



# **STATE RECORDS COMMISSION**

**Perth, Western Australia**

**Annual Report**

**2005 - 2006**





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## CHAIRPERSON'S FOREWORD

This is the fifth annual report of the State Records Commission. In terms of the composition of the Commission, it marks the end of an era, with the announced departure of Auditor General Mr Des Pearson from his role at the end of September 2006. During the year ahead the Commission will not only have a new Auditor General, but also a new Ombudsman, as my own term expires in February 2007 and I will be replaced by a new Commissioner. However, Acting Information Commissioner Ms Darryl Wookey and Governor's Appointee Ms Kandy Jane Henderson will continue to play their key roles in the Commission and provide the necessary continuity.

On behalf of the Commissioners, I wish to record our sincere thanks and appreciation to Des Pearson for his leadership as the inaugural Chair of the SRC and for his passionate commitment to establishing best practice record keeping across all Western Australian public sector and local government organizations.

In reflecting on what has been achieved to date under the regime established by the *State Records Act 2000*, the Commission believes that the local government sector is well placed in terms of its compliance with the Act and the effort that its records management professionals have invested in developing and maintaining high standards of record keeping.

For State government agencies, on the other hand, while we note that all agencies have a record keeping plan in place, only around half have an approved retention and disposal schedule. In the Commission's view the fundamental building blocks for a best practice regime in Western Australia are these two documents. In our next annual report we expect to be able to comment that this foundation has been comprehensively established and that a monitoring regime is underway. An initial pilot monitoring project has been undertaken by the State Records Office and in the year ahead further work will be undertaken in this area.

As in previous reports, we again comment on the lack of progress towards appropriate storage for State archives. We are disappointed not to be able to advise Parliament of any developments in this critical area. Comparative data on page 12 of this report demonstrates that Western Australia lags behind the rest of the country in terms of an appropriate repository for its State archives. We are concerned that as yet no solution has been funded, and we trust that in the year ahead concrete steps will be made towards this critical goal.

One important development during the reporting period was progress in relation to digital records. The proper management of digital records is viewed as a critical issue across the public sector. The dedicated group of professionals who are contributing to the development of appropriate standards as members of the Digital Records Working Group produced a draft standard for public consultation during the year. We thank the members of this group as well as the State Records Advisory Committee for their contributions throughout the year.



Finally, the Commission has decided that in the year ahead it will be timely and opportune to initiate a review of the Act and how well it is achieving its objectives. We plan to report on this review in our next annual report.

On behalf of the Commission, I would like to thank all the staff of the State Records Office for their professionalism and dedication throughout the year. On a personal note, I would like to thank my fellow Commissioners, with whom it has been a great pleasure to work over the past five years, and to acknowledge the many dedicated records professionals whom I have had the privilege of meeting during my time with the State Records Commission.

Deirdre O'Donnell  
Chairperson, State Records Commission



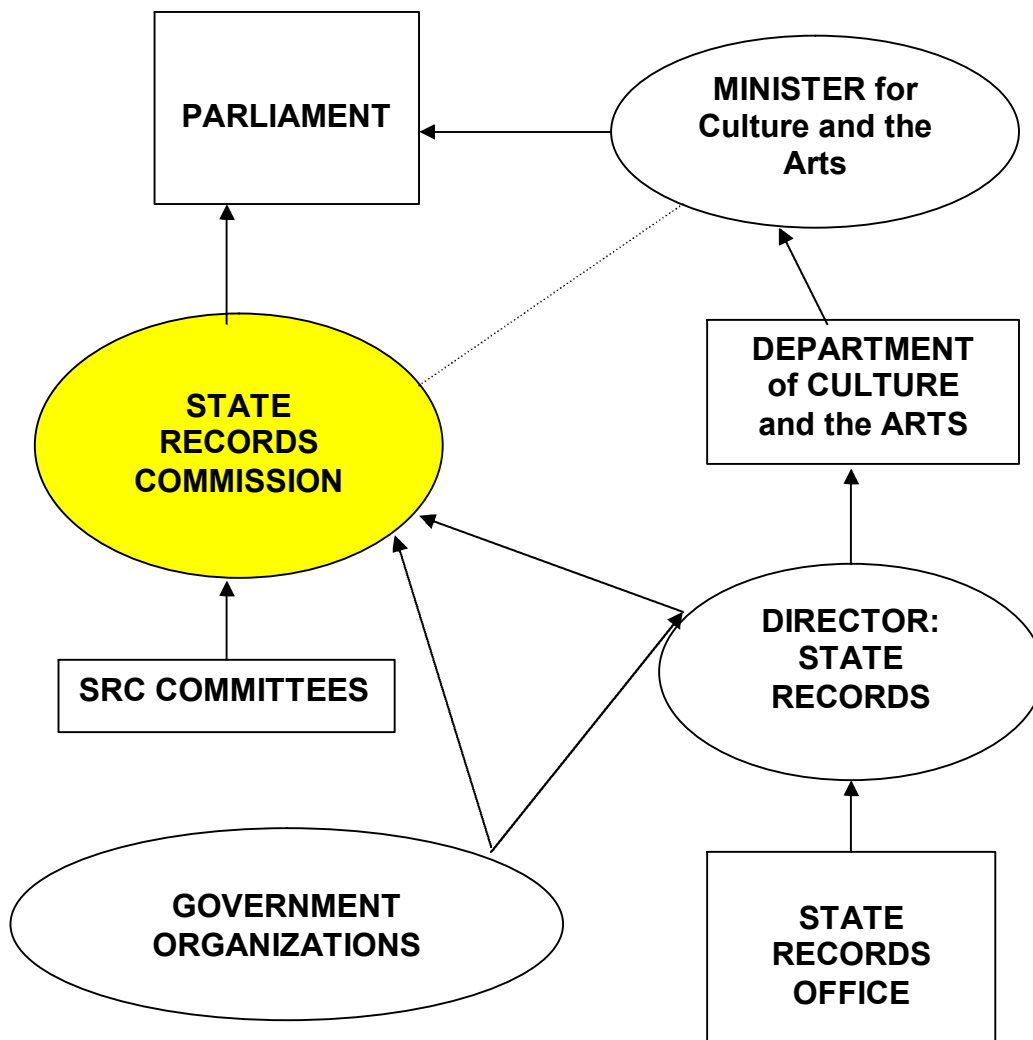
## INTRODUCTION

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

The Report outlines the activities of the State Records Commission (hereafter called the Commission) during 2005 - 2006 and comments on matters that pertain to the operations of the State Records Office (hereafter called SRO).

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

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





## HIGHLIGHTS 2005-06

- **Analysis of record keeping plans and monitoring compliance** – A pilot monitoring program was commenced during the year. This will provide a useful model for future compliance monitoring.
- **Vision 2011 Strategy** - During the year the Commission developed a five year vision statement which will act as a blueprint for Commission and SRO planning activities up to 2011.
- **Lonnie Awards** – The Commission has established an award which recognises excellence in annual reporting by State government agencies on their record keeping obligations. This award was presented in June 2006 as a key component of the Institute of Public Administration's presentation of the Lonnie Awards for excellence in annual reporting by the State public sector.

## ABOUT US

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

During 2005-06 the Commissioners were:

**Ms Deirdre O'Donnell**, Parliamentary Commissioner for Administrative Investigations, and **Chair of the Commission**.

**Mr Des Pearson**, Auditor General,

**Ms Darryl Wookey**, Acting Information Commissioner.

**Ms Kandy Jane Henderson**, Governor's Appointee.

## WHAT WE DO

The Commission's functions are set out in section 60 of the Act and include:

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

The Commission held five formal meetings during 2005-06. The meeting dates were: 14 July, 15 September, 8 December 2005, 27 March and 1 May 2006. Three meetings were held at the Alexander Library Building in central Perth, and local government authorities hosted two.



The Commission's July 2005 meeting was held at the Kalgoorlie/Boulder Council Chambers. At an official welcome hosted by the Town Council, senior staff of several State and local government agencies in the eastern Goldfields region took the opportunity to meet all Commissioners in person.

The Commission's March 2006 meeting was hosted by the City of Perth. Prior to the commencement of formal business the City's records manager presented that City's 'Digital Records Preservation Strategy'.

## OUR OPERATING ENVIRONMENT

In performing its functions the Commission is responsible for ensuring, as far as possible, that a standard of recordkeeping that best serves the interests of the people of Western Australia is maintained in over 300 State agencies and statutory organizations and 149 local governments.

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

The Commission comprises four part time Commissioners and is supported by the Director of State Records. Given this, the Commission's approach has been to establish a framework in accordance with the Act, placing primary responsibility on government organizations to comply with recordkeeping requirements, with advice and assistance from the Director of State Records.

At the May 2006 meeting the Commissioners finalized their "Vision for 2011". This document sets out the Commission's priorities and identifies what it and the Director of State Records believe can be achieved within the next five years in terms of best practice recordkeeping across the WA public sector. The vision is built on the following foundation:

- Record keeping plans for all State and local government authorities approved and implemented
- Digital records standards and guidelines developed in tandem with a national approach
- A monitoring regime informed by intelligence derived from targeted analysis of the record keeping plans
- Access to archives facilitated through a range of practical mechanisms and employing sophisticated information technology.

The Commission expects that the implementation of its vision will result in the following positive outcomes for all Western Australians:

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



## OUR CLIENTS

The Commission's clients consist of:

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

## KEY PERFORMANCE AREAS

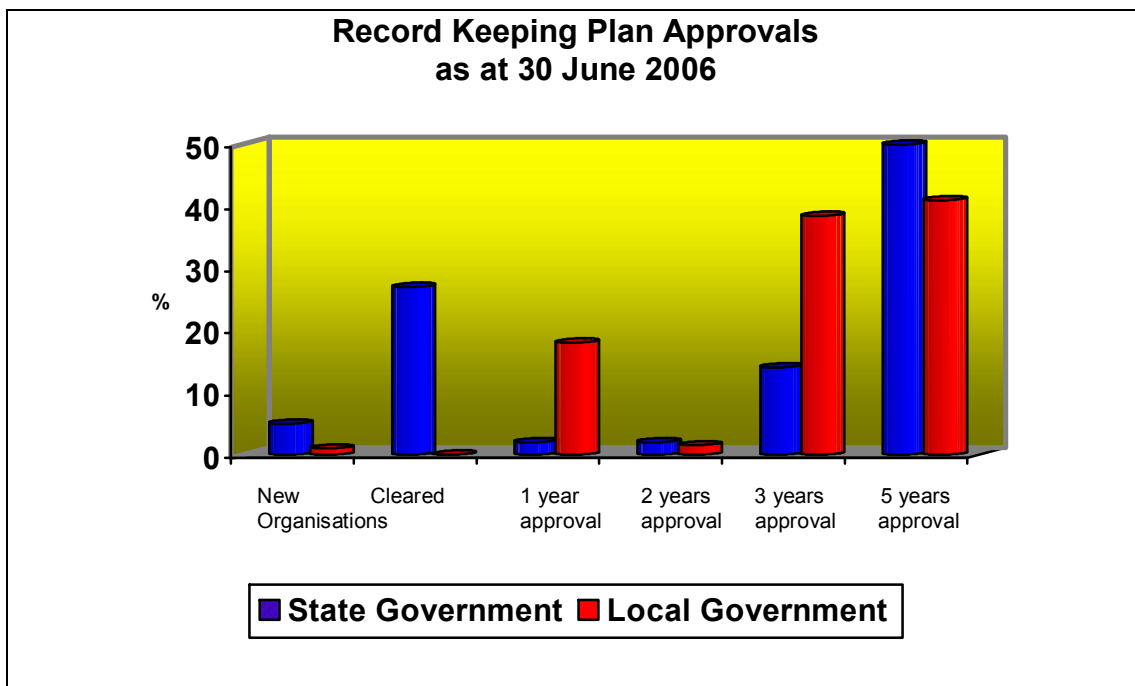
The Commission carried out the following activities during 2005-06 in accordance with its functions under the Act.

### 1. Better Practice Recordkeeping

#### Evaluation and approval of record keeping plans

Under the Act each government agency is required to submit its record keeping plan for approval by the Commission. The first stage of the plan clearance and approval process was completed following the Commission meeting in December 2004.

During 2005-06 the Commission approved the record keeping plans of 39 organizations. In addition two plans were cleared pending approval of the organizations' records retention and disposal schedules (R & Ds).







*Appendix A* of this Report details the status of all government organizations' record keeping plans as at 30 June 2006.

### **Retention and Disposal Schedules**

The retention and disposal schedule is an integral part of an organization's record keeping plan. State government organisations develop disposal authorities that are unique to their organizations, whereas the General Disposal Authority for Local Government Records governs the disposal of local government records

In May 2006 the SRO, in collaboration with Microsoft and Fujitsu, completed a Proof of Concept project for an automated record keeping plan and retention and disposal schedule system. It is hoped that this system will when implemented streamline the development and the ongoing management of record keeping plans and retention and disposal schedules throughout the public sector.

During 2005-06 the Commission approved 29 disposal authorities referred to it by the State Records Advisory Committee. These disposal authorities comprised 27 retention and disposal schedules and two amendments to existing schedules. The Commission normally advises an organization that its record keeping plan is finally approved once the latter's retention and disposal component is approved.

In 2004-05 the Commission endorsed an SRO project to clear the backlog of retention and disposal schedules linked to record keeping plans awaiting clearance by the end of June 2006. In May 2006 the Commission, following advice by the Director, agreed to a six month extension to the June deadline for the processing of these schedules. The Commission acknowledges the effort of the SRO in respect of this significant project. While it is unfortunate that this was not able to be completed within this reporting period, the Commission looks forward to being able to report that this critical element of the record keeping regime is in place in the 2006-07 Annual Report.

### **Digital recordkeeping**

In February 2006 Dr Mark Brogan joined the State Records Office on one year's secondment from Edith Cowan University. Dr Brogan has assumed the role of coordinating the activities of the Digital Records Working Group and with the assistance of Working Group members, has compiled SRC Draft Exposure Standard No 8, Digital Recordkeeping. This Standard is to a large extent based on previous work done by members of ADRI (the Australasian Digital Records Initiative), notably the National Archives of Australia. The Standard and associated Guidelines were released as SRC Standard 8 in mid June 2006. Stakeholder comment on both documents has been sought by 1 November 2006.

## **2. Compliance monitoring of record keeping plans**

### **Survey of Organizations' Annual Reports**

Section 60 (1) (b) of the Act requires the Commission to monitor compliance by government organizations with their record keeping plans.



SRC Standard 2, Principle 6 requires government organizations to include an appropriate section in their annual reports regarding:

1. whether the efficiency and effectiveness of their recordkeeping systems has been evaluated or alternatively when such an evaluation is proposed;
2. the nature and extent of any recordkeeping training program conducted;
3. whether the efficiency and effectiveness of the recordkeeping training program has been reviewed or alternatively how this is planned to be done;
4. assurance that the organization's induction program addresses employee roles and responsibilities in regard to their compliance with the organization's record keeping plan.

In August 2005 the SRO assessed the annual reports of four Universities and 10 TAFE Colleges as a pilot monitoring exercise. Out of the 14 annual reports surveyed, four universities and one college were compliant with Standard 2, Principle 6. The Director subsequently informed all CEOs that the annual reports of selected agencies had been scrutinized to assess whether they had complied with the above standard, and that the reports of all agencies will progressively be surveyed for a similar purpose.

#### **Lonnie Award for excellence in recordkeeping**

The Institute of Public Administration (IPAA) recognizes excellence in annual reporting by the public sector through the Lonnie Awards. This year a new award for excellence in annual reporting on record keeping was introduced by IPAA, in collaboration with the Commission and the SRO. After an initial survey by the SRO of 139 State government annual reports, 19 were short listed for assessment by a five member panel of industry representatives. The winner of the inaugural Lonnie award for excellence in recordkeeping was announced at the IPAA awards night on 22 June 2006; the winner being the South West Regional College of TAFE.

#### **Analysis of record keeping plans**

In April 2006 the Director presented the Commissioners with a 'report card' on the operation of the Act based on a recent analysis of record keeping plans. The Director's analysis of data extracted from the record keeping plans identified areas for attention, as follows:

- 47% of the record keeping plans were approved for less than the five year limit, with 27% approved for three years, 2.8% for two years and 17% for one year (see graph on page 8).
- Almost universally, agency record keeping policies and procedures have not been endorsed by agency heads. The Commission is concerned that this implies that good record keeping has not been integrated into mainstream business practice.
- While there is as yet no standard in relation to digital record keeping, the analysis revealed a lack of policies and procedures in over half of all agencies, in particular in relation to the control of email and website management.
- Around half of all agencies were unable to quantify the number of records in their custody that are State archives. The Commission has also asked some agencies to provide further documentation about their disaster recovery programs and storage areas for both temporary and archival records. This is a challenging area, since there is an absence of



appropriate archival storage in the State meaning that the SRO is unable to accept agency archives. Moreover it is of concern that so many agencies are unaware of what archives they may actually possess.

### **3. User Friendly Accessibility to State Archives**

#### **Archives Explored Online**

In the 2004-05 report the Commission referred to the launch of the SRO's online 'catalogue' of record items in the State archives collection. This catalogue can be searched through the SRO website through AEON ([www.sro.wa.gov.au/aeon](http://www.sro.wa.gov.au/aeon)) The titles of approximately 90% of State archives held by the SRO can now be identified online.

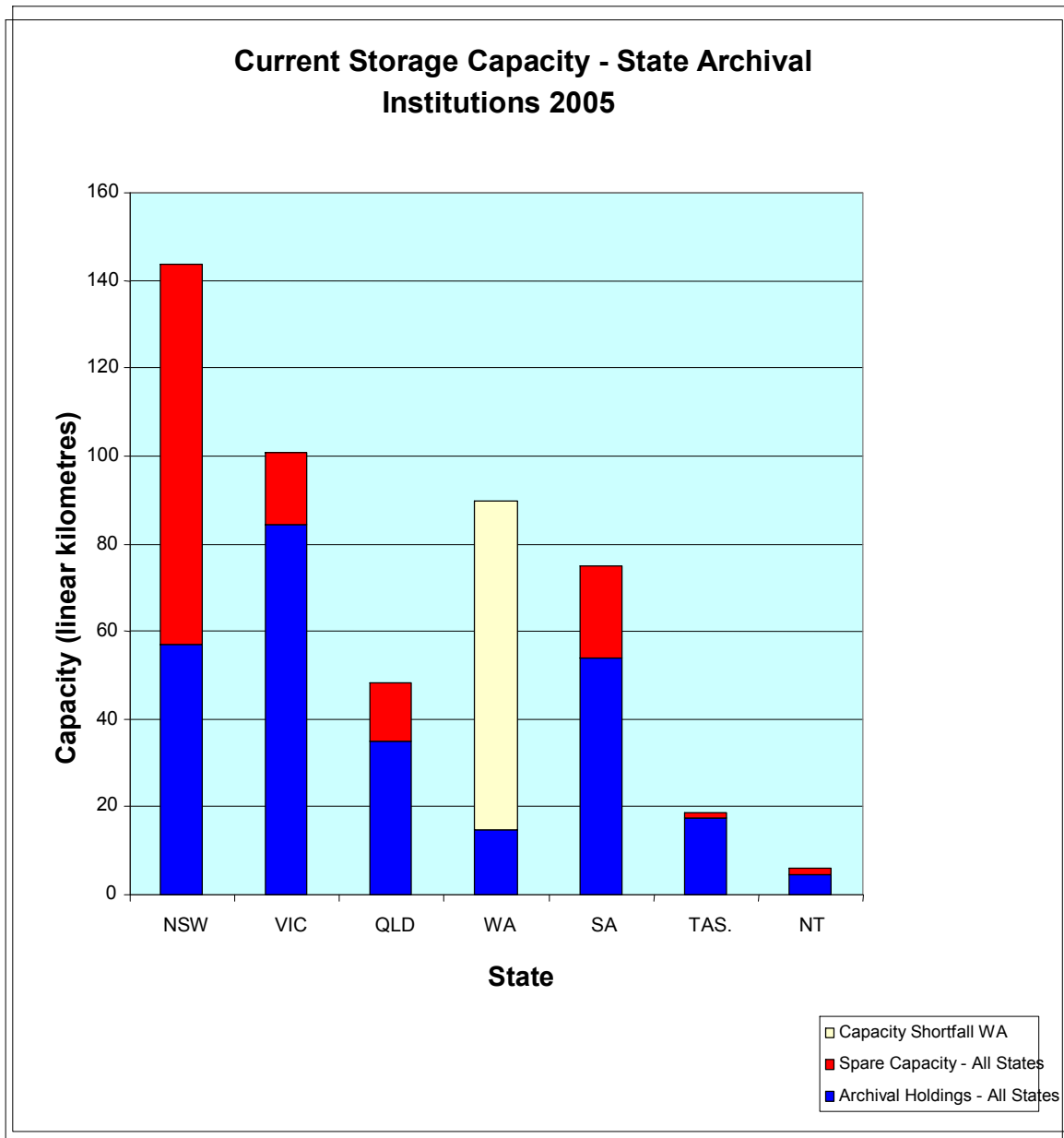
#### **Storage for State archives**

The Commission remains concerned that the Director of State Records cannot accept custody of archives from government organizations because of a lack of appropriate storage space. This inhibits fulfillment of the obligations under section 32 of the Act. This situation has prevailed since July 2001.

The Commission has previously reported that a business case for a new archives repository was developed in early 2005. Unfortunately this submission was unsuccessful, so a revised version will be prepared for 2007-08. A separate business case will be prepared to address the long term storage and preservation requirements for digital archives.

In the interim the prospects for a co-location arrangement between the Director of State Records and the Department of Culture and the Arts and the National Archives of Australia continue to be explored. Such an arrangement would allow for the use by the National Archives of SRO public access facilities at the Alexander Library Building in central Perth, in exchange for the lease of storage space for State archives in accommodation currently occupied by the National Archives at East Victoria Park.

Figure 2 over the page provides a comparison of storage capacity held by Australian State archival authorities, based on data from the Council of Australasian Archive and Record Authorities from a survey in 2004-2005. It indicates the estimated capacity shortfall in Western Australia.



## OUR RELATIONSHIP WITH THE STATE RECORDS OFFICE

The Director of State Records is the Commission's Executive Officer and provides advice and support to the Commission. In that capacity the Director attends meetings of the Commission. The SRO's Manager: State Recordkeeping, is the Executive Secretary to the Commission.

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

A cornerstone of the legislation is the record keeping plan, which is a requirement of each government organization. Each plan must identify all records created by the organization, explain how those records are managed in the context of the



organization's functions, specify a retention period for each class of record, and describe disposal procedures for obsolete records.

Draft record keeping plans are submitted by government organizations to the Director for evaluation by SRO staff, before the plans are submitted to the Commission for clearance or approval. When they receive a plan, SRO staff assess it against a matrix, and then report on the plan to the Commission.

Part 9 of the Act establishes the position of Director of State Records. The Director and staff of the SRO provide advice, assistance and training to government organizations concerning the management of records, particularly in relation to record keeping plans. The SRO also provides information about, and public access to, records held in the State archives collection. The Director is required by the Act to create and maintain a register of all State archives, including those not held by the SRO.

The *State Records (Consequential Provisions) Act 2000* amended relevant parts of other State legislation. This Act's transitional provisions ensured the orderly transfer of responsibility for State archives from the Library Board of Western Australia to the Director of State Records.

## COMMITTEES OF THE COMMISSION

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

Section 62(1) of the Act directs the Commission to establish a committee to assist the Commission with the selection of records as State archives, and propose retention periods for all State records. Section 62(2) allows the Commission to establish other committees to assist it in the performance of its functions.

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



## 1. The State Records Advisory Committee

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

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

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

During 2005-06 the Committee met on six occasions and recommended 29 disposal authorities for Commission approval. The Committee's meeting dates were: 17 August, 1 December 2005 and 24 January, 10 March, 11 May and 21 June 2006.

The Committee includes representatives from the public service and bodies concerned with recordkeeping. Members and deputy members are appointed for three-year terms. Members of the State Records Advisory Committee who are not government employees are paid sitting fees for their attendance at Committee meetings in recognition of the impost on their time associated with considering disposal authorities, a critical element of the comprehensive records management framework established by the *State Records Act 2000*.

The previous term of office for members and deputies expired on 25 May 2005. Each of the nine bodies represented on State Records Advisory Committee nominated at least two representatives for appointment to the Committee. The Commission approved these nominations in July 2005.

The Commission gratefully acknowledges the work and dedication of all Committee members and their deputies during 2005-06.

### **Membership of the State Records Advisory Committee, as approved by State Records Commission on 14 July 2005**

#### **Chair of the Committee**

Mr Tony Caravella - Director of State Records

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

Ms Jenny Edgecombe

(Deputies: Dr Karen Anderson, Ms Barbara van Bronswijk)

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

Mr Andrew Pepper (Deputy: Ms Julie Kickett)

#### **Historical Interests representative**

Dr Cathie Clement

(Deputies: Dr Neville Green, Ms Jaqui Sherriff)

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

Ms Gaynor Deal (Deputy: Ms Lesley Ferguson)



**Law Society of Western Australia**

Mr Michael Sonter (Deputy: Mr Hubert Du Guesclin)

**Local Government Records Management Group**

Ms Shirley Conway-Mortimer (Deputy: Mr Kye O'Donnell)

**State Government CEO representative**

Mr Brian Bradley (Deputy: Mr Barry Sargeant)

**Records & Information Management Liaison Group**

Ms Lisa Read-White (Deputy: Ms Claudia Dickinson)

**Records Management Association of Australia**

Ms Josette Mathers. (Deputy: Ms Gail Murphy)

**Executive Secretary**

Ms Isabel Smith - Manager: State Recordkeeping, SRO

**Minutes Secretary**

Ms Vanessa Brown - Senior Executive Assistant, SRO

## **2. The Digital Records Working Group**

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

The DRWG was established for the following purposes:

- to give advice to the State Records Commission on the development of guidelines, principles and standards for the management of digital records in government agencies;
- to provide the Commission with advice regarding a framework for a digital solution to recordkeeping; and
- to assist the SRO in developing solutions to the effective management of digital records. The SRO will report these to the Commission.

The Director of State Records is the Chair of the DRWG. The SRO also provides administrative support for the DRWG. The DRWG met on the following dates during 2005-06: 7 September 2005, 30 March, 27 April and 25 May 2006.

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

During 2005-06 DRWG members contributed to projects undertaken by the Australasian Digital Records Initiative and assisted the DRWG's Coordinator with the development of an exposure draft of SRC Standard No 8, 'Digital Recordkeeping'. The standard and guidelines were released for stakeholder comment in mid June 2006.



The Commission and the Director gratefully acknowledge the work of all Working Group Members during 2005-06.

### **Members of the Digital Records Working Group**

#### **Chair of the Working Group**

Mr Tony Caravella – Director State Records

#### **Members**

Ms Karen Anderson –	Edith Cowan University
Ms Maureen Bradford –	Department of Health
Dr Mark Brogan –	Edith Cowan University (was a member until recently, and joined SRO as Coordinator early in 2006)
Ms Jennie Carter –	State Library of WA
Mr Terry Gaston –	Legal Aid WA
Mr Graham Hilton –	Department of Culture and the Arts
Mr John Layton –	WA Police Service
Ms Amanda Lea –	Public Transport Authority
Ms Joanne Ng –	Office of E-Government
Mr Kye O'Donnell –	City of Perth
Ms Debra Rule –	CALM (and also office of Shared Services)
Mr Brian Soares –	Department of Justice
Mr Peter Stampoultzis –	Department of Consumer & Employment Protection
Mr Jonathon Toquero –	Department of Education and Training
Mr Laurie Varendorf –	Independent Consultant

#### **Executive Secretary**

Mr Leigh Hays – (to January 2006)	Manager: Archives Access and Control, SRO
Mr Mark Brogan (from February 2006)	Digital Records Coordinator, SRO

#### **Minutes Secretary**

Ms Vanessa Brown -	Senior Executive Assistant, SRO
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### **COMPLIANCE REPORT - STATE RECORDS ACT 2000**

Part 8 of the State Records Act establishes the Commission. The Commission's duties are set out there and elsewhere in the legislation. A compliance statement on the Commission's activities in 2005-06 is presented below.

#### **Part 3 Division 2**

#### **Section 20(2) – gazette orders prescribing timing for submission of agencies' record keeping plans**

*No new orders were gazetted in 2005-06*





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

*In 2005-06 the Commission approved 39 record keeping plans for government organizations. In addition two record keeping plans were 'cleared' by the Commission pending the approval of those agencies' R & D.*

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

*The Commission did not refuse approval of any record keeping plans. Qualified approval (clearance) was given in two cases and the reasons were given to the agencies concerned by the Commission via the Director of State Records.*

## **Part 3 Division 3**

### **Section 25(1) - have record keeping plan**

*The Commission's record keeping plan was submitted to and approved by the Minister in September 2002. No action required in 2005-06*

### **Section 25(2) – submit draft to Minister within 6 months of commencement**

*See above.*

### **Section 25(6) – submit any amendments to Minister**

*No amendments to the Commission's record keeping plan were sought in 2005-06.*

### **Section 26(4) – approve or refuse SRO record keeping plan**

*The Commission approved the SRO's record keeping plan in July 2002. No action was required in 2005-06.*

### **Section 26(5) – give reasons for refusal**

*See above.*

## **Part 3 Division 4**

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

*No action required in 2005-06. Orders will be gazetted in 2006-07 for four new organizations established following the splitting of functions from Western Power (Schedule 3 item 1) in April 2006.*

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

*The Commission required no reviews in 2005-06.*



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

*No directions were given in 2005-06.*

**Section 30(1) – give Parliament copies of reports to Commission under s.29**

*No reports under s.29 were required or received by the Commission in 2005-06.*

**Part 5 Division 2**

**Section 37(2) (b) & (4) – direct that archive in State archives collection is restricted access (on application) & set age of cessation**

*No applications were received in 2005-06.*

**Section 37(5) – review direction given under s.37 (2) (b)**

*There were no directions to review in 2005-06.*

**Section 38(4) – change age of cessation (on application)**

*No applications to change the age when a restricted access archive ceases to be restricted were received in 2005-06.*

**Part 5 Division 3**

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

*The Commission approved the archives keeping plan in May 2003. No action was required in 2005-06.*

**Section 40(3) – give reasons for refusal**

*Not required.*

**Section 40(4) – direct time for resubmission**

*Not required.*

**Section 41(2) – require Director to review archives keeping plan (discretionary)**

*Not required in 2005-06.*

**Section 42(1) – direct intervals for reporting on archive keeping plan (discretionary)**

*No directions were given in 2005-06.*



#### **Part 5 Division 4**

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

*No applications from the Director to destroy archives were received in 2005-06.*

#### **Part 6**

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

*No applications received in 2005-06.*

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

*No directions required review in 2005-06.*

#### **Part 8 Division 1**

**Section 60(1) (a) – monitor the operation of and compliance with the State Records Act**

*Pilot monitoring exercise conducted during the reporting period.*

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

*During the fifth year of the Act’s implementation the Commission has maintained its approach of educating, reacting to issues and events and reliance on established annual reporting obligations by government organizations.*

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

*During the year the SRO developed a process for identifying breaches of the Act for the Commission. Three suspected breaches of the Act by government organizations were reported to the Commission during the reporting period. Two of these were considered to have no basis, and the third is still under consideration by the Commission.*

**Section 61 – establish principles and standards**

*In June 2006 the Commission and the SRO jointly released an Exposure Draft and Guidelines for SRC Standard 8 – “Digital Recordkeeping”. Stakeholders have been asked to provide feedback to this draft by 1 November 2006.*

*As noted in the Commission’s previous annual report, the draft SRC Standard 7 “Storage of State Records by Government Organizations” has been developed, but remains in abeyance pending a positive response from State government to the archives repository business case.*



### **Section 62 – establish committees**

*The State Records Advisory Committee was established in December 2001 in accordance with s.62 (1) & (2). The current membership of the committee was endorsed by Cabinet in October 2004.*

*The Digital Records Working Group was established under s.62 (3), during the reporting year.*

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

*The Commission's fourth Annual Report (2004-05) was submitted to both Houses of the State Parliament on 28 October 2005. Copies of the report were tabled in the Legislative Assembly on 8 November 2005 and in the Legislative Council on 9 November 2005.*

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

*No special reports were submitted to Parliament in 2005-06.*

### **Section 64(4) – give Minister copy of report**

*A copy of the Commission's Annual Report (2004-05) was given to the Minister for Culture and the Arts on 28 October 2005.*

## **Part 8 Division 2**

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

*The Minister for Culture and the Arts issued no general policy directions to the Commission under section 65(2) of the Act in 2005-06.*

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

*The Chair of the Commission met with the Minister on 29 June 2006, at the Commission's request. However during 2005-06 neither the Commission nor the Director received any specific request as per this section of the Act.*



## SPREADING THE MESSAGE

The Commissioners attended or participated in the following events and activities during 2005-06, with the aim of enhancing public sector and community awareness of the Commission and of the Act.

<b>8 July 2005</b>	Commissioners O'Donnell, Wookey and Henderson attended a presentation of the Margaret Medcalf awards.
<b>28 July</b>	Commissioners O'Donnell, Wookey and Henderson attended the SRO's State Government Consultative Forum.
<b>9 September</b>	Commissioners addressed an IPAA (Institute of Public Administration) seminar on record keeping.
<b>9 September</b>	Commissioners met with Ross Gibbs, Director General of the National Archives of Australia
<b>12 – 15 September</b>	RMAA annual conference. Presentation by Ms O'Donnell. Commissioners Pearson and Henderson also attended conference sessions.
<b>6 – 9 October</b>	Commissioner Henderson co-presented a paper with the Director of State Records at the ASA Conference in Wellington NZ.
<b>16 November</b>	Commissioner Henderson attended an Appraisal Seminar presented by Michael Piggot of Melbourne University.
<b>27 November – 1 December</b>	Commissioner Pearson co-presented " <i>Integrating Recordkeeping into Australian Performance Audits</i> " at the CITRA Conference in Abu Dhabi.
<b>29 November</b>	Commissioners Wookey and Henderson attended the presentation by Professor Henry Reynolds of the Geoffrey Bolton Lecture, at Government House.
<b>3 February 2006</b>	RMAA breakfast seminar " <i>State Records Commission – Compliance</i> ". Commissioner Pearson delivered a presentation and Commissioners Wookey and Henderson attended.
<b>15 March</b>	Seminar " <i>Why comply</i> " sponsored by CAARA (Council for Australasian Archives and Records Authorities) et alia. Commissioner Pearson spoke and Commissioner Henderson also attended.



- 1 June** Commissioners O'Donnell, Wookey and Pearson attended the function organised by the SRO to commemorate the release of the 1974 State Cabinet papers
- 14 June** Commissioners O'Donnell and Pearson presented at the EDRMS Seminar "Local people local knowledge" organised by Information Enterprises Australia. Their papers were "*The importance of aligning an EDRMS to the State Records Act 2000*" (Ms O'Donnell), and "*Accountability of Records in today's electronic environment*" (Mr Pearson).
- 22 June** Commissioners O'Donnell, Pearson and Wookey attended (and were all participants at) the IPAA Lonnie Awards. Ms Wookey announced the inaugural winner of the Lonnie award for excellence in recordkeeping.

## **COMPLIANCE WITH STANDARD 2, PRINCIPLE 6**

For the Commission, the SRO manages its recordkeeping systems, and thus compliance with SRC Standard 2 Principle 6 is linked to the compliance of the SRO.

In relation to the obligation to evaluate the efficiency and effectiveness of the Commission's record keeping systems not less than once every five years, such a review will be undertaken by the SRO during 2006-07, and will be reported on once this has occurred.

In relation to the obligation to conduct relevant training, to review the efficiency and effectiveness of such training and to ensure an induction program covers Commissioners' roles and responsibilities under the Commission's Record Keeping Plan, the Commissioners through their active membership of the Commission and through their attendance at associated events (see the section '**Spreading the Message**') have continued to expand their knowledge in this area.



## HOW TO CONTACT THE STATE RECORDS COMMISSION

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

### **State Records Commission of Western Australia**

Alexander Library Building  
Perth Cultural Centre  
Perth WA 6000  
Mon – Fri: 9am to 5pm  
phone: (08) 9427 3426  
fax: (08) 9427 3368  
email: [sro@sro.wa.gov.au](mailto:sro@sro.wa.gov.au)  
website: [www.sro.wa.gov.au](http://www.sro.wa.gov.au)

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

Ground Floor  
Alexander Library Building  
James St (West entrance)  
Perth Cultural Centre  
Perth WA 6000  
phone: (08) 9427 3360  
fax: (08) 9427 3368  
email: [sro@sro.wa.gov.au](mailto:sro@sro.wa.gov.au)  
website: [www.sro.wa.gov.au](http://www.sro.wa.gov.au)

### **Chair: State Records Commission**

Ms Deirdre O'Donnell  
State Ombudsman for Western Australia

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

Mr Tony Caravella  
phone: (08) 9427 3370  
fax: (08) 9427 3368  
email: [tony.caravella@sro.wa.gov.au](mailto:tony.caravella@sro.wa.gov.au)

**Recordkeeping Plans  
Status Register (as at 30 June 2006)**

Agency Name	Approval Period (years)	Review Date
Albany Cemetery Board	5	3 Jun 2009
Albany Port Authority	5	27 Mar 2011
Animal Resources Authority	C	
Aqwest (Bunbury Water Authority)	3	19 Dec 2006
Architects Board of WA	C	
Armadale Redevelopment Authority	C	27 Mar 2011
Art Gallery of WA	2	22 Apr 2006
Botanic Gardens & Parks Authority	5	16 Dec 2009
Broome Port Authority	C	
Builders' Registration Board of WA	5	22 Apr 2009
Building and Construction Industry Training Fund	5	22 Apr 2009
Bunbury – Harvey Regional Council	5	30 Aug 2009
Bunbury Cemetery Board	5	2 Oct 2008
Bunbury Port Authority	C	
Burswood Park Board	C	
Busselton Water Board	C	
Chiropractors Registration Board of WA	3	15 Jul 2007
Chowerup Cemetery Board	5	18 Nov 2009
City of Albany	3	7 Oct 2007
City of Armadale	2	22 Apr 2006
City of Bayswater	5	30 Aug 2009
City of Belmont	5	10 Mar 2010
City of Bunbury	5	18 Nov 2009
City of Canning	5	3 Jun 2009
City of Cockburn	5	17 Oct 2008
City of Fremantle	5	30 Aug 2009
City of Geraldton	5	15 Jul 2009
City of Gosnells	3	7 Oct 2007
City of Joondalup	5	30 Aug 2009
City of Kalgoorlie-Boulder	3	15 Jul 2007
City of Mandurah	5	7 Oct 2009
City of Melville	5	3 Jun 2009
City of Nedlands	5	30 Aug 2009
City of Perth	5	15 Jul 2009
City of Rockingham	3	3 Jun 2007
City of South Perth	5	7 Oct 2009
City of Stirling	5	18 Nov 2009
City of Subiaco	5	15 Jul 2009
City of Swan	5	3 Jun 2009
City of Wanneroo	3	15 Jul 2007
Coal Industry Superannuation Board	5	30 Aug 2009
Coal Miners' Welfare Board of WA	5	3 Jun 2009
Community Development Ministerial Body	(new org)	1 Sep 2006
Conservation Commission of WA	5	2 Oct 2008
Construction Industry Long Service Leave Payments Board	5	6 Nov 2008
Corruption & Crime Commission	C	
Council of Official Visitors	5	30 Aug 2009
Country High Schools Hostels Authority	5	6 Nov 2008



## Recordkeeping Plans Status Register (as at 30 June 2006)

Agency Name	Approval Period (years)	Review Date
Curtin University of Technology	3	10 Mar 2008
Dampier Port Authority	C	
Dental Board of WA	3	30 Aug 2007
Department of Agriculture	5	22 Apr 2009
Department for Community Development	5	10 Mar 2010
Department of Conservation & Land Management	5	19 Dec 2008
Department of Consumer & Employment Protection	C	8 Dec 2010
Department of Corrective Services	(new org)	5 Jul 2006
Department of Culture & the Arts	5	22 Apr 2009
Department of Education & Training & TAFE WA Colleges	C	
Department of Environmental Protection	C	
Department of Fisheries	5	4 Dec 2008
Department of Health	C	
Department of Housing & Works	5	6 Nov 2008
Department of Indigenous Affairs	3	18 Nov 2007
Department of Industry and Resources	5	4 Dec 2008
Department of Justice	C	
Department of Land Information	5	7 Oct 2009
Department of Local Government & Regional Development	5	10 Mar 2010
Department for Planning & Infrastructure (and Western Australian Planning Commission)	C	
Department of Premier & Cabinet	C	
Department of Racing, Gaming & Liquor	5	22 Apr 2009
Department of Sport & Recreation	C	14 Jul 2010
Department of Treasury & Finance	C	14 Jul 2010
Department of Water	(new org)	20 Apr 2006
Disability Services Commission	C	
Doodenaning Cemetery Board	5	3 Jun 2009
Drug & Alcohol Authority	C	8 Dec 2008
Dwellingup Cemetery Board	5	22 Apr 2009
East Perth Redevelopment Authority	5	30 Aug 2009
Eastern Metropolitan Regional Council	3	15 Jul 2007
Economic Regulation Authority	C	
Edith Cowan University	5	27 Mar 2011
Electricity Networks Corporation**		To be gazetted
Electricity Generation Corporation**		To be gazetted
Electricity Retail Corporation**		To be gazetted
Equal Opportunity Commission	5	27 Mar 2011
Esperance Port Authority	C	
Fire & Emergency Service	C	
Forest Products Commission	3	9 Mar 2007
Fremantle Port Authority	5	20 Mar 2008
Gas Industry Ombudsman	C	
Gascoyne Development Commission	3	14 Jul 2008
Geraldton Cemetery Board	5	9 Mar 2009
Geraldton Port Authority	C	
Gold Corporation	C	
Goldenlines (Eastern Goldfields Transport Board)	1	8 Dec 2006

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Status Register (as at 30 June 2006)**

Agency Name	Approval Period (years)	Review Date
Goldfields Esperance Development Commission	3	8 Dec 2008
Government Employees Superannuation Board	5	7 Oct 2009
Governor's Establishment	C	
Great Southern Development Commission	5	14 Jul 2010
Hairdressers Registration Board of WA	3	8 Dec 2008
Heritage Council of WA	C	
Independent Market Operator	C	
Inspector of Custodial Services	1	8 Dec 2006
Insurance Commission of WA (including State Government Insurance Corporation)	5	7 Oct 2009
Kalgoorlie-Boulder Cemetery Board	5	3 Jun 2009
Keep Australia Beautiful Council	1	16 Dec 2005
Kimberley Development Commission	3	14 Jul 2008
Landcorp	5	27 Mar 2011
Law Reform Commission of WA	5	22 Apr 2009
Legal Aid WA	1	18 Nov 2005
Legal Practice Board	C	
Legislative Assembly **	5	16 Oct 2007
Legislative Council **	5	4 Dec 2007
Lotterywest	2	9 Mar 2006
Main Roads WA	5	7 Oct 2009
Medical Board of WA	3	8 Dec 2008
Metropolitan Cemeteries Board	2	9 Mar 2006
Mid West Development Commission	5	29 Jan 2009
Midland Redevelopment Authority	5	18 Nov 2009
Mindarie Regional Council	5	14 Jul 2010
Minerals & Energy Research Institute of WA	3	15 Sep 2008
Murdoch University	C	
National Trust of Australia (WA)	C	
Nurses Board of WA	C	
Occupational Therapists Registration Board of WA	C	
Office of Energy	5	6 Nov 2008
Office of Public Sector Standards Commissioner	5	18 Nov 2009
Office of Shared Services	(new org)	1 Jan 2006
Office of the Auditor General	5	8 May 2008
Office of the Director of Public Prosecutions	1	18 Nov 2005
Office of the Information Commissioner	5	6 Nov 2008
Optometrists Registration Board	3	30 Aug 2007
Osteopaths Registration Board of WA	C	
Painters' Registration Board	5	22 Apr 2009
Parliamentary Commissioner for Administrative Investigations (Ombudsman)	5	27 Mar 2011
Parliamentary Services Department**	5	4 Dec 2007
Peel Development Commission	5	12 May 2010
Perth Market Authority	C	
Perth Theatre Trust	5	22 Apr 2009
Perth Zoo	5	22 Apr 2009
Pharmaceutical Council of WA	3	31 Mar 2009
Physiotherapists Registration Board of WA	C	
Pilbara Development Commission	3	14 Jul 2008

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Status Register (as at 30 June 2006)**

Agency Name	Approval Period (years)	Review Date
Podiatrists Registration Board of WA	3	15 Jul 2007
Port Hedland Port Authority	5	12 May 2010
Psychologists Board of WA	3	19 Dec 2006
Public Transport Authority	C	
Racing and Wagering WA	C	
Regional Power Corporation**		To be gazetted
Rottneest Island Authority	5	8 Dec 2010
Screen West	5	7 Oct 2009
Shire of Ashburton	5	9 Mar 2009
Shire of Augusta / Margaret River	3	30 Aug 2007
Shire of Beverley	1	16 Dec 2005
Shire of Boddington	5	30 Aug 2009
Shire of Boyup Brook	5	14 Jul 2010
Shire of Bridgetown-Greenbushes	5	1 Jul 2009
Shire of Brookton	3	7 Oct 2007
Shire of Broome	3	7 Oct 2007
Shire of Broomehill	3	15 Jul 2007
Shire of Bruce Rock	1	18 Nov 2005
Shire of Busselton	5	15 Jul 2009
Shire of Capel	5	7 Oct 2009
Shire of Carnamah	5	7 Oct 2009
Shire of Carnarvon	2	9 Mar 2006
Shire of Chapman Valley	5	30 Aug 2009
Shire of Chittering	3	9 Mar 2007
Shire of Collie	3	22 Apr 2007
Shire of Coolgardie	5	30 Aug 2009
Shire of Coorow	5	18 Nov 2009
Shire of Corrigin	3	1 Jul 2007
Shire of Cranbrook	1	18 Nov 2005
Shire of Cuballing	3	7 Oct 2007
Shire of Cue	3	18 Nov 2007
Shire of Cunderdin	1	16 Dec 2005
Shire of Dalwallinu	3	7 Oct 2007
Shire of Dandaragan	1	15 Jul 2005
Shire of Dardanup	5	9 Mar 2009
Shire of Denmark	3	3 Jun 2007
Shire of Derby / West Kimberley	3	18 Nov 2007
Shire of Donnybrook Balingup	5	7 Oct 2009
Shire of Dowerin	1	16 Dec 2005
Shire of Dumbleyung	3	3 Jun 2007
Shire of Dundas	1	30 Jun 2006
Shire of East Pilbara	3	31 May 2007
Shire of Esperance	5	30 Aug 2009
Shire of Exmouth	3	7 Oct 2007
Shire of Gingin	3	22 Apr 2007
Shire of Gnowangerup	1	15 Jul 2005
Shire of Goomalling	1	16 Dec 2005
Shire of Greenough	1	18 Nov 2005
Shire of Halls Creek	3	16 Dec 2007
Shire of Harvey	3	7 Oct 2007

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Agency Name	Approval Period (years)	Review Date
Shire of Irwin	5	30 Aug 2009
Shire of Jerramungup	5	3 Jun 2009
Shire of Kalamunda	5	15 Jul 2009
Shire of Katanning	5	15 Jul 2009
Shire of Kellerberrin	3	18 Nov 2007
Shire of Kent	5	18 Nov 2009
Shire of Kojonup	3	18 Nov 2007
Shire of Kondinin	1	16 Dec 2005
Shire of Koorda	1	18 Nov 2005
Shire of Kulin	3	16 Dec 2007
Shire of Lake Grace	3	30 Aug 2007
Shire of Laverton	5	22 Apr 2009
Shire of Leonora	3	7 Oct 2007
Shire of Manjimup	5	7 Oct 2009
Shire of Meekatharra	3	7 Oct 2007
Shire of Menzies	1	16 Dec 2005
Shire of Merredin	3	30 Aug 2007
Shire of Mingenew	3	7 Oct 2007
Shire of Moora	3	15 Jul 2007
Shire of Morawa	3	18 Nov 2007
Shire of Mt Magnet	5	7 Oct 2009
Shire of Mt Marshall	3	7 Oct 2007
Shire of Mukinbudin	3	18 Nov 2007
Shire of Mullewa	3	3 Jun 2007
Shire of Mundaring	5	22 Apr 2009
Shire of Murchison	3	16 Dec 2007
Shire of Murray	5	19 Dec 2008
Shire of Nannup	5	18 Nov 2009
Shire of Narembeen	1	18 Nov 2005
Shire of Narrogin	3	18 Nov 2007
Shire of Ngaanyatjaraku	3	7 Oct 2007
Shire of Northam	5	17 Oct 2008
Shire of Northampton	3	3 Jun 2007
Shire of Nungarin	3	30 Aug 2007
Shire of Peppermint Grove	5	7 Oct 2009
Shire of Perenjori	1	7 Oct 2005
Shire of Pingelly	5	22 Apr 2009
Shire of Plantagenet	1	16 Dec 2005
Shire of Quairading	3	7 Oct 2007
Shire of Ravensthorpe	3	22 Apr 2007
Shire of Roebourne	5	30 Aug 2009
Shire of Sandstone	3	7 Oct 2007
Shire of Serpentine - Jarrahdale	5	3 Jun 2009
Shire of Shark Bay	1	7 Oct 2005
Shire of Tambellup	5	3 Jun 2009
Shire of Tammin	3	18 Nov 2007
Shire of Toodyay	3	18 Nov 2007
Shire of Trayning	1	16 Dec 2005
Shire of Upper Gascoyne	3	7 Oct 2007
Shire of Victoria Plains	5	22 Apr 2009

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Agency Name	Approval Period (years)	Review Date
Shire of Wagin	1	22 Apr 2005
Shire of Wandering	3	18 Nov 2007
Shire of Waroona	5	18 Nov 2009
Shire of West Arthur	1	7 Oct 2005
Shire of Westonia	1	16 Dec 2005
Shire of Wickepin	1	30 Aug 2005
Shire of Williams	5	15 Sep 2010
Shire of Wiluna	3	7 Oct 2007
Shire of Wongan-Ballidu	5	7 Oct 2009
Shire of Woodanilling	3	7 Oct 2007
Shire of Wyalkatchem	1	18 Nov 2005
Shire of Wyndham/ East Kimberley	2	4 Dec 2005
Shire of Yalgoo	3	18 Nov 2007
Shire of Yilgarn	5	9 Mar 2009
Shire of York	3	27 Mar 2009
Small Business Development Corporation	5	6 Nov 2008
South Caroling Cemetery Board	5	22 Apr 2009
South East Metropolitan Regional Council	5	18 Nov 2009
South West Area Health Service / Board	5	20 Mar 2008
South West Development Commission	5	12 May 2010
Southern Metropolitan Regional Council	1	7 Oct 2005
State Library of WA	5	21 Aug 2008
State Records Commission **	5	26 Sep 2007
State Records Office of WA	5	1 Jul 2007
State Solicitor's Office	C	
State Supply Commission	5	30 Aug 2009
Subiaco Redevelopment Authority	5	30 Aug 2009
Swan River Trust	5	27 Mar 2011
Tamala Park Regional Council	(new org)	3 Aug 2006
Three Springs Shire Council	5	3 Jun 2009
Totalisator Agency Board of WA	5	2 Oct 2008
Town of Bassendean	3	9 Mar 2007
Town of Cambridge	3	30 Aug 2007
Town of Claremont	5	7 Oct 2009
Town of Cottesloe	1	30 Aug 2005
Town of East Fremantle	3	30 Aug 2007
Town of Kwinana	5	14 Jul 2010
Town of Mosman Park	5	30 Aug 2009
Town of Narrogin	5	18 Nov 2009
Town of Northam	1	30 Aug 2005
Town of Port Hedland	3	18 Nov 2007
Town of Victoria Park	5	15 Jul 2009
Town of Vincent	1	30 Aug 2005
University of WA	C	
Upper Preston Cemetery Board	5	3 Jun 2009
Veterinary Surgeons Board of WA	5	10 Mar 2010
WA Boxing Commission – renamed WA Professional Combat Sports Commission	5	14 Jul 2010
WA Centre for Pathology and Medical Research	3	10 Mar 2008

**Recordkeeping Plans  
Status Register (as at 30 June 2006)**

Agency Name	Approval Period (years)	Review Date
(PathCentre)		
WA Coastal Shipping Commission (Stateships)	C	
WA College of Teaching	C	
WA Country Health Service	5	20 Mar 2008
WA Electoral Commission	C	
WA Greyhounds Racing Association	C	
WA Health Promotion Foundation (Healthway)	5	10 Mar 2010
WA Industrial Relations Commission	5	15 Jul 2009
WA Meat Industry Authority	C	
WA Museum	C	
WA Police Service	5	16 Dec 2009
WA Sports Centre Trust	3	14 Jul 2008
WA Tourism Commission	C	
WA Treasury Corporation	5	29 Jan 2009
Water & Rivers Commission	5	1 May 2011
Water Corporation **	5	18 Jun 2009
Western Metropolitan Regional Council	5	16 Dec 2009
Western Potatoes	3	8 Dec 2008
Western Power **	5	24 Mar 2008
Wheatbelt Development Commission	3	7 Oct 2007
Work Cover WA	5	29 Jan 2009