

Annual 21 Report



State Records Commission of Western Australia

ANNUAL REPORT 2020-21

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 2020-21 and comments on matters that pertain to the operations of the State Records Office.

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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Chris Field, Ombudsman

Executive Officer to the Commission:

Damian Shepherd, Director State Records

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We encourage feedback:

Email us so we can improve our Annual Report next year.

Acknowledgement of Country

The State Records Commission acknowledges the traditional custodians throughout Western Australia and their continuing connection to the land, waters and community. We pay our respects to all members of the Aboriginal communities and their cultures; and to Elders both past and present.

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Cover images:

From top left (clockwise) - 2021 Reconciliation Week Street Banner - Department of Local Government, Sport and Cultural Industries - featuring art by Tee Jay Worrigal; Photograph of recidivist convict George Roberts (SROWA, Cons 4173, Item 1); Architectural scale model of Princess Margaret Hospital for Children, 1980 (SROWA, Series 4845); Globe/Balloon - 1962 Premier's Department - Space Tracking- (SROWA Cons 5939 F620237); Photograph from an application to Enter the Colony, 1899 (SROWA, Cons 527); Hand print from certificate to enter WA 1898-1900 (SROWA, CSO cons527); Commemorative publication of Royal Visit, 1954 (SROWA, Cons 1708).

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Chairperson's Foreword



I am delighted to present the 20th Annual Report of the State Records Commission (**the Commission**).

The *State Records Act 2000* was proclaimed on 27 November 2001 and it is timely to reflect on both the year just passed and twenty years of experience in implementing this legislation in Western Australia.

The turn of the century two decades ago marked an important transition in how we manage records of information in terms of both the format of these records, and the technology involved in managing data and information. At that time, records were still primarily paper-based and supporting processes and governance arrangements largely reflected this environment. The Standards for record keeping created by the Commission established the first whole-of-government regulatory framework for the governance of records management in Western Australia. Within a few years, Record Keeping Plans had been developed and implemented by hundreds of organisations – a major milestone achieved through the significant efforts of those government organisations.

My fellow Commissioners and I strongly believe that the record-keeping regulatory framework should always be evolving to ensure it is as effective as possible in meeting the expectations of Parliament as expressed in the *State Records Act 2000* and as efficient as possible, so that best practice record-keeping is provided at least cost to the

Western Australian taxpayer. This year the Commission and the State Records Office (**the Office**) continued the important work of reviewing and developing a simplified and more flexible regulatory approach for Commission principles and reporting, informed by wide consultation.

The Commission is pleased to note an increasingly proactive approach to collaboration between the Office and other government organisations through communities of practice and several other positive initiatives. The importance of continuous learning and innovation in the management of records of information cannot be overstated.

The Commission is also pleased to note continued investment in the preservation of State archives through the Office. An ongoing program of work is improving the way historically significant paper-based archives are stored to help improve access for a wide range of research purposes. The Commission is also mindful of the importance of ensuring that the growing volume of born digital archives are accessible in the decades and centuries ahead and welcome collaboration across government in this regard.

I take this opportunity to express my thanks to my fellow Commissioners. Each Commissioner brings a different perspective to the work of the Commission and this diversity is critical to the success of the Commission. I would also like to thank members of the State Records

Advisory Committee, past and present, for their significant assistance to the Commission. This year we welcomed several new members to the Committee and a profile of one of the new members is featured in this report.

I also take this opportunity to thank Damian Shepherd, Director, State Records for his ongoing outstanding work and that of the staff of the Office in support of the Commission.

Good record keeping is critical to understanding our past and informing our future. But perhaps even more importantly the keeping of records of decisions is at the core of accountable government and successful democracy. The Western Australian Parliament, in enacting the *State Records Act 2000*, provided the regulatory imprimatur for good governance through record-keeping and the archiving of materials of value from which future generations could reflect and learn. It is a very significant privilege for the Commission to be custodians of Parliament's wisdom two decades later.

Chris Field

Chairperson, State Records Commission
August 2021

About Us

The Commission was established in July 2001 under 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.



The State Records Commission.

Left to right: Mr Alan Ralph (Governor's Appointee), Ms Caroline Spencer (Auditor General), Mr Chris Field (Parliamentary Commissioner for Administrative Investigations / Chairperson of the Commission), Ms Catherine Fletcher (Information Commissioner).

During 2020-21 the Commissioners were:

Mr Chris Field

Parliamentary Commissioner for Administrative Investigations (Ombudsman) – Chairperson of the Commission since March 2016.

Ms Caroline Spencer

Auditor General, appointed May 2018.

Ms Catherine Fletcher

Information Commissioner, appointed July 2018.

Mr Alan Ralph

Governor's Appointee to the Commission, appointed January 2019.

The Commissioners' personal profiles can be viewed on the Office website at www.wa.gov.au/organisation/state-records-office-of-western-australia.

Commission Remuneration 2020-21

Position	Name	Type of remuneration	Period of membership	Gross/actual remuneration
Member	Mr Alan Ralph	Per meeting / half day	3 years	\$8,933
Total				\$8,933

What We Do

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

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

The Commission meets regularly to support these functions.

The Commissioners also support the objectives of the Act through their own statutory roles where appropriate and participate in events and other forums with the aim of enhancing public sector and community awareness of the work of the Commission and the benefits of the Act.

Commission meetings:

7 August 2020
Commission meeting held in Perth

2 December 2020
Commission meeting held in Perth

26 March 2021
Commission meeting held in Perth

The 2019 Geoffrey Bolton Lecture

Left to right: Mrs Carol Bolton and Professor Jane Lydon, Wesfarmers Chair in Australian History, University of Western Australia – presenter at the 2019 Lecture in October 2019.



Other events:



NOVEMBER 2020 **17th Annual Geoffrey Bolton Lecture (Podcast recording)**

State Library Theatre
Attended by Commissioners Fletcher and Spencer

On 11 March 2021 this podcast was broadcast on ABC Radio National.



DECEMBER 2020 **Margaret Medcalf Award 2020 State Library Theatre**

Attended by Commissioners Fletcher, Ralph and Spencer.

Our Clients

The Commission's clients include:



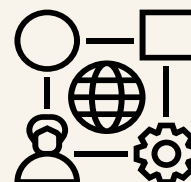
The people of Western Australia, who seek to discover, access and use information in the State records and State Archives Collection; and ultimately benefit from the principles and standards through which State records and archives are secured and made discoverable and accessible.



State Parliament, which relies on State records and archives as the memory of government; and uses records of information to inform decision making.



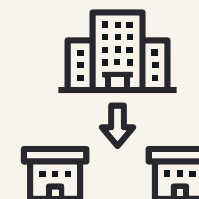
Western Australian public sector organisations, who create, manage and share records of information as they carry out the business of State government.



Government trading enterprises, who rely on effective access to records of information to plan and deliver services to the community.



Local government authorities and elected members, who create, manage and share records of information as they carry out the business of local government.



A range of statutory offices, including the Governor's Establishment, Ministerial offices, Commissions, and Committees of Inquiry, who rely on the evidential value of State records and archives to uphold the integrity of government in Western Australia.



Adam O'Neill first started using the State Archives when he was just 13 years old. Accompanied by his father, Adam was interested in his family history and began using archival material to look into this. Adam soon began visiting the reading room independently as he continued his State Archives journey.

Recently, Adam has been volunteering with the Toodyay Historical Society Inc. and now provides research assistance for them. Adam's knowledge of different primary and secondary source material, built up over the last 5 years, is proving invaluable. Adam has also been transcribing the earliest known electoral rolls for the Toodyay district (from 1870) for the Society. This year, Adam commenced his first year at the University of WA majoring in History, of which he has always had a strong interest.



Prue Griffin is an experienced heritage consultant working for a company specialising in heritage architecture and conservation. Prue has expertise in architecture, history and cultural heritage and has been conducting research using the State archives collection since the mid-1990s.

The focus of Prue's research has been buildings and their history, such as their original design, former use and the people who occupied them. Prue's work relies on archival materials as she assesses the significance of buildings based on their history and built form. The types of records used to support this form of research can include local government and Public Works files, architectural and engineering plans and land information.

Our Operating Environment

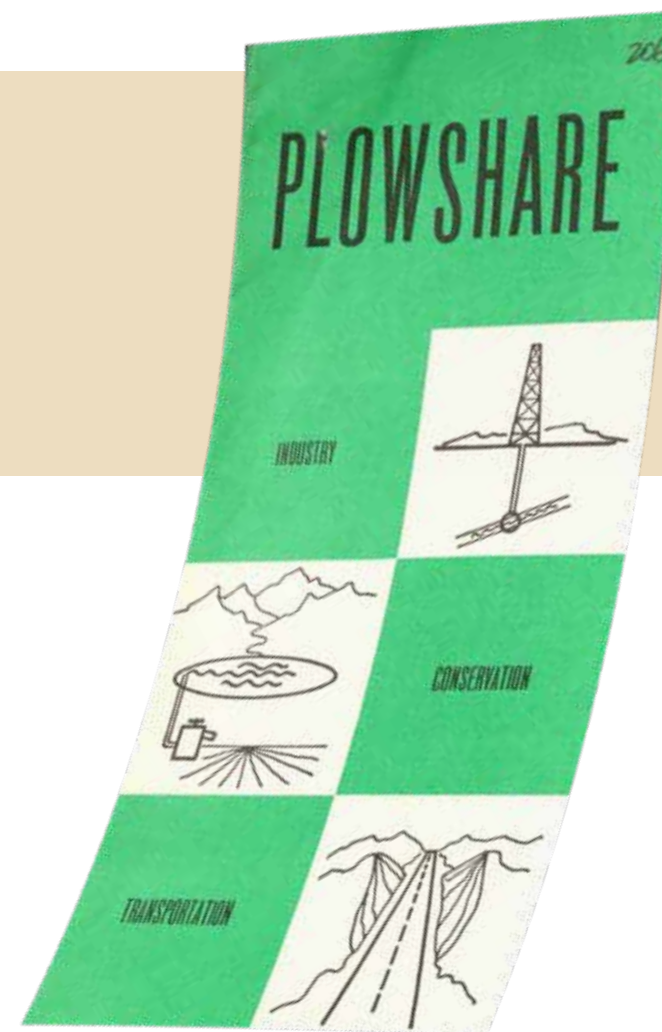
The State Records Act 2000 defines a record broadly as any record of information, however recorded. Although often thought of as only information of long-term significance, relating to key decisions, State records are defined under the Act as any recorded information and the media on which they are recorded, including digital files and data, paper files, microfilm, maps, plans, photographs, video, and audio recordings.

Records Management in the Public Sector

In performing its functions, the Commission is responsible for ensuring that State record keeping is of a standard that best serves the interests of the people of Western Australia. There are some 300 government agencies and statutory organisations (including 138 local government authorities) and these entities employ over 100,000 people who produce or receive a very large volume of information in a wide range of formats.

Under section 61 of the Act, the Commission must establish **principles and standards** for the governance of record keeping by State organisations and provide guidelines to assist the compilation of **Record Keeping Plans**. According to section 61(4) of the Act, section 42 of the *Interpretation Act 1984* applies to and in relation to the principles and standards as if they were regulations within the meaning of that section. In administering Act, the Commission has established a regime which places primary responsibility for effective records management on government organisations.

the Office provides support to agencies to ensure compliance through maintaining Standards approved by the Commission, supported by specifications, templates, records management advice and advisory services.



Operation Plowshare - a Biblical reference that refers to weapons being converted for peaceful applications - was a US program in the 1960s to use nuclear explosives for industrial purposes such as rock-blasting. In the mid-1960s, it was being considered by the State government to create deep-sea ports and harbours in the North West. Reference: SROWA, Cons 1302, 1964/154

Record Keeping Plans (Plans) are documents required to be submitted by every government organisation covered by the Act. They contain information about record keeping processes, documentation, and systems, planned or in place. Under the Act, each Plan must also set out provisions for the retention periods and ultimate disposal

actions for the records created and maintained by the organisation. These retention and disposal provisions are stipulated either by a General Disposal Authority or another Disposal Authority that is approved by the Commission.

Government organisations' Plans are based on the compliance requirements set out in *State*

Records Commission Standard 2: Recordkeeping Plans and SRC Standard 6: Outsourcing. These Standards address requirements for an organisation's employees and third party providers working on an organisation's behalf.





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 government organisations' compliance with their Record Keeping Plans.

Monitoring is achieved through a range of regulatory mechanisms, including education, training and self-evaluation undertaken by government organisations, as well as the Office's inquiries into reports of non-compliance with the Act.

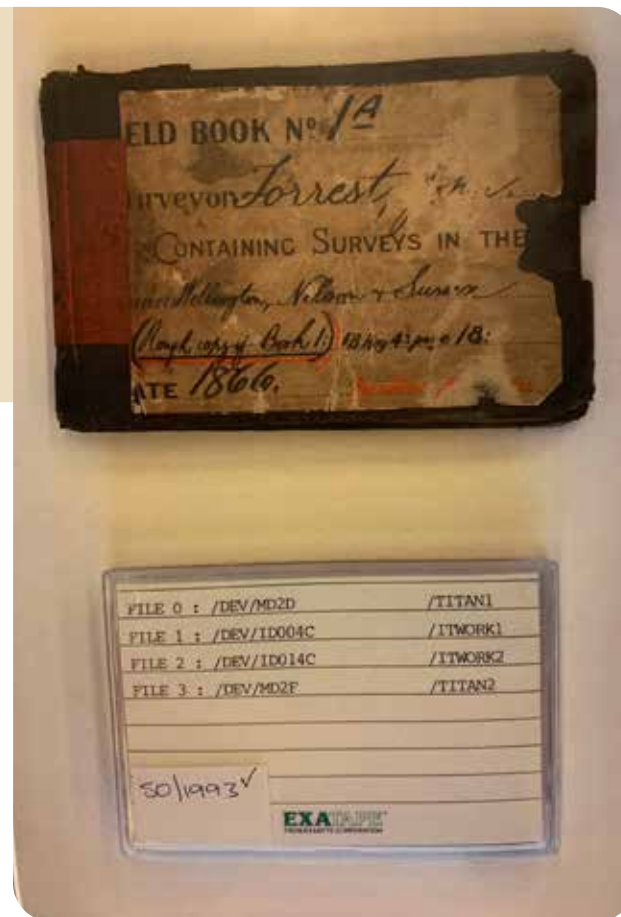
State archives

State archives are those records of long-term significance that are retained in perpetuity and represent around 3-4% of records created. Other State records are destroyed over time according to approved disposal authorities.

State archives are the significant records of government business which have ongoing evidential and historical value. It is estimated that there are over 75 linear kilometres of paper-based State archives, as well as thousands of films and photographs, representing millions of individual records held across government. The Office holds some 15 linear kilometres of these permanent-value official records from over 2,000 government agencies since colonisation in 1829 in the State Archives Collection. This collection is the largest archival collection in WA.

Today, most State records are created in digital format, that is, they are born digital. It is likely WA State organisations currently hold tens of petabytes of data in this form and that this volume of data is growing rapidly. Some 5% of these records are likely to be of long-term and continuing value (State archives), representing perhaps a few hundred terabytes of data of permanent archival value.

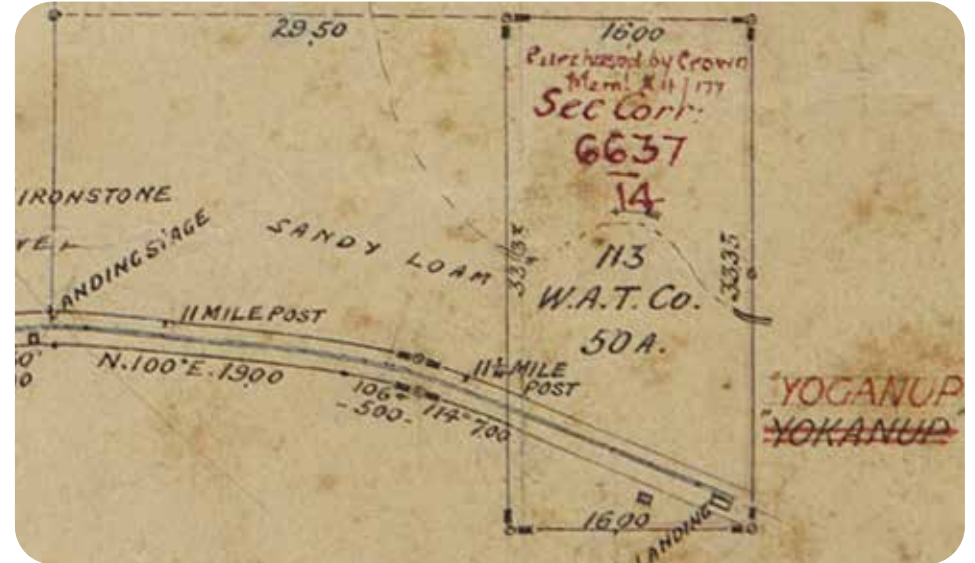
Under section 73 of the *State Records Act 2000*, the Director State Records is required to provide an information service about unrestricted access to State archives. The Office provides this service through online resources and a research facility co-located with the State Library of Western Australia.



State archives exist in a wide range of forms. At the top in this image is John Forrester's 1866 surveyors field book that includes data and observations from some of the earliest European exploration of the interior of Western Australia. The second object is a back-up tape from the Royal Commission into Commercial Activities of Government and Other Matters c.1990. The preservation of records on magnetic media like audio tapes represent a particular challenge in terms of the ability to continue to read the original data format, and degradation of the recording over time.



The refurbished Reading Room and Battye Library for West Australian History is now used by clients of the State Records Office, State Library and Aboriginal History WA as a secure space for research on unique items from the State archives and collections held by the State Library. Items are available for viewing here by prior arrangement with the Office. For more information visit <https://www.wa.gov.au/organisation/state-records-office-of-western-australia>



Historical significance: This plan includes the first railway in Western Australia to use a steam locomotive, August 1871. Extract from Cons. 3846-083 WA Timber Company. Line of railway from Wonnerup.

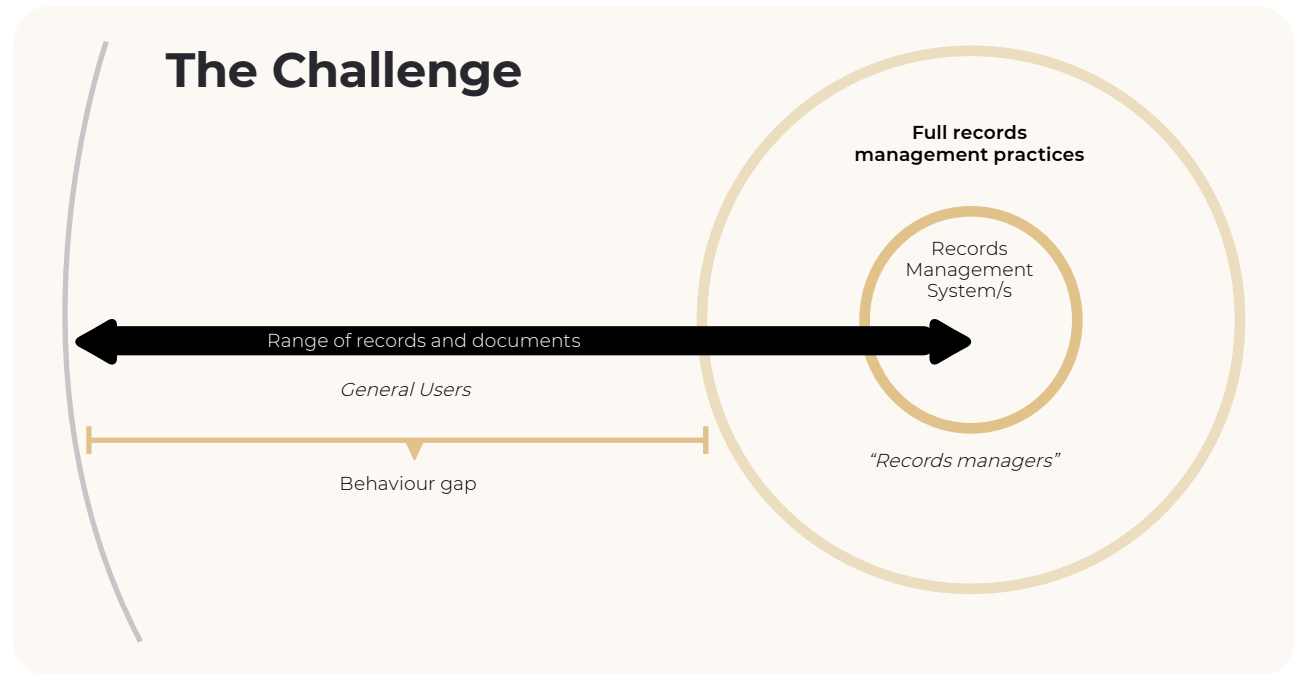
Key Challenges

The Commission faces a number of significant issues which may have an effect on the Commission's outcomes and objectives including:

Managing records of information across diverse digital systems:

Government organisations use a wide range of digital systems to capture and manage information. This presents both a challenge in terms of ensuring information is managed efficiently across these systems – including appropriate discovery and access, and an opportunity to simplify how we use these systems to reduce complexity and costs.

The SRO is pro-actively engaging with agencies across the public sector to better understand and support the management of records of information outside Electronic Document and Records Management Systems traditionally used to manage records.



This image highlights both the challenge of managing unstructured information, and the opportunity for innovative approaches to information governance for information currently outside Electronic Document and Records Management Systems. The Office has established a Community of Practice to help organisations to innovate by sharing experience and lessons learned. Source: Internal Office report prepared by Engage Squared Pty Ltd (Australia)

Access to State archives outside the State archives collection

The Office has established systems and facilities to provide an information service about State archives in the State archives collection in accordance with section 73(10)(c) of the *State Records Act 2000*. This service is used extensively by government and the community to access the collection. However, most State archives are still held by the agencies that created them or have become custodians for these important records. The Office has limited information about what these records are and where they are held and regularly makes referrals for assistance to other agencies for assistance on behalf of the public and government organisations requesting access. In 2020-21 the Office referred 94 requests to 17 other agencies for assistance. This data covers requests over 9-months only (October 2020 through June 2021).

The Office is working with other agencies to better understand and streamline access to State archives outside the collection wherever possible. For example, the Office and Department of Education share detailed information on holdings of State archives that make it easier to find and access these records regardless of whether they are held by the Office or the Department.



An example of a State archive in the custody of the Department of Mines, Industry Regulation and Safety. This file relates to the Iron Duke Mine near Kalgoorlie, at which there was a serious accident in 1936.

Performance

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



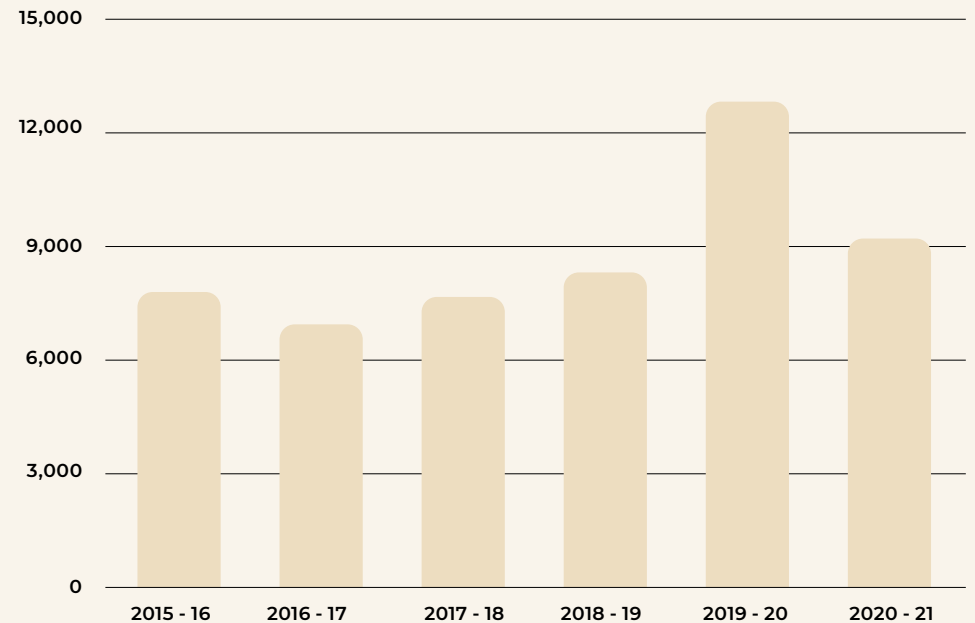
(a) State record keeping is of a standard that best serves the interests of the people of WA; and



(b) Subject to the law, that government records are accessible to the public.

The Commission contributes to the strategic planning processes of the Office and in this context, supports the Office's priorities.

Number of Requests to access State archives



In 2020-21 over 9,000 requests were made to access State archives from the collection. This can be compared with data on the number of items digitised through these requests - [see page 34](#)

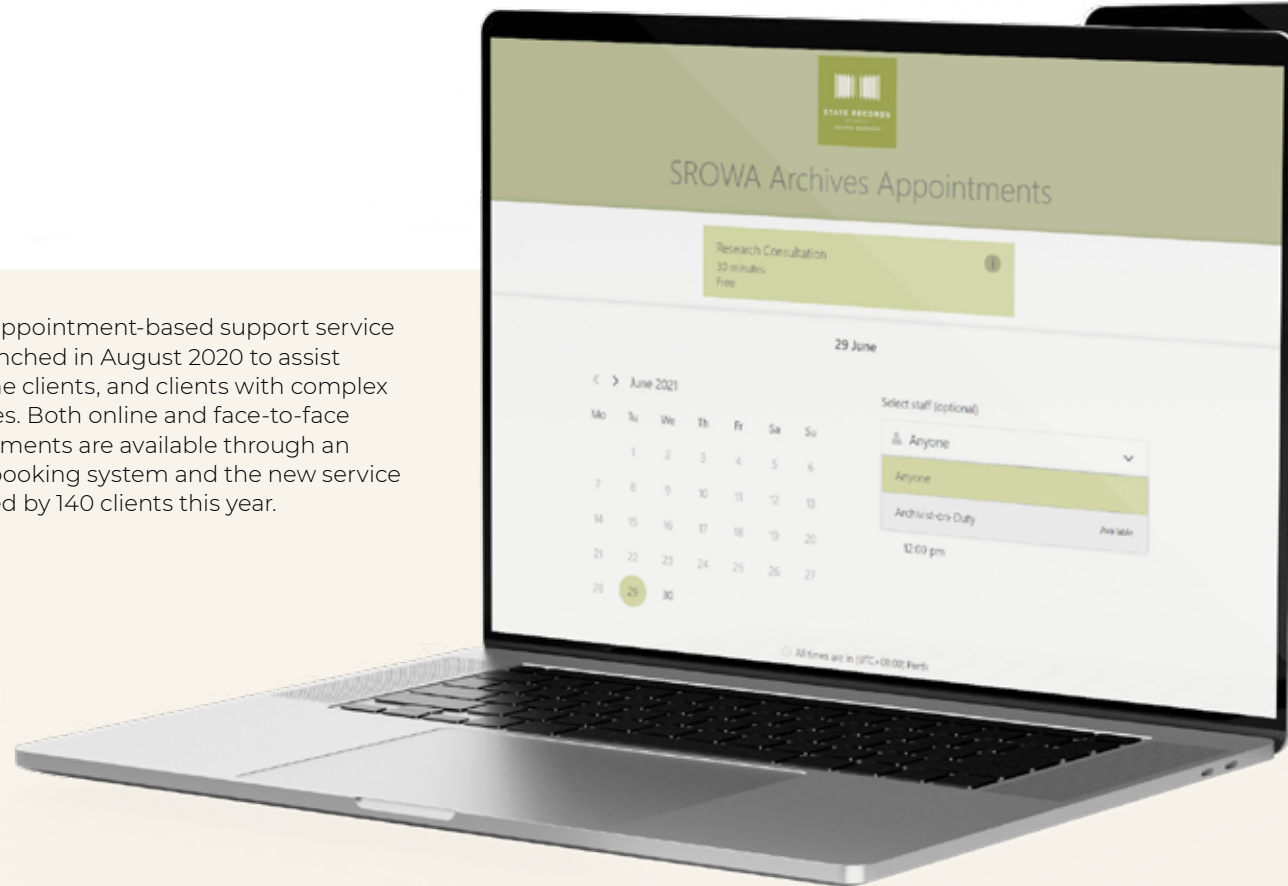
Highlights

2021

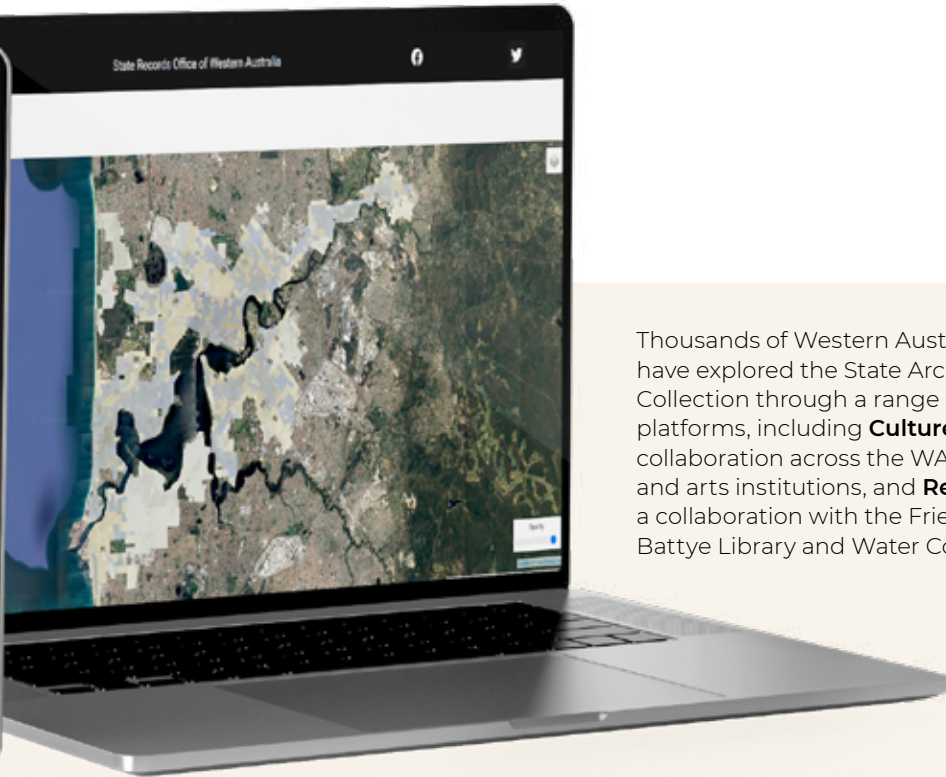
More accessible services

In 2020-21 over 9,000 requests were made to access State archives from the collection and clients ordered these to be digitised or viewed at the public research space on the 3rd floor of the Alexander Library Building, the site of the J.S. Batty Library of West Australian History. This co-located facility, shared with the State Library, Family History WA and Aboriginal History WA, enables original State archives to be accessible during all State Library opening times.

A new appointment-based support service was launched in August 2020 to assist first-time clients, and clients with complex enquiries. Both online and face-to-face appointments are available through an online booking system and the new service was used by 140 clients this year.



The State Records Office has introduced a new appointment-based support service for clients using the State archives collection. This service can be accessed by clients anywhere and appointments can be conducted online or in-person.



Thousands of Western Australians have explored the State Archives Collection through a range of online platforms, including **Culture WA**, a collaboration across the WA culture and arts institutions, and **RetroMaps**, a collaboration with the Friends of Battye Library and Water Corporation.

RetroMaps makes hundreds of historical maps and plans of early Perth available online through the support of the Water Corporation and Friends of Battye Library Inc. RetroMaps can be accessed at: <https://mapping.sro.wa.gov.au/>

Strengthening information management across government

Throughout 2020-21 the Office continued a review of the seven existing SRC Standards established under section 61(1) of the Act. The review aims to simplify and modernise the Standards by updating terminology and consolidating compliance requirements so they can be more effectively reported on.

Public consultation on a proposed new single Standard for Records Management and supporting framework was completed in July 2020. The proposal was broadly supported by most of those providing feedback and the Office has been able to use this feedback to enhance a draft, including a new template for a Record Keeping Plan and a new online reporting approach based on a Records Management Maturity Model.

Further consideration of the proposed new approach will be conducted by the Commission in 2021-22.



Public consultation on a proposed single new Standard for Records Management and supporting framework was completed in July 2020.

State Records Commission Award for Excellence in Compliance Reporting

The W.S. Lonnie Awards were established by the Institute of Public Administration Australia – WA Division (IPAA WA) to recognise excellence in annual reporting by public sector organisations. Since 2006, the Commission has sponsored a specialist Lonnie Award to acknowledge excellence in reporting about organisational records management programs.

The WA Treasury Corporation was recognised by the Commission for excellence in reporting on record keeping compliance in its 2018-19 Annual Report at the Lonnie Awards ceremony in October 2020, delayed due to the COVID-19 pandemic.

A past winner of the Award in 2018 and recipient of a commendation in 2017, the WATC again provided a comprehensive, well structured account of excellence in information management as required under State Records Commission Standards. The judging panel was impressed by how the agency addressed not only what information management and training was implemented, but how they support agency business. The State Records Commission commends the recognition of information as a valuable corporate asset given the importance of recordkeeping in demonstrating the integrity of decision-making.

The WATC made significant progress in 2019 with an upgraded recordkeeping system that improved functionality and enables more efficient information

capture and management, particularly by project management staff. The Information Management Team's training, induction and awareness program clearly reaches across the business to instil an understanding of how information management aligns with core business activities. The WATC's annual report also highlights innovative future initiatives, including development of a central knowledge hub and investigation into how information management workflows could achieve greater efficiencies.

As noted in previous years, the WATC's progress with information management and training program is impressive given the relatively small size of the agency.

The Commission was also delighted to present its Award for 2019-20 Annual Reports to the Department of Justice at the Lonnie Awards ceremony in June 2021.

A past winner of the Award in 2019 (for 2017-18



The WA Treasury Corporation was recognised by the Commission for excellence in reporting on record keeping compliance in its 2018-19 Annual Report.



The Department of Justice was recognised by the Commission for excellence in reporting on record keeping compliance in its 2019-20 Annual Report.



The Department of Justice 2019-20 Annual Report comprehensively considered all aspects of records management across its complex business and demonstrated an investment in continuous improvement.

Reports), the Department's Annual Report has again comprehensively considered all aspects of records management across its complex business and demonstrates an investment in continuous improvement in a way that integrates records management with other aspects of information governance and digital transformation. Reported improvements implemented clearly place records and information management in the broader context of agency core business: covering activities such as information sharing and security, management of case files, management of prisoner medical information, and transfers of records. The Department's training program covers both general records management and specialised topics, delivered in multiple formats to accommodate a geographically diverse workforce.



Director State Records, Mr Damian Shepherd (left) presents the 2019/20 State Records Commission Award for Excellence in Compliance Reporting to Mr Ross Moulton, Chief Operating Officer, WA Treasury Corporation (right).



Director State Records, Mr Damian Shepherd (left) presents the State Records Commission Award for Excellence in Compliance Reporting to Mr Mark Hainsworth Manager Advisory Services, at the Department of Justice (right) in June 2021. Image source. Institute for Public Administration Australia WA

Improved Management of State Archives

Improved Management of State Archives

In 2020-21 the Office continued work with other agencies to pursue opportunities to coordinate the use of appropriate storage facilities and improve discovery and access to State archives held across government, including those created in digital formats.

Building on a Preservation Needs Assessment of the State archives collection completed in 2018, the Office completed the re-housing of some 8,000 map and plan archives to better protect them, enabling them to be more safely handled and digitised in the future.



In May 2021 the Office completed the re-housing of some 8,000 map and plan archives to better protect them, enabling them to be more safely handled and digitised in the future.

Work also commenced this year on expanded digitisation of State archives that are fragile and/or in high demand for research purposes.

In late 2020 the Office completed a project with Fremantle Prison and the Department of Planning, Lands and Heritage (DPLH) to digitise 46 volumes of historical prison registers from the State archives from the period 1888-1961. This work was funded by the DPLH; and the Office is working to make Prisoner Registers older than 100 years available online.



In late 2020 the Office completed a project with Fremantle Prison and the Department of Planning, Lands and Heritage (DPLH) to digitise historical prison registers from the State archives. Pictured (left to right), Oonagh Quigley, Eleanor Lambert from Fremantle Prison, Gerard Foley – Senior Archivist at the State Records Office.

Margaret Medcalf Award

The Margaret Medcalf Award is hosted by the Office and is presented for excellence in referencing and research of the State Archives Collection. This annual award was established by the State Records Commission in 2003. It honours Ms 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.

To be eligible for the award works nominated must demonstrate use of the State Archives Collection, but these works can be published or unpublished, fiction or nonfiction and may comprise any format. Therefore, the award is distinctive in that it allows unpublished works, journal articles, moving image productions, websites, blogs, indexes - including entries submitted by students - to be judged alongside popular publications by established authors.

Fourteen entries were received for the Award in 2020, which is the largest number of entries since 2004. Entries covered a very wide range of topics of broad interest to the community, including the voices of Aboriginal people in early colonial Western Australia as recorded in the archives, investigation of the background of a murder in the Government House Ballroom in 1925, stories of marginalised women in 19th century WA, and the design of Perth Council House. The entries are presented in a wide range of formats and media - from online blogs and short stories, to displays, textbooks and journal articles.

The 2020 Margaret Medcalf Award Winner was **Dr. Tiffany Shellam for The Collective Nyungar Heritage of an "Orphan Letter"**, published by the Johns Hopkins University Press in the Journal of Colonialism and Colonial History.



Presentation of the 2020 Margaret Medcalf Award for Excellence in Archival Research. Pictured left to right (Professor Fiona Stanley AC – accepting the award on behalf of her daughter, Dr. Tiffany Shellam, Ms. Margaret Medcalf OAM. Ms. Catherine Fletcher, Information Commissioner (representing the State Records Commission)).



Reviews and Updates of Record Keeping Plans

Government organisations are required to submit Record Keeping Plans for approval by the Commission. As part of a continuous cyclical process, a Record Keeping Plan must be reviewed within five years of its approval date (or previous review), with a report of the review to be submitted to the Commission. A review can take the form of either a review report, or a fully amended Plan.

This year, 39 agencies were required to review their Plans (see the list of organisations in Appendix 1). A total of 29 reviews were received during the reporting period.

During 2020-21 the Commission approved 34 new or amended Record Keeping Plans and the continuation of a further three requiring no amendment. The Commission also noted one organisation, which had Plans approved by the relevant Minister, in accordance with Schedule 3 of the Act. A single new organisation, the Procurement Executive Body, was required to submit a Record Keeping Plan on or before 30 June 2021, and incorporated their Plan into that of the Department of Finance (see Appendix 2).

A total of 41 Record Keeping Plan reviews were considered by the Commission.

Reviewing and updating record keeping plans plays a vital role in ensuring that all agencies have confidence that their work to ensure the integrity of records is undertaken as effectively and efficiently as possible. We strongly value the work that all agencies do in this regard and thank them for their efforts.

Chris Field, Chair, State Records Commission
and Damian Shepherd, Director State Records

Record Keeping Plan and Disposal Authority received and approved During 2020-21

34 Fully amended RKP

29 RKP review reports

28 Identified amendments required and committed to submitting an amended RKP

01 Identified no amendment required

Record Keeping Plans Approved in 2020-21

15 Local Government RKP

20 State Government RKP

Disposal Authorities approved in 2020-21

11 Fully amended Retention and Disposal (R&D) Schedules

01 General Disposal Authority (produced by the Office)

01 Ad Hoc Disposal Authority (produced by the Office)

01 Amendment to an existing (R&D) Schedule

In the coming year, 2021-22, a total of 50 agencies will be required to review their Record Keeping Plans (see the list in [Appendix 3](#)).

Disposal Authorities

Disposal Authorities are an integral part of an organisation's Record Keeping Plan, as they fulfil the legal requirement for the Plan to identify State archives for permanent retention, and the retention periods for all other records.

No.	Function/Activity	Description	Disposal Action	Custody
41.4		Allowances/benefits provided to effected members	Destroy	Retain 7 years after action completed, then Destroy.
42	ELECTIONS	<p>Conducting public elections to select local government Elected Members, including Mayoral elections. Also includes records associated with preparing the electoral roll.</p> <p>See also related ACTIVITIES:</p> <p>10. APPEALS 56. Industrials relations 71. MARKETING/PROMOTIONS/CAMPAIGNS 86. PROCEDURES 93. REGISTERS</p>		
42.1		Elections – Returning officer's declaration of outcome	Required as State archives	Retain 5 years after action completed, then transfer to the Office.
42.2		Election of Council President/Deputy or Mayor, including elections by other Elected Members	Required as State archives	Retain 5 years after action completed, then transfer to the Office
42.3		Elections- photographic history	Required as State archives	Retain 5 years after action completed, then transfer to the Office
42.4		Electoral roll- Returning Officer's copy	Destroy	Retain 30 years after action completed, then Destroy

*This is an excerpt from the **General Disposal Authority** for Local Government Records. The Authority document describes the types of records of information created and managed by organisations, the functions of an organisation these records relate to, the time period records are retained for and their eventual disposal or retention in perpetuity as State archives.*

All State records must be disposed of in accordance with an approved Disposal Authority. Disposal Authorities may take the form of a:

- 1 General Disposal Authority
- 2 Retention and Disposal Schedule;
- 3 Sector Disposal Authority;
- 4 Ad Hoc Disposal Authority; or
- 5 Disposal List

General Disposal Authorities

General Disposal Authorities (GDAs) are documents, developed by the Office in consultation with other agencies, enabling the lawful disposal of information documenting the common operations within government. They provide consistent disposal decisions throughout the state and eliminate the need for each government organisation to prepare individual disposal authorities for a large proportion of records.

Four General Disposal Authorities are currently in force to cover the legal disposal of:

> State Government Information

Covering common administrative records across all State public sector organisations;

> Local Government Records

Covering all records of all local government organisations in Western Australia; and

> Source Records

Enabling the destruction of hard copy source records after digitisation, once certain conditions have been met.

> Incidents and Allegations of Child Abuse or Neglect

Identifying the record categories which document: incidents, allegations and reports of child abuse and neglect; and organisational processes for creating and maintaining a safe environment for children, including responses to the Royal Commission's recommendations. There may be an overlap between this authority and other disposal authorities.

The first three of these GDAs are currently under review to ensure that they comply with relevant business and technical standards; are as simple and effective as possible; and include changes to retention periods in line with the recommendations of the Royal Commission into Institutional Responses to Child Sexual Abuse.

Sector Disposal Authorities

Sector Disposal Authorities (SDAs) are developed by the Office, in consultation with other organisations

across these sectors, and cover records common to a group or sector of like organisations which operate with common functions.

SDAs have also been developed by agencies in close liaison with the Office. These include SDAs for Court and Tribunal Services, Western Australian Universities and State Training Providers.

There are currently 13 SDAs, covering the core business records of approximately 80 government organisations.

As is the case for the GDAs, the existing SDAs are under review to ensure they meet organisational and legislative requirements. The Commission approved the SDA for Health Services in May this year and the Office continues to assist the Universities with the revision of the SDA for the WA University Sector.

Ad hoc Disposal Authorities

An Ad hoc Disposal Authority is a specific instance disposal authority relating to one or a limited number of series, or an identified part of a series of records. In late 2020 the Office developed an Ad hoc Disposal Authority in liaison with relevant State government Departments to cover the disposal of COVID-19 Contact Registers for all State Organisations. The Commission is currently reviewing the standing of this Authority in view of the *Protection of Information (Entry Registration Information Relating to COVID-19 and Other Infectious Diseases) Act 2021*, assented to on 22 June 2021.

Retention and Disposal Schedules

Unless records are covered by a General Disposal Authority or a Sector Disposal Authority, State government organisations are required to develop Retention and Disposal Schedules to authorise the disposal of their core business (or functional) records.

During 2020-21, following advice from the Office and the State Records Advisory Committee ([see page 35](#)), the Commission approved:

- > nine fully revised Retention and Disposal Schedules and one amended Schedule,
- > one Sector Disposal Authority;
- > one Ad hoc Disposal Authority; and
- > one General Retention and Disposal Authority.

The Commission also endorsed one fully revised Retention and Disposal Schedule, where approval is required by another body under the *State Records Act*.

One fully revised Retention and Disposal Schedule was reviewed by the Committee during 2020-21 and is pending Commission consideration in the next reporting period.

See also Appendix 4 for further detail on the progress of disposal authorities during 2020-21.

Managing Retention and Disposal Schedules Online

The Online Retention and Disposal Application (ORDA) is a web-based system that allows government agencies to draft and submit their Retention and Disposal Schedules to the Office for review, and also facilitates associated approval processes.

As part of its work on new tools to support the proposed new single Standard for Records Management, the Office is configuring a new ORDA module focussed on Record Keeping Plans. This module will allow for Plans, and associated information, to be developed, submitted and revised online.

This module will also enable Record Keeping Plan information to be maintained in a database form so that information practices across government - as documented through the Plans - can be better analysed and reported upon.

It is anticipated that this module will be used by both State and Local Government organisations and the Office will develop guidance and supporting documentation to assist agencies in using this new module.

Publications on Records Management

Building upon the simplification initiatives of the previous year, 2020-21 saw the Office continue to develop information management guidance specifically targeted to meet the needs of clients.

Records Management Advice

During the move to a new online platform at wa.gov.au, the Office took the opportunity to create a new 'Records Management Advice' section on its website, to provide guidance on contemporary records management issues that affect State and local government clients.

In accordance with Western Australian government directives during the COVID-19 pandemic, the Office released updated 'COVID-19 Records Management Advice', which addressed the retention and disposal of contact registers and other records relating to the pandemic. Alongside this advice, an Ad Hoc Disposal Authority for COVID-19 Contact Registers was published to authorise the retention and disposal of these records.

The Office also published the following advice during 2020-21:

- > Retention of Personal Information - providing advice on managing personal information in a recordkeeping context
- > Metadata and Discoverability - on the capture and management of metadata

- > National Australia Bank (NAB) Flexi-purchase - guidance on what this system means for records management
- > Social Media Content as Government Records (updated) - on the capture and management of social media records
- > Source Records and Access Copies - on how to maintain reproductions of original records.

New General Retention and Disposal Authority for Incidents and Allegations of Child Abuse or Neglect

The Royal Commission Into Institutional Responses to Child Sexual Abuse recommended that "... state and territory records authorities should ensure that records disposal schedules require that records relating to child sexual abuse that has occurred or is alleged to have occurred be retained for at least 45 years". In response, during February 2021 the Office published a General Retention and Disposal Authority for Incidences and Allegations of Child Abuse or Neglect.

The document assigns retention periods for records about child abuse cases and allegations and applies to all Western Australian State and local government organisations.



Information Management Advice from the State Records Office aims to provide timely guidance to agencies regarding topical issues in information management. The Office consults with other agencies, including the Office of Digital Government and Office of the Information Commissioner in developing this guidance.

Record Keeping Training

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

The State Records Office website and a range of other sources can be used by agencies to inform good records management practices. In addition, training is available locally through a number of providers.

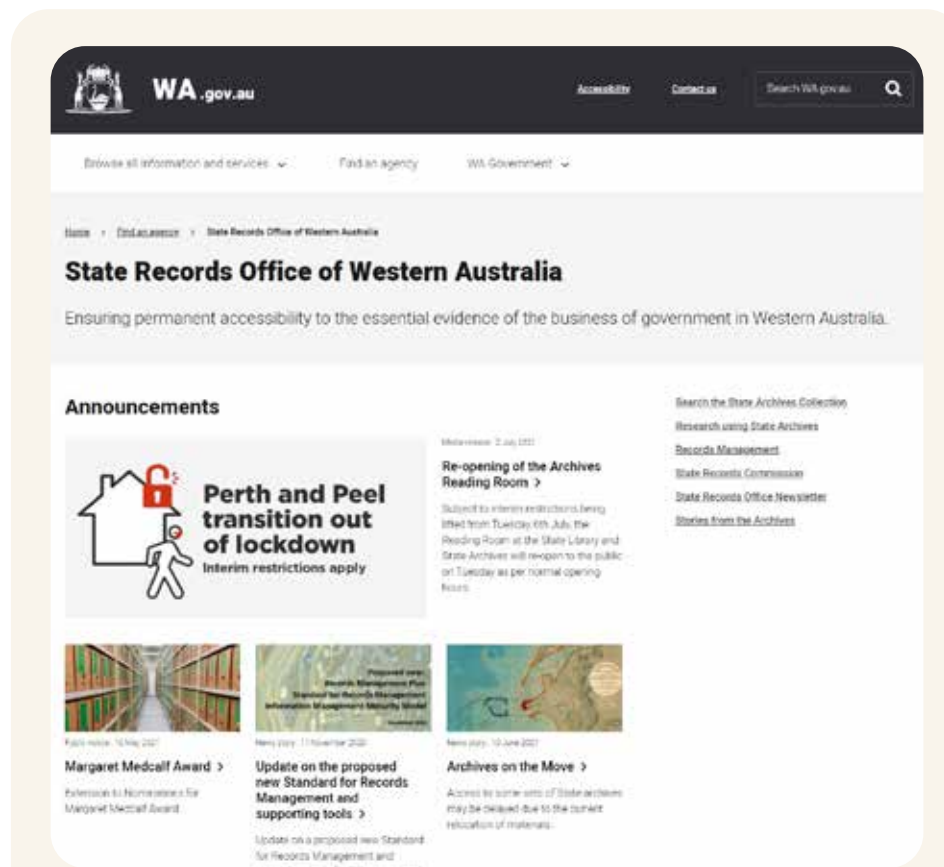
Training requests from agencies are currently addressed by referring to appropriate guidance published on the SRO website or other relevant sources.

Engagement and Collaboration

It has never been more important for all organisations to leverage collaboration and partnerships to achieve outcomes. Given the increasingly rapid and disruptive change in information management technology and approaches to the way government and other organisations conduct business, it is essential that the Office continuously develops its working relationships with a wide range of public and private sector professionals and organisations to ensure that the State Records Commission can continue to support effective records and information management across WA.

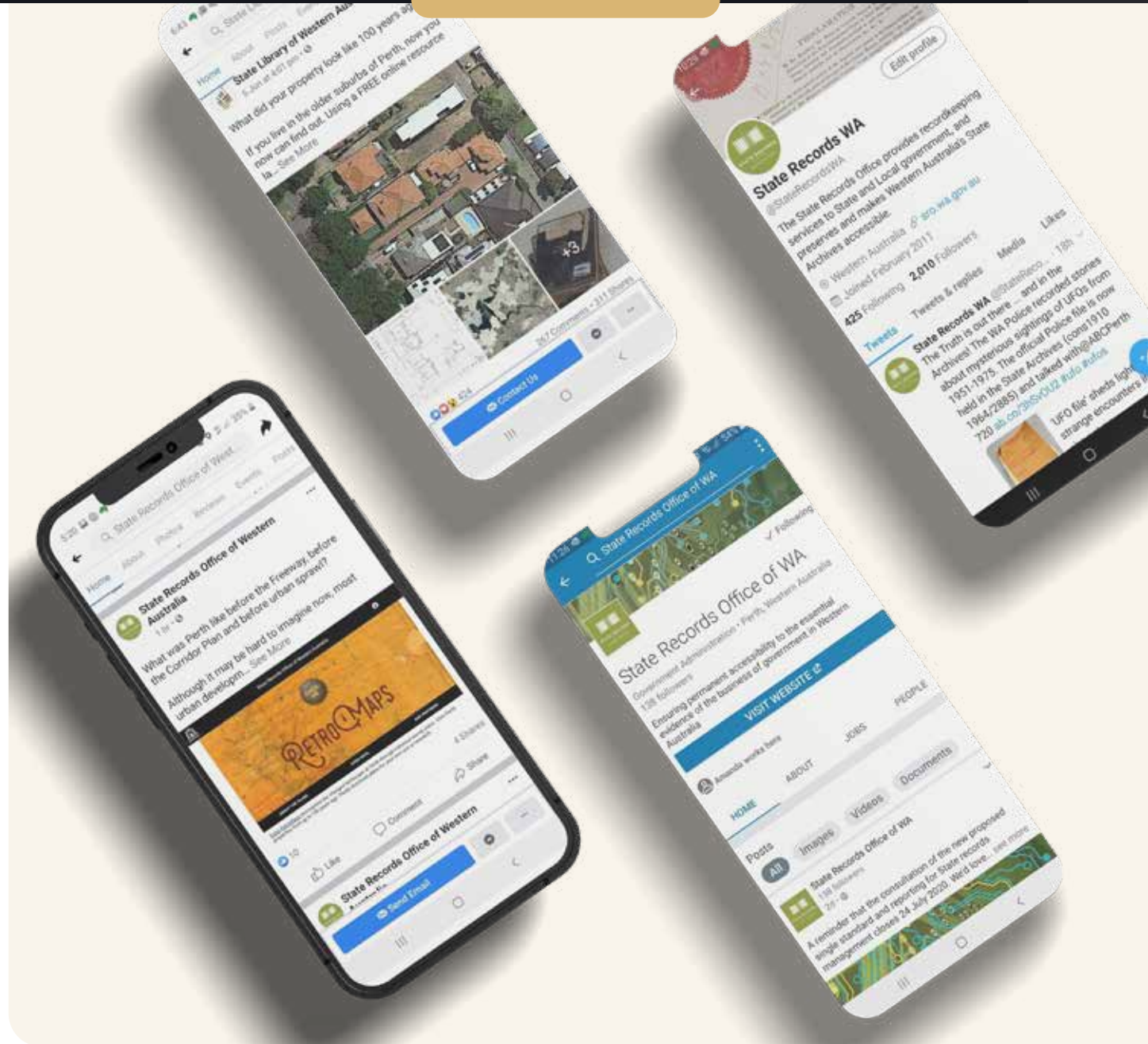
In July 2020 the Office commissioned a Strategic Communications Review. The Office has subsequently implemented a number of recommendations from this review, including a new quarterly online newsletter that explains to the public and subscribers what the Office is doing and why. The new online newsletter, for which visitors can register for updates, has been accessed over 500 times since the new SRO profile on wa.gov.au went live in January 2021 and has helped drive increased participation in SRO initiatives.

With support from the Office of Digital Government, the State Records Office completed the migration of its web page to **wa.gov.au** to join over 50 other agencies more easily discoverable through this single gateway. The Commission and State Records Office appreciate the support provided by the Office of Digital Government through the migration and in maintaining the site – reducing duplication of effort and costs.



The new State Records Office and State Records Commission website on wa.gov.au

In addition to the new website and newsletter, the Office regularly shares information with a range of stakeholders through social media platforms, including LinkedIn, Twitter and Facebook. The Office uses these platforms to help build awareness of the importance of managing records of information created every day by the WA public sector, and to build public awareness about the range and value of information in the State archives. 'Stories from the Archives' is an example of a popular series of communications from the Office that is also shared via local radio in Perth.



The new State Records Office website uses a range of social media to communicate with stakeholders.

The Office contributes on a regular basis to the following forums, working groups and committees:

Council of Australasian Archives and Records Authorities (CAARA)

The Council of Australasian Archives and Records Authorities (CAARA) comprises the heads of the government archives authorities of the Commonwealth of Australia, New Zealand and each of the Australian States and Territories; and is a peak body of government archives and records institutions in Australia and New Zealand. The State Records Office is CAARA's Western Australian representative.

CAARA enables Archives and Records Authorities to improve their capacity and capabilities collectively by:

- > Sharing information and knowledge
- > Collaborating and building expertise; and
- > Better understanding and coordinating responses to emerging challenges.

In 2020-21 CAARA worked together to respond to the recommendations of the Royal Commission into Institutional Responses to Child Sexual Abuse, coordinate and align where appropriate responses to the challenges of information management during the COVID-19 pandemic, and develop support material for organisations managing records of out-of-home care.

Local Government Records Management Group

The Office continued its engagement with the Local Government Records Managers during 2020-21. This included a presentation on initiatives under the State Records Office Strategic Plan in September 2020, hosting a meeting of the Group at the Alexander Library in Perth in December 2020, and regular updates on Office initiatives at several other meetings of the Group in 2021.

Microsoft SharePoint and Office 365 for Records and Information Management – Community of Practice

In June 2020 the Office established a cross-agency community of practice to enable WA government organisations to share knowledge, information and experience in using Microsoft 365 and SharePoint for managing records of information. Throughout 2020-21 the Office continued to support this community by hosting several online information sessions exploring proof-of-concept and pilot implementation projects across agencies.

Recommendations of the Royal Commission into Institutional Responses to Child Sexual Abuse

During 2020-21 the Office continued its participation on two groups concerned with implementing records retention and management recommendations arising from this Royal Commission:

- > The Royal Commission External Implementation Committee, coordinated by the Department of Communities.
- > The Council of Australian Archives and Records Authorities' Royal Commissions Working Group.

The Office's existing disposal authorities, including the General Disposal Authorities for the State and local government sectors, continue to be reviewed to incorporate appropriate retention periods for records documenting, or potentially relevant to, child sexual abuse cases or allegations in line with the Royal Commission's recommendations. In the interim, a hold on disposal of government agency records relating to children remains in force.

Business and Technology Advisory Committee (Office of Digital Government)

The Office is an observer on the Office of Digital Government – Business and Technology Advisory Committee (BATAC), which enables the Office to maintain awareness of key challenges and opportunities for digital transformation of the WA public sector, and to align its work plan with those needs.

Information Classification Policy working group (Office of Digital Government)

On a regular basis throughout this reporting period Office staff contributed to the Office of Digital Government – Information Classification Policy working group. This working group has developed policy and supporting guidance for classifying the sensitivity of information managed by government organisations. A whole-of-government Information Classification Policy was approved by State Cabinet in August 2020 and agencies have a five-year timeframe to implement the policy.

Accountability Agencies Collaborative Forum

The Office participates in this forum, Chaired by the Information Commissioner. The forum aims to enhance collaboration and cooperation amongst smaller agencies responsible for oversight and accountability across government, including the Equal Opportunity Commission, Mental Health Advocacy Service, Health and Disability Services Complaints Office, Office of the Information Commissioner, Office of the Chief Psychiatrist, Office of the Commissioner for Victims of Crime, Office of the Commissioner for Children and Young People, and the Office of the Inspector of Custodial Services.

Other Industry Engagement

Throughout this reporting period Office staff also contributed to the following occasional forums and events:

In July 2020 the Director State Records addressed members of Records and Information Management Professionals Australasia (RIMPA) via a webinar regarding the proposed new single State Records Commission Standard for State records management.

In August the Director State Records met with the History Council of WA to discuss the State Records Office Strategic Plan and key initiatives.

The Director State Records was also interviewed by the Public Sector Network as part of development of a White Paper on deploying artificial intelligence in the public sector.

An Office Archivist co-presented a seminar at the National Archives of Australia (NAA), Perth, on Built Architecture in WA – part of the NAA Exhibition ‘Perth – An Accidental History’.

Several Office staff met with the City of Perth Information Governance team regarding their successful implementation of Microsoft 365 and SharePoint for records of information.

In September the Director State Records and Information Commissioner joined a panel discussion at the online FST Media Government WA Digital Summit on ‘Using Data to Facilitate Collaboration and Better Decision-Making in Government’.

Several Office staff assisted the Department of Biodiversity, Conservation and Attractions (DBCA) with a workshop on business classification across DBCA, Kings Park Authority, Rottnest Island Authority, and the Perth Zoo.

In October the Director State Records attended the IPAA WA Seamless Digital Government Conference



In May 2021 the Office completed the re-housing of some 8,000 map and plan archives to better protect them, enabling them to be more safely handled and digitised in the future.

and discussed opportunities for the Office to work with other agencies to improve the way we collect, manage and share information.

The Director State Records attended the presentation of the State and National Awards of Records and Information Management Professionals Australasia

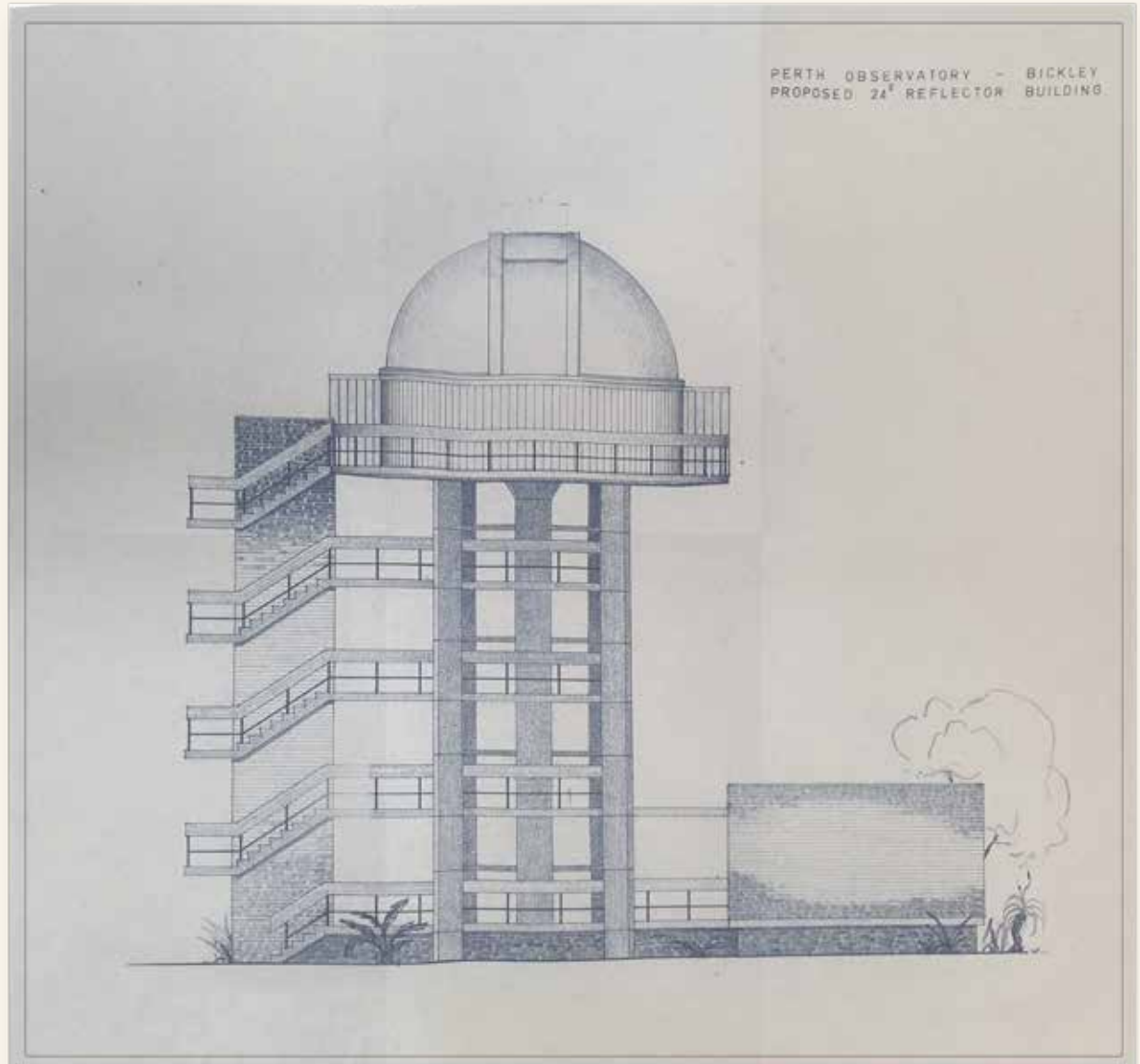
(RIMPA) and was fortunate to receive the 2020 Black Swan New Professional (State) and J. Eddis Linton New Professional Award (National) industry awards. These Awards recognise the work of the Office and support from the Commission for records management at state and national levels.



Ms Carolyn Atkinson, President Records and Information Management Professionals Australasia (RIMPA) WA presents Mr Damian Shepherd, Director State Records, with the 2020 Black Swan New Professional (State) and J Eddis Linton New Professional Award (National) industry awards.

In November, staff from the Office discussed the proposed new single State Records Commission Standard for Records Management and supporting framework with a local government forum organised by IT Vision, which included 40 WA regional Councils.

The Director State Records and an Office archivist visited the Perth Observatory at the invitation of the volunteers that now run the facility. The Observatory has a long and venerable history in WA – playing an important role in time keeping, positioning and discovery from early in the history of the colony - and is an important source of State archives. The group discussed opportunities for the Office to assist volunteers and the Department of Biodiversity, Conservation and Attractions to preserve State archives held on-site.



In late 2020 staff from the Office visited the Perth Observatory at the invitation of the volunteers that now run the facility. The Observatory has a long and venerable history in WA – playing an important role in time keeping, positioning and discovery from early in the history of the colony - and is an important source of State archives.

In December, several members of the Office team attended a joint Australian Society of Archivists - RIMPA event at Royal Perth Yacht Club to provide an update on State Records Office priorities for 2021 and a reflection on interesting items in the State archives collection.

In January 2021, the Director State Records met with the CEO of at the Local Government Professionals WA and her staff to discuss opportunities for collaboration between the Office and Local Government Professionals WA.

In February, the Director State Records and representatives from the Office of the Information Commissioner and Office of the Auditor General participated in a panel session at a workshop organised by the Local Government Elected Members Association. The workshop helped clarify arrangements for governance and integrity measures in local government.

In April and June Office staff attended meetings of the Local Government Records Management Group to provide updates on Office initiatives and assist with resolving questions and challenges in records management.

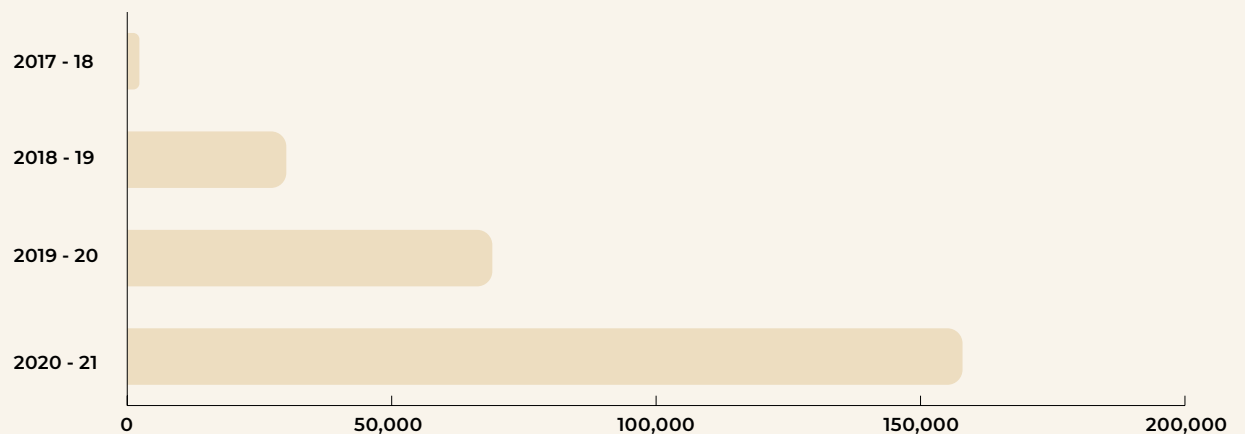
In May the Director State Records contributed to a joint statement with the Information Commissioner, for Information Awareness Month 2021. The statement addressed the importance of information to build trust and was published on the State Records Office and Office of the Information Commissioner web pages, shared through social media, and with public sector leaders through the WA Government CEO Gateway.

Office staff also attended a national Information Awareness Month event run by RIMPA and the Director State Records participated on a panel session with his counterparts from South Australia and the National Archives of Australia.

Broadening Access to the State Archives Collection

In addition to highlights regarding new online resources and updated research space for State archives described elsewhere in this report, demand for digital delivery

State archives collection items digitised on demand



**2018-19 was the first year the service was offered publicly. Requests processed in 2017-18 were on a test basis only.*

of information services continued to grow strongly in 2020-21.

A total of 157,941 items from the State archives collection were digitised on demand for clients in 2020-21, compared with 69,068 in 2019-20. Online delivery of this service commenced in 2017-18 with 2,360 digitised in that year.

Release of a Guide to State Cabinet Papers

In September 2020, the Office released a guide to State Cabinet papers for 1989 that had reached open access archive status after 30-years. This guide was developed earlier in 2020 by an Intern Student through the McCusker Centre for Citizenship, Ms Michelle Lam. The online guide covers State Cabinet minutes and decisions from the 1989 calendar year. State Cabinet records are historically significant documents that reveal key decisions made by the government of the day. The online guide to the records describes the papers, key issues, and historical context for decisions at the time.

The guide was released to coincide with International Day for Universal Access to Information.

Student Internships and Practicums

In addition to the Internship through McCusker Centre for Citizenship, the Office supported two practicum students from the School of Media, Creative Arts and Social Inquiry at Curtin University. The students worked with staff from the Office to carry-out supervised preservation and description work on the State Archives Collection, and information management activities.

Volunteers

The Office hosted two volunteers throughout 2020-21. The volunteers assist with improving descriptions of State archives that assist researchers using the State archives catalogue to identify archives required for a wide range of research purposes. Volunteers play an important role in supporting the community through this activity and the Commission and Office are proud to support their work.

Committee of the Commission

State Records Advisory Committee

The State Records Advisory Committee was established under section 62(1) of the Act 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).**

In 2020 the Terms of Reference for this Committee were updated to enable consideration of a wider range of matters related to the management of records of information – including the capture and creation, management of, and access to records. The Office leads and provides administrative support to the Committee and recommendations are presented to the Commission following each meeting.

During 2020-21, the Committee met on 17 September 2020, 12 November 2020 and 4 March 2021.

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

Membership of the Committee during 2020-21:

Chair of the Committee

Mr Damian Shepherd – Director State Records

Executive Secretary

Ms Lena Stekl – Recordkeeping Consultant, State Records Office

Minutes Secretary

Administrative Assistant, State Records Office

Australian Society of Archivists

Ms Lesley Jolliffe

(Deputy: Mr Tom Reynolds)

Aboriginal Interests

Ms Tanya Butler

(Deputy: vacant)

Historical Interests

Ms Pam Harris

(Deputy: Dr Bobbie Oliver)

Institute of Public Administration Australia (WA Division)

Mr Andrew Brien

(Deputy: Mr Chris Avent)

Law Society of Western Australia

Mr Robert O'Connor QC

(Deputy: Mr David Bruns)

Local Government Records Management Group

Ms Julie Mathieson (resigned 18 January 2021)

(Deputy: Ms Julie Coxall)

Records and Information Management Professionals Australasia

Ms Suparna Chatterjee

(Deputy: Ms Vicki Mills)

State Government CEO Representative

Mr Mike Rowe (term ended 12 January 2021)

(Deputy: Ms Terry Durant) (term ended 12 January 2021)

Commissioner Darren Klemm AFSM

(from 1 February 2021)

(Deputy: Ms Michelle Hoad) (from 1 February 2021)

The Commission would like to acknowledge the valuable contributions made by the following Committee representatives during 2020-21:

Mr Mike Rowe

State Government CEO Representative, Member

Ms Terry Durant

State Government CEO Representative, Deputy

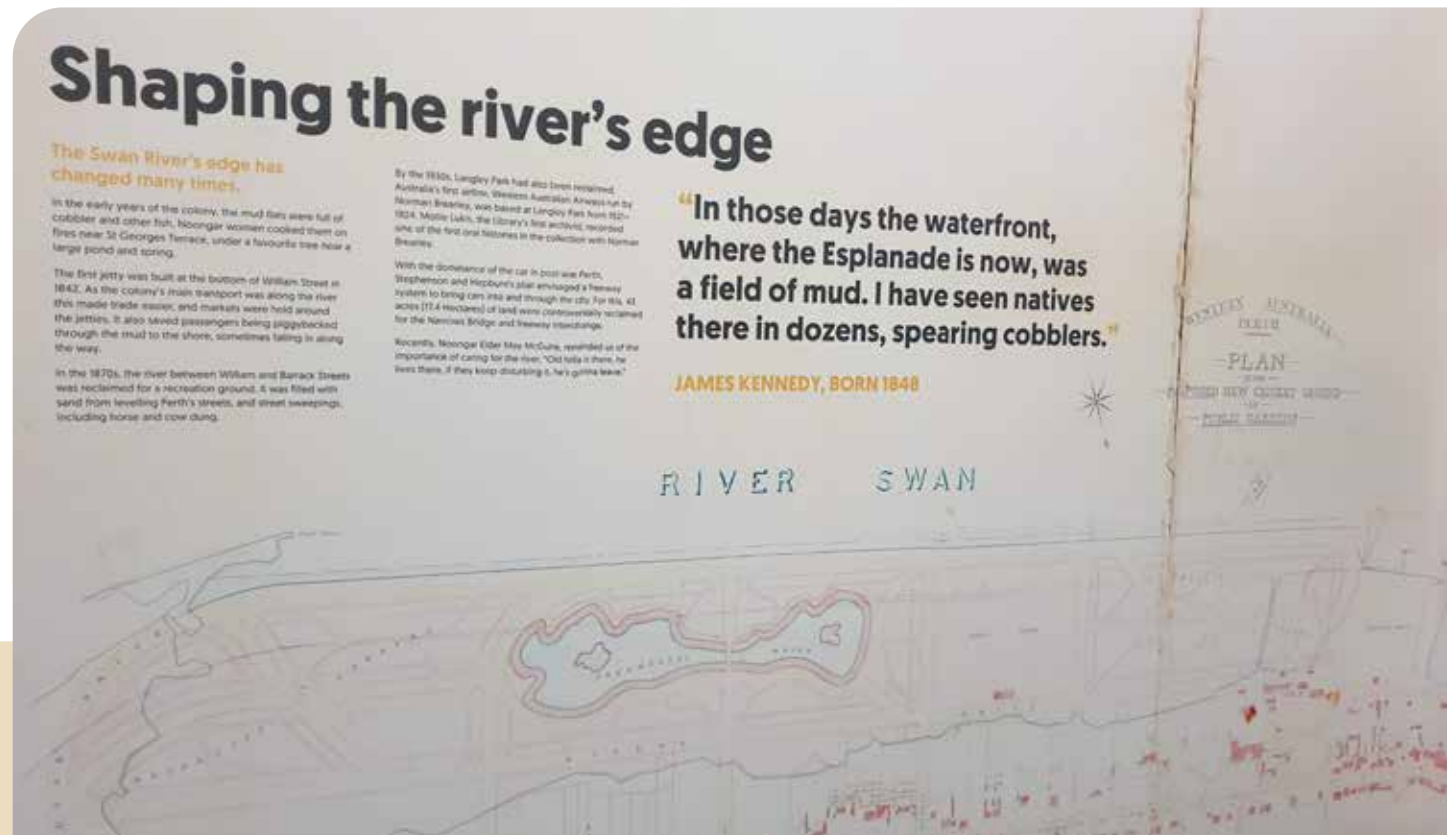
Ms Julie Mathieson

Local Government Records Management Group, Member

The Commission extends its appreciation to all Committee representatives for their participation and contribution to the important work of the Committee.

Commission Remuneration 2020-21

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



The State Records Office collaborates with the State Library of WA and other organisations on exhibition events. This example of a State archive shows an early plan for redevelopment of what is now the Esplanade and was displayed as part of the Creating Perth exhibition at the State Library in late 2020. Ref. SROWA Series 399 Cons 1647 Item38.

Committee Member Profile

Commissioner Darren Klemm AFSM Department of Fire and Emergency Services



Commissioner Darren Klemm AFSM has more than 30 years of experience in fire and emergency services, having served three years with the South Australian Metropolitan Fire Service before joining the WA Fire Brigades Board in 1993.

Commissioner Klemm has been one of Western Australia's rising stars in public administration and management, since joining the Fire Brigades' Board in 1993. In 2018 he was awarded an Australian Fire Service Medal for outstanding contribution for fire and emergency services and is the only firefighter to be promoted six ranks in three successive promotions.

Since becoming the Commissioner, the Department has experienced transformation in operations that have strengthened community centred service delivery and its connection and respect for volunteers.

Commissioner Klemm has successfully reformed the agency to create a Rural Fire Division that decentralises and improves bushfire management. The establishment of the WA Bushfire Centre of Excellence as a purpose built facility that brings together bushfire practitioners, traditional land owners, researchers and scientists, is testament to his vision of greater collaboration to support improved outcomes for our communities. He has been the driving force behind unprecedented investment in mitigation, improved

relationships with volunteers and stakeholders, and greater interagency collaboration.

In 2017, Commissioner Klemm was invited by the Premier of Western Australia to be a member of the inaugural Public Sector Leadership Council to drive reform across the public sector. In June 2019, he was awarded the Leader of the Year Award by the Institute of Public Administration Australia.

Commissioner Klemm is the DFES 'Champion of Change', a role he has held since the inception of the Fire and Emergency Services Champions of Change group in April 2017. The group includes Chief Executives and Commissioners who lead 30+ agencies responsible for fire, emergency and land management services across Australia and New Zealand. Their objective is to advance gender equity, inclusive cultures and achieve significant and sustainable improvements in the representation of women at all organisational levels throughout their workplaces and volunteer organisations.

Commissioner Klemm is a member of a number of state and national committees concerned with emergency management and holds a Graduate Certificate in Management from the Australian Institute of Management.

The Commissioner's invitation to become a member of the State Records Advisory Committee is one that the Commissioner has welcomed to drive reform within DFES and across the public sector in information management.

DFES has embraced the opportunity to leverage a very diverse range of data and information to deliver critical services to people across Western Australia. DFES recognise that the quality, reliability, and integrity of data is paramount to enabling effective decision making, and the delivery of safe, efficient emergency services to the Western Australian community.

DFES currently utilise a wide range of digital platforms to manage its information assets, many of which are challenged in managing information in accordance with the *State Records Act 2000*. Many government agencies are in a similar position, as information continues to grow at unprecedented rates and new technologies are implemented to deliver improved service delivery. Appropriate information governance is critical in harnessing the power of information as an essential public asset to be used and shared by government agencies in delivering services to the community.

DFES is undertaking significant new initiatives to establish and embed Enterprise Information Governance across the agency. One of the initiatives includes developing an Enterprise Information Governance Framework. The agency's information management capability should match the importance and value of the information managed, to assist DFES in creating a culture of accountability. The Framework will provide a holistic overview of the influences that inform how DFES creates and manages enterprise-wide information assets as well as building information management capability.

This is one of the many archival plans and designs in the State Archives Collection. This example shows a design for an Information Bureau for servicemen returning from the Second World War. Reference: SROWA, Cons 1781, Item 35479.



Disability Access and Inclusion

The plan was updated in August 2020 and noted the following improvements for access and inclusion:



The State Library and State Records Office public enquiry services are now together in a single accessible space within the JS Battye Library of West Australian History.



The State Records Office migrated its website to wa.gov.au, which better supports the Western Australian Government's web accessibility requirements.



The State Records Office has also launched a new appointment – based service online for people needing assistance from a specialist archivist to access and use the State Archives Collection.

The Office maintains a combined Disability Access and Inclusion Plan with the State Library of WA.

Multicultural Action

The Office has also co-developed a combined Multicultural Action Plan with the State Library of WA that was finalised in 2021 and seeks to contribute to the following outcomes:

All Western Australians are informed of and have equitable access to government services. Programs and services are culturally appropriate and responsive to the needs of all Western Australians.

Every Western Australian values cultural, linguistic and religious diversity and feels that they belong.

Customised Culturally and Linguistically Diverse (CaLD)-specific services are provided for those who need them. A workforce that is culturally competent and representative of its community and business and client needs.

Western Australians from culturally and linguistically diverse backgrounds are equitably represented in employment and on boards, committees and other decision making bodies. Western Australia's culturally and linguistically diverse community is harnessed to grow economic, social, cultural, civic and political development.

Reconciliation Action

The Office supports ongoing reconciliation work in the community through its mission to 'To ensure permanent accessibility to the essential evidence of the business of government in Western Australia' and supporting Office services described in this report.

Between 27 May and 3 June 2021, the State Records Office proudly shared a Street Banner with the Aboriginal History WA research service at the Department of Local Government, Sport and Cultural Industries for Reconciliation Week 2021.




The State Records Office proudly shared a Street Banner with the Aboriginal History WA research service at the Department of Local Government, Sport and Cultural Industries for Reconciliation Week 2021


Compliance Report


State Records Act 2000


PART or SECTION	NOTES
Part 2	Record keeping plans for parliamentary departments
Section 13 – Amending plans	No action required during 2020-21
Section 14 (2) – Review of plans	No action required during 2020-21
Part 3	Division 2
Section 23(1) – approve or refuse to approve Record Keeping Plans	Approved 35 Record Keeping Plans.
Section 23(2) – give reasons for refusal to approve Record Keeping Plans	All approved
Part 3	Division 3
Section 25 – Commission to have a plan	Current plan to be reviewed by 7 December 2023.
Section 26 – State Records Office to have a plan	<p>The Commission noted at its 7 December 2018 meeting that the Office had reviewed its Plan and would submit an amended Plan by 20 December 2019.</p> <p>The Office subsequently informed the Commission at its December 2019 meeting that it intended to use a proposed revised Plan format and requested an extension to 31 July 2020 for submission.</p> <p>The Office subsequently deferred the submission of the Plan further with the intent of using a proposed revised Plan format. As the consideration of the proposed Plan format was not finalised in 2020-21, the Office intends to proceed to submit its Plan in the current format until a new RKP format is approved.</p>

KEY

 approved or completed


 ongoing action


 issue identified


 no action required


PART or SECTION	NOTES
Section 27 – Schedule 3 organizations to have plans	Bunbury Water Corporation (Aqwest) submitted a Recordkeeping Plan review report on 13 September 2019 which indicated that an amended Plan would be submitted by 31 March 2020. An amended Plan was submitted on 27 March 2020 and approved by the Minister for Water on 24 April 2020. The Commission endorsed the Plan on 7 August 2020. The Electricity Networks Corporation (Western Power) submitted an amended Recordkeeping Plan to the Minister for Mines and Petroleum; Energy; Industrial Relations and was approved on 3 February 2021. The Office received a copy of the Plan and approval documentation and the Commission endorsed it on 26 March 2021.
Part 3	Division 4
Section 28(3) – the Commission may require an agency to review its Record Keeping Plan (discretionary)	None required.
Section 28(5) – five yearly review of all Record Keeping Plans	The Record Keeping Plans of 39 organisations were due for review during 2020 - 2021 (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 4	
Section 32 - State archives to be transferred to the State Archives Collection	In 2020/21 the Office accepted no emergency transfers of State archives from government organisations.
Part 5	Division 2
Section 37(2)(b) – restricted access archives identified	No action required.
Section 37(5) – Review of archives restricted under 37(2)(b)	In 2020/21 the Office reviewed archives restricted under s.37(2)(b) of the Act and in March 2021 the Commission received a report from the Office, recommending the continuing and unchanged restricted access status and time periods of those records identified as being restricted under section 37(2)(b).

KEY

 approved or completed


 ongoing action


 issue identified


 no action required


PART or SECTION	NOTES																				
Section 38 (3) – change in restricted access period for records in the State Archives Collection	Nil																				
Part 5	Division 3																				
Section 40(2) – approve or refuse to approve the Archives Keeping Plan	The Archives Keeping Plan was approved by the Commission at its 6 December 2019 meeting.																				
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	The Archives Keeping Plan will be reviewed by 6 December 2024 and a report of the review submitted to the Commission by that date.																				
Part 5	Division 4																				
Section 43(3), (4) & (5) – deal with applications from the Director to destroy archives	Nil																				
Part 6																					
Section 48 - Archives containing exceptionally sensitive information	In 2020/21 the Office commenced a review of those records restricted under s.48 of the Act and intends to submit a report to the Commission by November 2021.																				
Part 8	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	The Office evaluated Record Keeping Plan review reports and amended Record Keeping Plans and results were reported to the Commission.																				
Section 60(1)(c) – inquire into breaches or possible breaches of this Act	<table border="1"> <thead> <tr> <th></th> <th>20-21</th> <th>19-20</th> <th>18-19</th> <th>17-18</th> </tr> </thead> <tbody> <tr> <td>Active</td> <td>9</td> <td>9</td> <td>5</td> <td>3</td> </tr> <tr> <td>Resolved</td> <td>5</td> <td>6</td> <td>2</td> <td>2</td> </tr> <tr> <td>Carried Forward</td> <td>4</td> <td>3</td> <td>3</td> <td>1</td> </tr> </tbody> </table>		20-21	19-20	18-19	17-18	Active	9	9	5	3	Resolved	5	6	2	2	Carried Forward	4	3	3	1
	20-21	19-20	18-19	17-18																	
Active	9	9	5	3																	
Resolved	5	6	2	2																	
Carried Forward	4	3	3	1																	

KEY

 approved or completed

 ongoing action

 issue identified

 no action required

PART or SECTION	NOTES
Section 61 – establish principles and standards	The new template for a Records Management Plan, along with the proposed new SRC Standard: State Records Management and Information Management Maturity Model were released for external consultation in mid-June 2020. The Office continued refining supporting documents and seeking Commission input during 2020 – 2021. No new record keeping principles and standards were issued during 2020-2021.
Section 62 – establish committees	The State Records Advisory Committee met four times during 2020-2021. 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 27 October 2020. Copies were tabled in Parliament on 3 November 2020.
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 delivered to the Minister on 27 October 2020.
Part 8	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 8	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.
Compliance with SRC Standard 2, Principle 6	The Office manages the Commission's records, and therefore its compliance with SRC Standard 2 Principle 6 is linked to the compliance of the Office. The following action was taken this year to ensure the Commission's compliance: The Commissioners have continued to develop their knowledge of current record keeping issues through active participation in the work of industry associations and regular interaction with government clients.

KEY



approved or completed



ongoing action



issue identified



no action required

Appendix 1

Record Keeping Plans Required for Review and Received in 2020-21

ORGANISATION NAME	REVIEW DATE	DATE RECEIVED
Animal Resources Authority	15 September 2020	15 September 2020
Child and Adolescent Health Service	26 November 2020	8 June 2020
City of Fremantle	10 March 2021	10 March 2021
City of Joondalup	26 November 2020	10 November 2020
Eastern Metropolitan Regional Council	7 August 2020	30 July 2020
Electricity Networks Corporation (Western Power) *	3 March 2021	14 August 2020
Government Employees Superannuation Board	10 March 2021	10 March 2021
Great Southern Development Commission	10 March 2021	4 March 2021
Health and Disability Services Complaints Office	10 March 2021	10 March 2021
Legal Practice Board of Western Australia	26 November 2020	7 December 2020
Mid-West Development Commission	15 September 2020	14 August 2020
North Metropolitan Health Service	7 August 2020	31 August 2020
Office of the Appeals Convenor	10 March 2021	10 March 2021
Parliamentary Commissioner for Administrative Investigations (Ombudsman)	26 November 2020	9 June 2020
Parliamentary Inspector of the Corruption and Crime Commission	10 March 2021	5 March 2021
Peel Development Commission	26 November 2020	9 November 2020
Shire of Ashburton	10 March 2021	2 March 2021
Shire of Boddington**	10 March 2021	1 July 2021
Shire of Bridgetown-Greenbushes	7 August 2020	3 August 2020
Shire of Carnamah	19 November 2020	13 November 2020
Shire of Coorow	8 April 2021	15 June 2021

Appendix 1 Cont.

ORGANISATION NAME	REVIEW DATE	DATE RECEIVED
Shire of Cue	7 August 2020	7 August 2020
Shire of Karratha	7 August 2020	5 May 2020
Shire of Kojonup	26 November 2020	20 October 2020
Shire of Lake Grace	7 August 2020	14 July 2020
Shire of Merredin	26 November 2020	27 November 2020
Shire of Mingenew	7 August 2020	19 August 2020
Shire of Ngaanyatjaraku	10 March 2021	24 March 2021
Shire of Perenjori	15 September 2020	17 September 2020
Shire of Pingelly	7 August 2020	16 March 2021
Shire of Ravensthorpe	26 November 2020	26 November 2020
Shire of Sandstone	7 August 2020	10 June 2020
Shire of York	10 March 2021	22 February 2021
Southern Ports Authority	7 August 2020	6 August 2020
Town of Claremont	7 August 2020	7 September 2020
Western Australian Land Information Authority (Landgate)	7 August 2020	14 September 2020
Western Australian Meat Industry Authority	7 August 2020	7 August 2020
Wheatbelt Development Commission	7 August 2020	27 August 2020
Zoological Parks Authority (Perth Zoo)	26 November 2020	24 November 2020

* Review submitted to a body other than the Commission

** Review report received outside the reporting period

Appendix 2

New Organisations required to submit Record Keeping Plans on or before 30 June 2021

ORGANISATION NAME	DATE REVIEW DUE	DATE RECEIVED
Procurement Executive Body <i>(incorporated into the Department of Finance RKP)</i>	22 January 2021	22 January 2021

Appendix 3

Record Keeping Plans due for Review in 2021-22

AGENCY NAME	REVIEW DATE
City of Armadale	9 December 2021
City of Bayswater	17 March 2022
City of Belmont	12 August 2021
City of Busselton	12 August 21
City of Fremantle	30 November 2021
City of Gosnells	17 March 2022
City of Kwinana	9 December 2021
City of Stirling*	12 August 2021*
City of Swan	17 March 2022
City of Vincent	12 August 2021
Conservation and Parks Commission	17 March 2022
East Metropolitan Health Service	17 March 2022
Edith Cowan University	12 August 2021
Electricity Generation and Retail Corporation (Synergy)**	24 January 2022
Fire and Emergency Services Superannuation Fund	17 March 2022
Gold Corporation	17 March 2022
Governor's Establishment	17 March 2022

AGENCY NAME	REVIEW DATE
Main Roads Western Australia	12 August 2021
Mindarie Regional Council	17 March 2022
Office of the Chief Psychiatrist	17 March 2022
Pharmacy Registration Board of Western Australia	2 December 2021
Pilbara Development Commission	17 March 2022
Pilbara Regional Council	7 March 2022
Racing and Wagering Western Australia	17 March 2022
Shire of Boyup Brook	12 August 2021
Shire of Collie	17 March 2022
Shire of Cuballing	12 August 2021
Shire of Esperance	17 March 2022
Shire of Jerramungup	12 August 2021
Shire of Kellerberrin	17 March 2022
Shire of Laverton	2 December 2021
Shire of Nannup	12 August 2021
Shire of Nungarin	2 December 2021
Shire of Peppermint Grove	17 March 2022

Appendix 3 Cont.

AGENCY NAME	REVIEW DATE
Shire of Serpentine Jarrahdale	17 March 2022
Shire of West Arthur	5 October 2021
Shire of Wickepin	9 December 2021
Shire of Wongan-Ballidu	17 March 2022
Shire of Yalgoo	9 December 2021
South West Development Commission	12 August 2021
Southern Metropolitan Regional Council	9 December 2021
State Library of Western Australia	9 December 2021
Swan Bells Foundation Incorporated	9 December 2021
Tamala Park Regional Council	17 March 2022
Town of Cottesloe	9 December 2021
Town of Mosman Park	12 August 2021
Town of Victoria Park	17 March 2022
Waroona Bushfire Special Inquiry (Ferguson Inquiry)	12 August 2021
Western Australian Local Government Association WALGA	9 December 2021
Western Australian Museum	17 March 2022

* Received during the 2020-21 reporting period

** Review submitted to a body other than the Commission

Appendix 4

Disposal Authorities status during 2020-21

The State Records Advisory Committee reviews and endorses Disposal Authorities which are then submitted to the State Records Commission for approval.

Organisation name	Type of Disposal Authority	Status at 30 June 2021
Burswood Park Board	R&D	In Progress
Commissioner for Children and Young People	R&D	Approved by the Commission
Corruption and Crime Commission	R&D	In Progress
COVID-19 - Contact Registers	Ad-Hoc	Approved by the Commission
Department of Education - School, College and Campus Records	R&D	In Progress
Department of Education - and other Education Agencies	R&D	In Progress
Department of Health – Patient Information	R&D	In Progress
Department of Justice – Corrective Services	R&D Amendment	In Progress
Department of Transport	R&D	In Progress
Department of Water and Environmental Regulation	R&D	In Progress
Department of Water and Environmental Regulation - Contaminated Sites Committee	R&D	In Progress
Electricity Generation and Retail Corporation (Synergy)	R&D	Approved by the Commission
Energy Policy WA	R&D	In Progress
General Retention and Disposal Authority for Incidents and Allegations of Child Abuse or Neglect	GRDA	Approved by the Commission
Gold Corporation	R&D	In Progress
Heath Services Sector	SDA	Approved by the Commission
Insurance Commission of Western Australia	R&D	Approved by the Commission
Legal Practice Board of WA	R&D	In Progress
Local Health Authorities Analytical Committee	R&D	Approved by the Commission
National Trust of Australia (WA)	R&D	In Progress
New General Retention and Disposal Authority (for State and Local Government)	GRDA	In Progress

Appendix 4 Cont.

Organisation name	Type of Disposal Authority	Status at 30 June 2021
Office of the Auditor General	R&D Amendment	Approved by the Commission
Parliamentary Commissioner for Administrative Investigations	R&D	In Progress
Parliamentary Services Department	R&D	Approved by the Commission
State Records Office of Western Australia	R&D	In Progress
TAFE Colleges	R&D	In Progress
WA Universities	Sector	In Progress
Western Australian Institute of Sport	R&D	Approved by the Commission
Western Australian Meat Industry Authority	R&D	In Progress
Western Australian Museum **	R&D	Approved by the Commission
Western Australian Sports Centre Trust (VenuesWest)	R&D	Approved by the Commission
Western Power	R&D	In Progress
WorkCover Western Australia *	R&D	In Progress
Zoological Parks Authority (Perth Zoo)	R&D	Approved by the Commission

Type of Disposal Authority:

Ad Hoc	<i>Ad Hoc Disposal Authority</i>
DL	<i>Disposal List</i>
R&D	<i>Retention and Disposal Schedule</i>
GRDA	<i>General Retention and Disposal Authority</i>
SDA	<i>Sector Disposal Authority</i>

* Disposal Authority considered by the State Records Advisory Committee during the reporting period, awaiting Commission approval at 30 June 2021.

** Some sections pending consultation under Section 76 of the State Records Act.

