a report on the review of its Record Keeping Plan to the Minister for Energy on 23 November 2016.  Electricity Generation and Retail Corporation (Synergy's) amended Record Keeping Plan was approved by the Minister for Energy on 24 January 2017.

PART or SECTION	NOTES
<b>Part 3</b> Division 4	
Section 28(3) – the Commission may require an agency to review its Record Keeping Plan (discretionary)	Not required.
Section 28(5) – five yearly review of all Record Keeping Plans	The Record Keeping Plans of 29 organizations were due for review during 2016-17 (see Appendix 1).
Section 29(1) – give directions as to intervals for periodic reporting on Record Keeping Plans (discretionary)	Nil
Section 30(1) - give Parliament copies of reports received under section 29	Nil

PART or SECTION	NOTES
<b>Part 4</b>	
Section 32 - State archives to be transferred to the State Archives Collection	In 2016-17 the SRO accepted no emergency transfers of State Archives from government agencies.  The SRO received several requests to transfer State archives which it was not able to accommodate due to lack of appropriate storage. These included requests from the Shire of Wongan-Ballidu to accept transfer of Council Minutes from the 1980s onwards; the Public Transport Authority to transfer aerial photographs of the metropolitan railway line following electrification in the 1990s, as well as a collection of historical railway records; and the City of Fremantle to transfer Rate Books (1880-1952) and Council Minutes (1963-1985).

PART or SECTION	NOTES
<b>Part 5</b> Division 2	
Section 37(2)(b) – restricted access archives identified	No action required.
Section 37(5) – Review of archives restricted under 37(2)(b)	The five yearly review was carried out by the SRO on behalf of the Commission which approved the continuation of existing restricted access periods for identified State archives, including those confidential records of State Ministers and certain Department of Education files.
Section 38 (3) – change in restricted access period for records in the State Archives Collection	Nil

PART or SECTION	NOTES
<b>Part 5</b> Division 3	
Section 40(2) – approve or refuse to approve the Archives Keeping Plan	No action required.
Section 40(3) – give reasons for refusal to approve the Archives Keeping Plan	Not required.
Section 40(4) – direct time for resubmission of the Archives Keeping Plan refused approval under section 40(3)	Not required.
Section 41 – Archives Keeping Plan to be reviewed	Current Plan to be reviewed by 1 August 2019.

<b>Part 5</b> Division 4	
Section 43(3), (4) & (5) – deal with applications from the Director to destroy archives	Nil

PART or SECTION	NOTES
<b>Part 6</b>	
Section 48 - Archives containing exceptionally sensitive information	The five yearly review was carried out by the SRO on behalf of the Commission which approved the continuation of existing restricted access periods for identified State archives containing exceptionally sensitive information, including records of the Department of Aboriginal Affairs and the Department of Child Protection.
<b>Part 8</b> Division 1	
Section 60(1)(a) – monitor the operation of and compliance with the Act	The Commission continues to rely on the Record Keeping Plan review cycle as the chief mechanism for ensuring agency compliance with the Act.
Section 60(1)(b) – monitor compliance by government organizations with Record Keeping Plans	SRO evaluated Record Keeping Plan review reports and amended Record Keeping Plans and results were reported to the Commission.

PART or SECTION	NOTES
<b>Part 8</b> Division 1 (continued)	
Section 60(1)(c) – inquire into breaches or possible breaches of this Act	<b>16-17</b> <b>15-16</b>
	Active                      4                      4
	Resolved                    2                      3
	Carried Forward            2                      1
	<b>14-15</b> <b>13-14</b>
	Active                      13                      8
	Resolved                    9                      5
Carried Forward            4                      4	
Section 61 – establish principles and standards	No new record keeping principles and standards were issued during 2016-17.
Section 62 – establish committees	The State Records Advisory Committee met four times.  No new Committees were established.
Section 64(1) and (3) – submit annual report to Parliament by 1 November each year	Submitted to both Houses of the State Parliament on 21 September 2016.  Copies tabled in both the Legislative Assembly and the Legislative Council on 22 September 2016.

PART or SECTION	NOTES
<b>Part 8</b> Division 1 <i>(continued)</i>	
Section 64(2) and (3) – submit reports to Parliament re contraventions of the Act (discretionary)	Nil
Section 64(4) – give the Minister a copy of any report submitted to Parliament	Commission Annual Report submitted 21 September 2016.
<b>Part 8</b> Division 2	
Section 65(4) – include in annual report any policy directions given by the Minister	None issued.
Section 66(4) – comply with requests by the Minister for information and make facilities available	None received.

PART or SECTION	NOTES
<b>Part 8</b> Division 3	
Section 68 – Commission may request a government organization to report about its record keeping or an aspect of its record keeping	No requests issued.
<b>Compliance with SRC Standard 2, Principle 6</b>	<p>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 the Commission's compliance:</p> <ul style="list-style-type: none"> <li>• The Commission authorized destruction of time expired records, in accordance with relevant disposal authorities; and</li> <li>• The Commissioners have continued their active participation in the work of industry associations and interaction with government clients, thereby maintaining their knowledge of current record keeping issues.</li> </ul>



# Appendix 1

## Record Keeping Plans Required for Review and Received 1 July 2016 - 30 June 2017

AGENCY NAME	REVIEW DATE
City of Greater Geraldton	7 Mar 2022
Department of Education (incl. Department of Education Services and Schools Curriculum and Standards Authority)	7 Mar 2022
Department of the Registrar, Western Australian Industrial Relations Commission	7 Mar 2022
Department of Training and Workforce Development	2 Dec 2021
Department of Treasury	7 Mar 2022
Department of Water	17 Mar 2022
Horizon Power (Regional Power Corporation)*	29 Nov 2021
Lotteries Commission	7 Mar 2022
Metropolitan Cemeteries Board	5 Oct 2021
National Trust of Australia (WA)	2 Apr 2022
Pharmacy Registration Board of Western Australia	2 Dec 2021
Pilbara Regional Council	7 Mar 2022
Rottneest Island Authority	2 Dec 2021

AGENCY NAME	REVIEW DATE
Shire of Esperance	17 Mar 2022
Shire of Laverton	2 Dec 2021
Shire of Mount Magnet	5 Aug 2021
Shire of Narembeen	5 Oct 2021
Shire of Nungarin	2 Dec 2021
Shire of Three Springs	2 Dec 2021
Shire of Waroona	2 Dec 2021
Shire of West Arthur	5 Oct 2021
Shire of Wongan – Ballidu	17 Mar 2022
State Library of Western Australia	2 Dec 2021
State Solicitor's Office	2 Dec 2021
Town of Cottesloe	9 Dec 2021
Western Australian Greyhound Racing Association	8 Mar 2022
Western Australian Police	5 Aug 2021
Western Australian Land Authority (Landcorp)	5 Aug 2021
Western Australian Sports Centre Trust	2 Dec 2021

\* Schedule 3 organization required to submit Record Keeping Plan to the relevant Minister

# Appendix 2

## New Organizations to submit Record Keeping Plans on or before 30 June 2017

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AGENCY NAME	DUE DATE	SUBMISSION DATE
Central Regional TAFE	11 Oct 2016	11 Oct 2016
Conservation and Parks Commission	7 Nov 2016	7 Nov 2016
East Metropolitan Health Service	18 Dec 2016	16 Dec 2016
North Metropolitan TAFE	11 Oct 2016	11 Oct 2016
North Regional TAFE	11 Oct 2016	11 Oct 2016
South Metropolitan TAFE	11 Oct 2016	11 Oct 2016
South Regional TAFE	11 Oct 2016	11 Oct 2016

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# Appendix 3

## Record Keeping Plans due for Review 1 July 2017 – 30 June 2018

AGENCY NAME	REVIEW DATE
Architects Board of Western Australia	30 Aug 2017
Art Gallery of Western Australia	31 May 2018
City of Albany	18 Mar 2018
City of Rockingham	31 May 2018
City of Wanneroo	31 May 2018
Curtin University Student Guild	31 May 2018
Department of Corrective Services	31 May 2018
Department of the Attorney General	7 Dec 2017
Department of Transport	30 Aug 2017
Edith Cowan University Student Guild	30 Aug 2017
Equal Opportunity Commission	31 May 2018
Forest Products Commission	31 May 2018
Legislative Assembly	28 Feb 2018
Legislative Council	16 Oct 2017
Mental Health Advocacy Service	30 Aug 2017
Murdoch University	30 Aug 2017
Murdoch University Student Guild	31 May 2018
PathWest Laboratory Medicine WA	25 Jun 2018
Public Transport Authority	30 Aug 2017
Shire of Corrigin	6 Aug 2017
Shire of Dandaragan	30 Aug 2017
Shire of Derby / West Kimberley	18 Mar 2018
Shire of Dumbleyung	31 May 2018
Shire of Koorda	31 May 2018
Shire of Leonora	8 Oct 2017

AGENCY NAME	REVIEW DATE
Shire of Meekatharra	31 May 2018
Shire of Mt Marshall	31 May 2018
Shire of Northampton	31 May 2018
Shire of Plantagenet	31 May 2018
Shire of Shark Bay	31 May 2018
Shire of Trayning	31 May 2018
Shire of Wyndham East Kimberley	30 Aug 2017
State Records Commission	23 Jun 2018
TAFE Colleges	7 Dec 2017
Town of Cambridge	31 May 2018
University of Western Australia	30 Aug 2017
University of Western Australia Student Guild	31 May 2018
Western Australian Electoral Commission	30 Aug 2017

# Appendix 4

## Disposal Authorities in progress using the Online Retention and Disposal Application during 2016-17

AGENCY NAME	DISPOSAL AUTHORITY TYPE	STATUS
Art Gallery of Western Australia	R&D Schedule**	In progress
Cemetery Boards	Sector Disposal Authority	In progress
Department of Commerce – Consumer Protection Division	R&D Schedule	In progress
Department of Commerce – Energy Safety Division	R&D Schedule	In progress
Department of Commerce – Labour Relations and Industry Development Division	R&D Schedule	In progress
Department of Commerce – Worksafe Division	R&D Schedule	In progress
Department of Corrective Services	R&D Schedule	Approved on 9 Dec 2016
Department of Culture and the Arts	R&D Schedule	In progress
Department of Education - School, College and Campus Records	R&D Schedule	In progress
Department of Education and other Education agencies	R&D Schedule	In progress
Department of Health	R&D Schedule	In progress
Department of Local Government and Communities	R&D Schedule	Approved on 12 Aug 2016
Department of Parks and Wildlife	R&D Schedule	In progress
Department of the Premier and Cabinet – Royal Commissions	R&D Schedule	In progress
Fire and Emergency Services Superannuation Fund	R&D Schedule	Approved 9 Dec 2016
Gold Corporation	R&D Schedule	In progress
Horizon Power (Regional Power Corporation)	R&D Schedule	In progress
Lotteries Commission	R&D Schedule	In progress
Mental Health Services	Sector Disposal Authority	Approved 9 Dec 2016
Land Development Authorities	Sector Disposal Authority – Amendment	Approved 9 Dec 2016
Office of the Director of Public Prosecutions	R&D Schedule	Approved 17 Mar 2017
Parliamentary Commissioner for Administrative Investigations	R&D Schedule	Approved on 9 Dec 2016

\*\* Retention and Disposal Schedule

# Appendix 4 (continued)

## Disposal Authorities in progress using the Online Retention and Disposal Application during 2016-17

AGENCY NAME	DISPOSAL AUTHORITY TYPE	STATUS
Port Authorities	Sector Disposal Authority	In progress
Racing, Gaming and Wagering, Liquor Regulators	Sector Disposal Authority	In progress
Reviews, Investigations and Special Inquiries	Sector Disposal Authority	In progress
Road Safety Commission	R&D Schedule	Approved 17 Mar 2017
ScreenWest	R&D Schedule	In progress
Shire of Broome	Ad Hoc Disposal Authority	Approved 9 Dec 2016
State Solicitor's Office	R&D Schedule	In progress
Synergy (Electricity Generation and Retail Corporation)	R&D Schedule	Approved 17 Mar 2017
University Student Guilds	Sector Disposal Authority	In progress
Water Services Corporations	Sector Disposal Authority	In progress
Western Australia Police	R&D Schedule	Approved 9 Dec 2016
Western Australia University sector	Sector Disposal Authority	In progress
Western Australian Electoral Commission	R&D Schedule	Approved 9 Dec 2016
Western Australian Institute of Sport	R&D Schedule	In progress
Western Australian Land Information Authority (Landgate)	R&D Schedule	Approved 12 Aug 2016
Western Australian Land Information Authority (Landgate)	R&D Schedule - Amendment	In progress
Western Australian Local Government Association	R&D Schedule	Approved 9 Dec 2016
Western Australian Tourism Commission	R&D Schedule	In progress
Zoological Parks Authority	R&D Schedule	In progress



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This annual report is submitted to Parliament in accordance with the obligations of the State Records Commission under section 64(1) of the *State Records Act 2000*.

The Report outlines the activities of the State Records Commission during 2016-17 and comments on matters that pertain to the operations of the State Records Office.

For further information on the operation of the State Records Office see the Department of Culture and the Arts Annual Report.

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

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Published by the State Records Commission of Western Australia, October 2017.

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