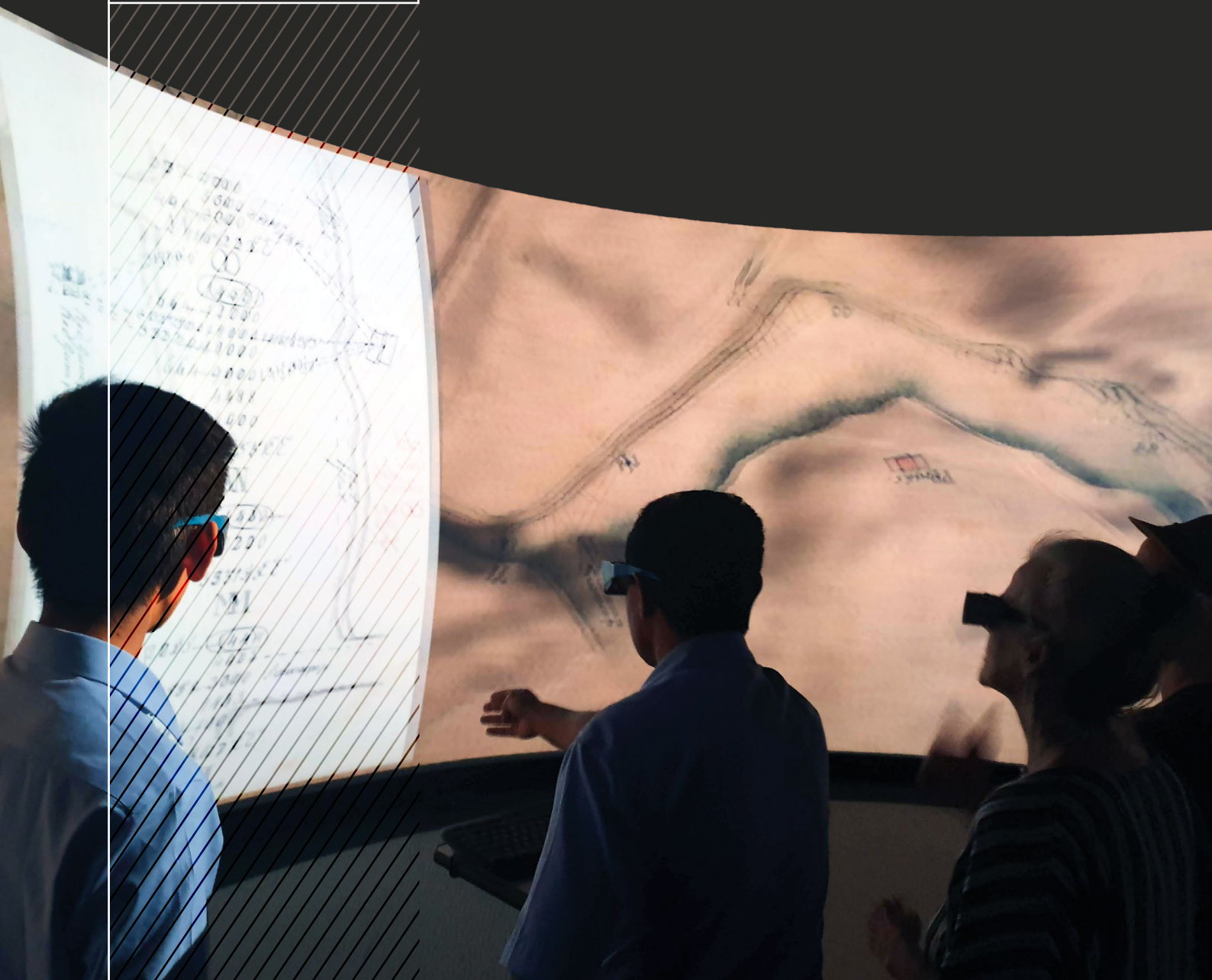




# State Records Commission

Annual Report  
2019/2020



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State Records Commission of Western Australia

# ANNUAL REPORT 2019/20

Chairperson:  
Chris Field, Ombudsman

Executive Officer to the Commission:  
Damian Shepherd, Director State Records

State Records Commission of Western Australia

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Internet relay users should connect to the [NRS internet-relay.nrscall.gov.au](http://NRS.internet-relay.nrscall.gov.au) and enter 08 9427 3636

The State Records Commission of Western Australia acknowledges the traditional owners of Country throughout Western Australia and their continuing connection to land and culture. We pay our respects to Elders past, present and emerging.

Aboriginal and Torres Strait readers are advised that this document contains images of deceased people.

## Front cover:

State archives being viewed in augmented reality at the Curtin University HIVE visualisation studio. Work based on research led by Professor Anna Haebich, Curtin University.

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# Chairperson's Foreword



I am delighted to present the 19<sup>th</sup> Annual Report of the State Records Commission (the Commission).

The circumstances faced by Western Australia arising from the COVID-19 pandemic represented an unprecedented and unique challenge. The Commission and the State Records Office (the Office) have been deeply cognisant of the pressures on public sector agencies in Western Australia as they both lead the response to, and recovery from, the COVID-19 pandemic. My fellow Commissioners and I are very pleased to have contributed to reforms to State records management that simplify State Records Commission principles and reporting, thus ensuring that we reduced, in all appropriate ways, regulatory burden on public sector agencies. At the same time, records and archives have a very substantial perpetual value to Western Australia and we have ensured that this value continues to be reflected in all our work.

The Commission is very pleased that a new research space for Western Australian history has been developed in partnership by the Office and State Library. The new space enhances the opportunity for the community to explore and utilise State archives and other unique archive collections. Visitors to the Perth Cultural Centre can now access these collections in one place, as well as online.

A whole-of-government approach to records was supported through a new home on the web for the Commission and the Office at wa.gov.au. Information regarding State records and information management is now published alongside other State government information and services in one location, avoiding the need for both the public sector and broader community to search many different web sites.

The Commission is also pleased to note continued investment in the preservation of State archives through the Office. Following an assessment of priority needs in 2018, an ongoing program of work is improving the way historically significant paper-based archives are stored and accessed. Both the Commission and the Office are also aware of the importance of ensuring that the growing volume of born digital archives are accessible in the decades and centuries ahead. Further, significant digital transformation has occurred this year as part of COVID-19 response and recovery and it is expected that this will continue.

I take this opportunity to express my thanks to my fellow Commissioners: Caroline Spencer, Auditor General; Catherine Fletcher, Information Commissioner; and Alan Ralph, Governor's Appointee. Each Commissioner has provided enormous expertise and experience to the Commission. Further, in this year's report, we feature a profile of Commissioner Ralph.

I also take this opportunity to thank the staff of the Office for their work during the year. In particular, I express appreciation to Damian Shepherd, Director State Records, who has demonstrated outstanding leadership of the Office.

A handwritten signature in black ink, consisting of a large, stylized 'C' followed by a series of loops and a final horizontal stroke.

Chris Field

Chairperson, State Records Commission  
September 2020



# About Us



## **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).

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.

## **During 2019-20 the Commissioners were:**

### **Mr Chris Field**

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

### **Ms Caroline Spencer**

Auditor General, appointed May 2018.

### **Ms Catherine Fletcher**

Information Commissioner, appointed July 2018.

### **Ms Justine McDermott**

Governor's Appointee to the Commission, March 2009 – December 2018.

### **Mr Alan Ralph**

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

The Commissioners' personal profiles can be viewed on the SRO website at [www.wa.gov.au/Organisation/state-records-office-of-western-australia](http://www.wa.gov.au/Organisation/state-records-office-of-western-australia).

# What We Do

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

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

The Commission meets regularly to support these functions.

The minutes of each meeting may be viewed on the State Records Office website at [www.wa.gov.au/Organisation/state-records-office-of-western-australia](http://www.wa.gov.au/Organisation/state-records-office-of-western-australia).

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.

## State Records Commission meetings

### 9 August 2019

Commission meeting held in Perth

### 12 December 2019

Commission meeting held in Perth

### 8 April 2020

Commission meeting held via teleconference

## Other events:

### 14 October 2019

16th Annual Geoffrey Bolton Lecture, State Theatre Centre  
Attended by Commissioners Field, Spencer and Fletcher

### 21 October 2019

Council of Australasian Archives and Records Authorities  
Leadership Summit, Adelaide

Attended by Commissioner Fletcher and the Director  
State Records

### 7 February 2020

20 Years of the State Records Act in WA – Information  
Management Think Tank workshop attended by  
Commissioner Fletcher and the Director State Records



#### 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.

# Commissioner Profile

## Alan Ralph



Growing up in the Swan Valley and Hills region of Western Australia, being within these close-knit communities imbued me with a strong sense of connection and participation. I have always had a strong sense of community whether it be on a personal and professional level, or through my involvement in the sporting community.

Professionally I have been involved in record-keeping and archiving for more than 35 years. To an extent I fell into the Archives profession. After completing Secondary High School, I successfully undertook the Commonwealth Public Sector Entrance exam and chose from several agencies to join the then, Australian Archives.

This decision was primarily due to my interest in Australian history which was stimulated by my grandfather. As a young man from Northam he was involved directly in some of the most significant conflicts of World War I as a member of the 10th Light Horse Regiment and the Imperial Camel Corps, and whose travels captured my imagination.

In 2003 I was appointed the State Director, National Archives of Australia (NAA) Western Australia (WA). The primary role of the position is to lead and manage the delivery of National Archives' archiving and recordkeeping services to the public and government agencies. In this role I derived the greatest pleasure from developing new opportunities to improve the community's relationship with, and knowledge of, the wonderful collection and work of the NAA.

My motivation for this focus was influenced by one of the opening lines of the Australian Law Reform Commission's report, *Australia's Federal Record: A Review of Archives Act 1983* (ALRC Report 85) conducted in 1998:

"Over the centuries people have sought to preserve information about themselves and their activities, not only to explain and protect the structures of the societies in which they live but also to give meaning to their own lives."

I have always looked to support the Archive profession in whatever capacity I can. I have enjoyed the experience of being involved in numerous voluntary roles on archives, records management with the Records and Information Management Professionals Australasia and as the Convener of Australian Society of Archivists, WA Branch for over 10 years.

As a member of the community I have been a very active participant in several amateur sports including Australian Rules Football, both as a player and official for over 35 years, and as President for 13 years of a Perth based amateur AFL club.

As the President of a community AFL club, I focused on developing and supporting a team-based club environment in which AFL is utilised in a positive way to encourage quality behavior, character development and leadership of adolescent youth in our society.

I am currently the Academy Operations Manager at the Sydney Swans Ltd., based in Sydney. The Academy program is designed to increase the number and diversity of players and coaches, who have sound AFL knowledge and high-level skills. The Academy also emphasises personal development characteristics. Academy members are encouraged and assisted to be leaders among their peers. My role has provided me with a unique opportunity to assist in developing members of the Academy, through sport, to improve their ability to become more deeply involved in our community.

I have always aimed to be aware and across the latest challenges confronting the recordkeeping and archives profession. There are numerous challenges confronting the State Records Office including digital transition, service delivery, business improvement, accessibility and compliance by government agencies with the Act. I believe that quality record keeping is essential for government accountability and community access.

I am both humbled and honoured to have been provided the opportunity to serve as a State Records Commissioner. I look forward to working with fellow Commissioners and State Records Office staff in monitoring the operation and compliance by government agencies with the *State Records Act 2000* and to ensure recordkeeping practices and accessibility that serves the interests of the people of Western Australia.

Alan Ralph  
State Records Commissioner



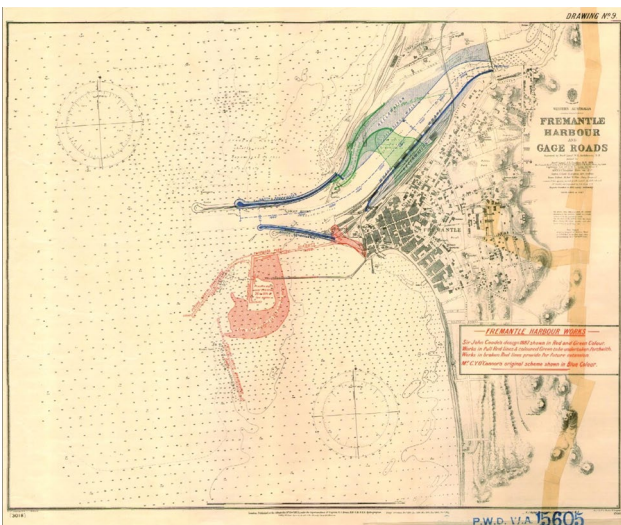
# Our Clients

## 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 organizations, 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.

1890

Plans for future expansion of Fremantle Port



Plan on linen sheet  
Watercolour  
Copies made on paper for reproduction

# 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.

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.

In performing its functions the Commission is responsible for ensuring a high standard of records management is maintained across some 300 government agencies and statutory organizations (including 138 local government authorities), in order to best serve the interests of the people of Western Australia.

An example of two State archives nearly 130 years apart in age. Both reflect the work of government to address the issue of future port capacity, but in very different ways - enabled by changes in technology. Our challenge is to ensure State archives created today are also accessible one hundred years from now and beyond.

2019

Westport options assessment



Map 3: Fremantle to Kwinana 'Blue Highway'

Spatial data layers in geospatial information systems  
Data re-used for analysis of different options  
Data shared via [data.wa.gov.au](http://data.wa.gov.au) for re-use / PDF for publication

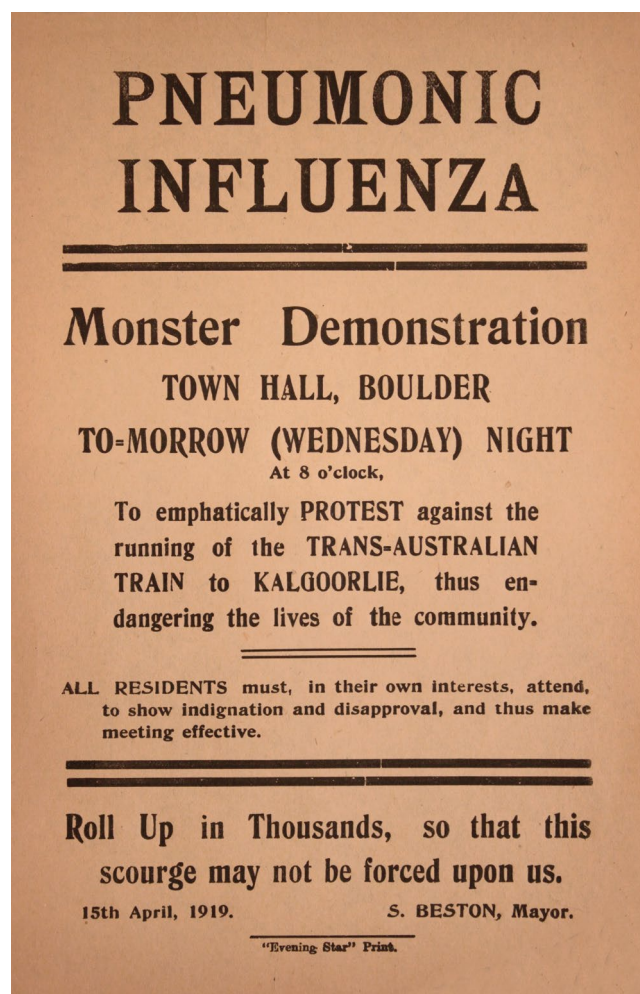


These government entities employ over 100,000 people who produce or receive a very large volume of information in a wide range of formats. Today, most State records are created in digital format, that is, they are born digital. It is likely WA State organizations currently hold tens of petabytes of data in this form and that this volume of data is growing rapidly. Some five per cent of these records are likely to be of long-term value (State archives), representing perhaps a few hundred terabytes of data of long-term archival value. There is also a significant volume of records in paper and other media. It is estimated that there are 75 linear kilometres of paper-based State archives, as well as thousands of films and photographs, representing millions of individual records.

In administering the *State Records Act 2000*, the Commission has established a regime which places primary responsibility for effective records management on government organizations. The State Records Office (SRO) provides support to agencies to ensure compliance through setting and maintaining Standards approved by the Commission; and guidelines, templates, fact sheets and advisory services. The SRO also provides access to State archives through online services and a research facility co-located with the State Library of Western Australia.



The State Records Office provides an information service about the State archives collection to a wide range of clients, including people conducting research about history and heritage in Western Australia.



The State archives shed light on the experience of government and our society over time. This poster, just over 100 years old reflects the WA experience of the last major pandemic in 1918-19.

# Significant Issues

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

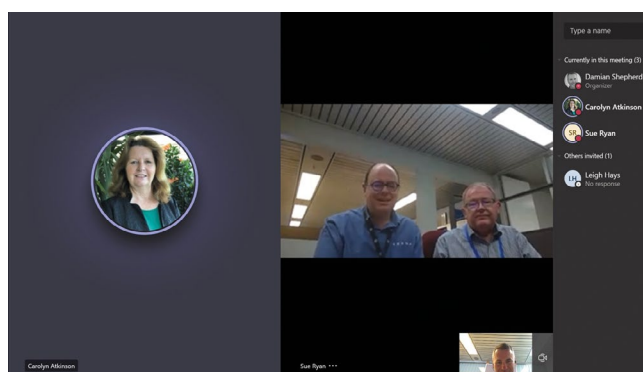
- (a) State record keeping is of a standard that best serves the interests of the people of WA; and
- (b) Subject to the law, that government records are accessible to the public.

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

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

## COVID-19 Pandemic and Digital Transformation

The COVID-19 pandemic presented many challenges to the community; and drove a need to leverage digital transformation for records and information management in 2019-20. The Commission and SRO contributed to measures that minimized the regulatory burden on agencies during the pandemic response. Relief to government organizations was provided in terms of simplified reporting and extensions to reporting timeframes where required. In May 2020, the SRO also issued guidance for maintaining records throughout changed working arrangements.



Like many other organizations in 2019-20, the State Records Office made extensive use of digital conferencing and online collaboration tools during periods when face-to-face meetings were not possible. These tools have continued to be invaluable in supporting the work of the Commission.

More extensive use of working from home arrangements by government organizations provided an opportunity for the SRO to work closely with these organizations on requirements for managing records of information created, managed, and shared between office and home business settings. This work contributed to an improved set of guidelines that will continue to be updated over time as organizations share experience with a more flexible approach to work.

A new single Standard for State Records Management has been developed in consultation with government organizations, supported by a simpler Records Management Plan and Information Management Maturity Model. This new approach to reporting will enable organizations to improve the timeliness and relevance of monitoring their management of records of information. The new approach will also make it easier to identify opportunities to improve records management within organizations and across government.

## Royal Commission into Institutional Responses to Child Sexual Abuse

Work to implement the recommendations of this Royal Commission continues and the SRO is contributing to cross-government working groups implementing the recommendations across national, state and local levels of government. While these recommendations are being implemented, a records disposal freeze issued in April 2018 by the then State Archivist remains in force. This freeze covers government agency records documenting the care, education, supervision, and treatment of children, and records of past or current actual or alleged incidents of child sexual abuse.

The SRO is also facilitating access to archives for those with claims under the National Redress Scheme. This work is highlighting the need for improved digital access to archives to meet critical timeframes under the scheme and on an ongoing basis, particularly to people in rural and remote locations.

# Highlights

## More accessible services

The State Records Office completed a project with the State Library to establish a single public research space on the 3rd floor of the Alexander Library Building, the site of the J.S. Battye Library of West Australian History. This new space enables original State archives to be accessible during all State Library opening times, and appointments are available for those SRO customers seeking research support. The State Archives are also now easier to locate through improved signage in and around the building and the Perth Cultural Centre.



The State archives can now be explored during State Library opening hours in the re-furnished *Battye Library for West Australian History*



The refurbished Reading Room in the *Battye Library for West Australian History* is now shared and co-serviced by the State Records Office and State Library in 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 State Records Office.

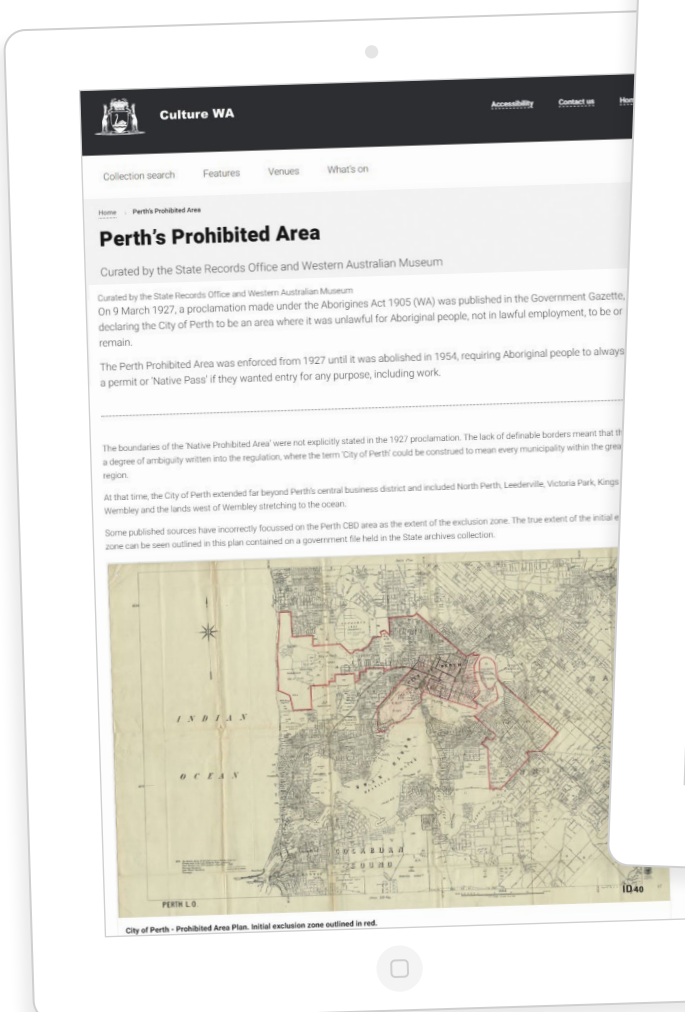
For more information visit: [www.wa.gov.au/Organisation/state-records-office-of-western-australia](http://www.wa.gov.au/Organisation/state-records-office-of-western-australia)



The *State Archives* has been added to signage at the Alexander Library Building, making this important resource more easily discoverable to visitors to the Perth Cultural Centre.



Thousands of Western Australians have explored the State Archives Collection through two new digital platforms launched this year. *Culture WA*, a collaboration across the WA culture and arts institutions, is a simpler way to discover collections from across these institutions through a single online service. *RetroMaps*, a collaboration with the Friends of Batty Library and Water Corporation, is a popular new online map that makes it easier to access historical plans for Perth.



RetroMaps makes hundreds of historical maps and plans of early Perth available online through the support of the Water Corporation and Friends of Batty Library Inc.

[mapping.sro.wa.gov.au](https://mapping.sro.wa.gov.au)

The State Records Office worked with the WA Museum and State Library to make content from across the cultural collections more discoverable online through CultureWA:

[culture.wa.gov.au](https://culture.wa.gov.au)



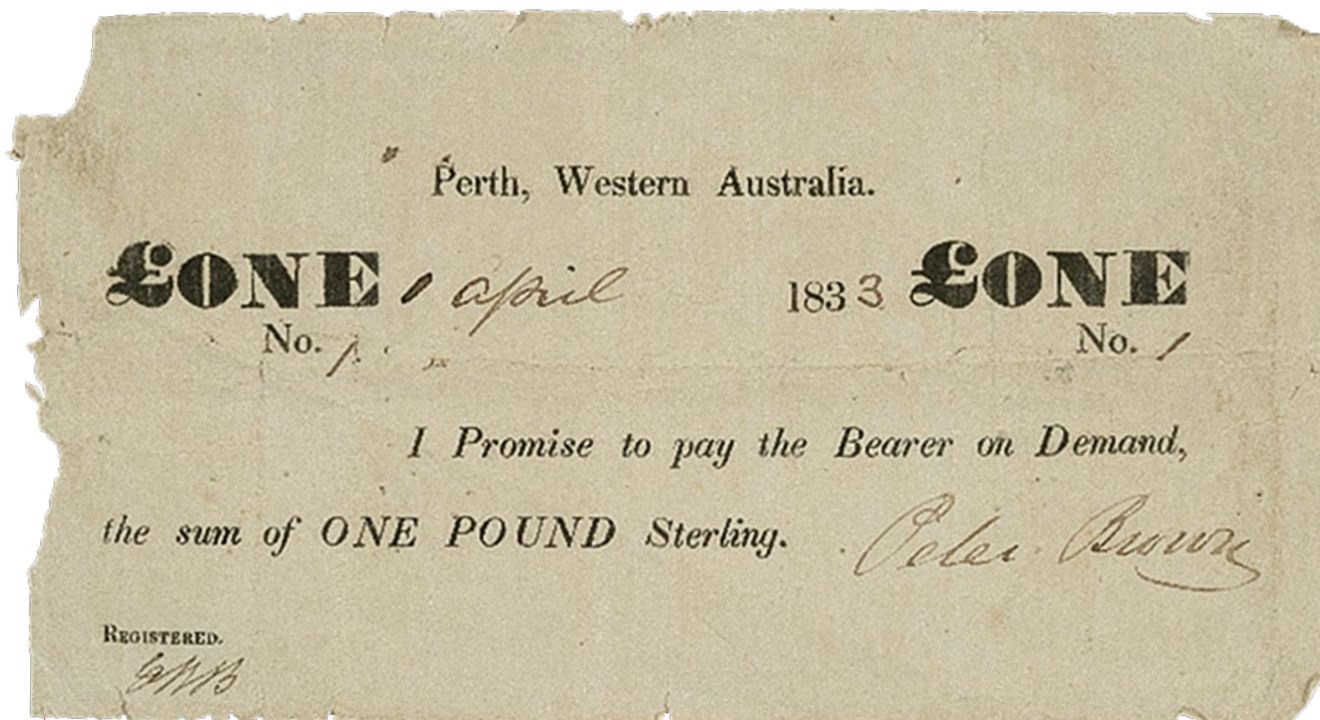
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## Management of State Archives

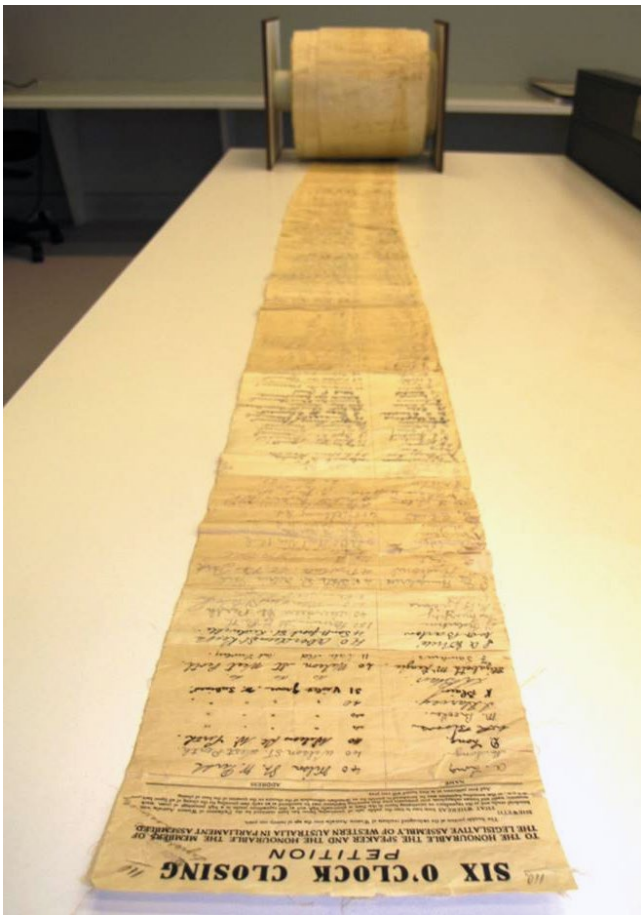
State archives are the significant records of government business which have ongoing evidential and cultural value. It is estimated that there are over 75 linear kilometres of paper-based State archives, as well as thousands of films and photographs, representing millions of individual records held across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

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**In 2019-20 the SRO commenced 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.**



Early colonial promissory note 1833, signed by Peter Grown (Broun), Colonial Secretary.  
State archives collection Cons 626



Signed public petition submitted to Parliament in 1928 calling for licensed premises to close at 6pm (during a time of prohibition of alcohol).

Following the completion of a Preservation Needs Assessment of the collection in 2018, the SRO also re-housed some 2,500 map and plan archives to better protect them for future re-use, digitization and access.



The State archives team discuss the conclusion of rehousing of over 2,500 maps and plans and improved data to make them more easily discoverable online.

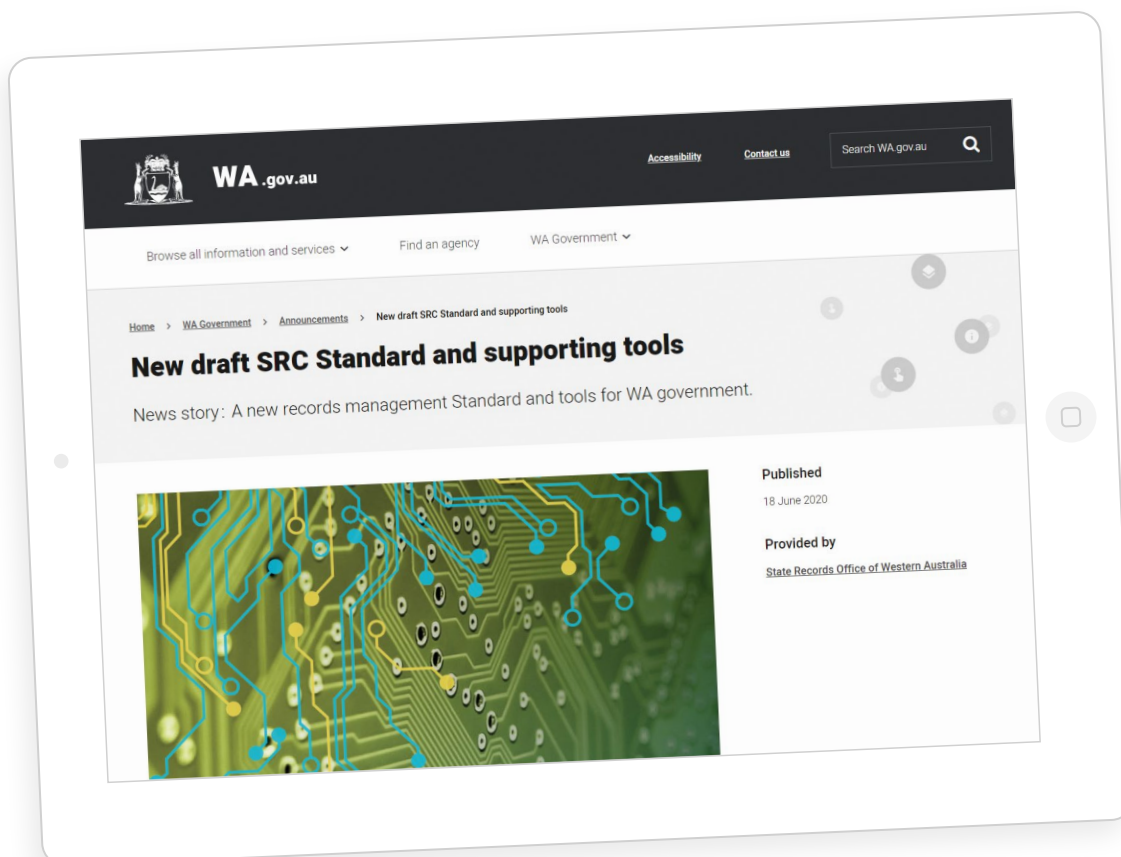


Scale Model of Princess Margaret Hospital, 1980. Architectural scale model of Princess Margaret Hospital for Children, built by P&M Jordan Pty Ltd, as the "Proposed Ultimate Development".

## Strengthening information management across government

In 2019-20 the State Records Office, in consultation with other organizations, commenced a significant reform of the Commission's Standards and supporting systems to support information management in government in WA. This included consultation on a new, single standard for State Records Management and a proposed Maturity Model to simplify reporting and collaboration on information management. The reform program will continue into 2020-21.

Consultation on this reform work is being supported through a new online presence for the SRO on [wa.gov.au](http://wa.gov.au). This approach enables SRO content to be found more easily alongside other information from State government. In 2020-21 the SRO plans to complete the transition to [wa.gov.au](http://wa.gov.au) from its standalone web site.



The State Records Office joined other State agencies with a new profile on [wa.gov.au](http://wa.gov.au). This has proven invaluable during consultation on a proposed new single Standard for State records management.

# Performance

## Government Records Management

Record Keeping Plans are documents required to be submitted by every government organization covered by the Act. They contain information about record keeping processes, documentation and systems, planned or in place. Under the Act, each Record Keeping Plan must also set out provisions for the retention periods and ultimate disposal actions for the records created and maintained by the organization. These retention and disposal provisions are stipulated either by a General Disposal Authority covering records common to State or local governments, an organization-specific Retention and Disposal Schedule, a Sector Disposal Authority covering records common to organizations with similar functions, or a combination of the above.

## State Records Management Framework

Government organizations' Record Keeping 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 organization's employees and third party providers working on an organization's behalf.



*Recordkeeping Plans (RKPs)* for each government organization describe processes, policies and procedures reflecting an organization's overall program for creating and managing records of information. RKPs for every organization were originally established after the State Records Act was proclaimed in 2001. They have been regularly reviewed and updated where required since that time.



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## Review of Commission Standards and Record Keeping Plan tools

During 2019-20 the SRO commenced a review of the seven existing SRC Standards established under s61(1) of the Act. The review aimed to simplify and modernize the Standards by updating terminology and consolidating compliance requirements that were reported at a granular level.

This review culminated in a single draft *SRC Standard - State Records Management*, which amalgamates the 29 principles and 105 compliance requirements from the existing Standards into three principles and 12 compliance measures. A corresponding template for Records Management Plans was developed to enable organizations to report against the new Standard. This template is anticipated to replace the four current Record Keeping Plan templates currently in use.

The SRO concurrently developed a Maturity Model to enable organizations to assess their practices against the new compliance requirements, using a maturity ratings scale. The SRO expects to incorporate this model into an online module of its Online Retention and Disposal Application, so an organization's results can be imported directly into its Records Management Plan and provide a snapshot of performance that can be tracked over time.

The new approach represents a significant shift from organizations submitting formal documentation as evidence of compliance requirements, to what will be an ongoing assessment of their records management maturity and progress towards better practice. The terminology change from "Record Keeping" to "Records Management" recognizes the continual processes involved with managing an organization's records of information.

On 18 June 2020, the revised Standard, Records Management Plan template and Maturity Model (with an online trial available) were published for comment on the [www.wa.gov.au](http://www.wa.gov.au) platform. The comment period runs until 24 July 2020. Changes will be rolled out following consideration and approval by the Commission.

## Agency Support for Record Keeping Plans

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

Government organizations 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

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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, 56 agencies were required to review their Plans (see [Appendix 1](#)). A total of 59 reviews were received during the reporting period (see Figure 1).

During 2019-20 the Commission approved 37 new or amended Record Keeping Plans and the continuation of a further seven requiring no amendment. The Commission also noted two organizations, which had Plans approved by the relevant Minister, in accordance with Schedule 3 of the Act.

A total of 51 Record Keeping Plan reviews were considered by the Commission, with three additional reviews submitted under Schedule 3 of the Act. This figure includes 27 amended or reviewed Record Keeping Plans submitted prior to 2019-20 which, due to meeting schedules, the Commission dealt with during the reporting period.

One new organization was required to submit a Record Keeping Plan. This organization complied with the requirement (see [Appendix 2](#)).

The Western Australian Greyhound Racing Association (WAGRA) reported on the review of its Plan in July 2017 and committed to submitting an amended Plan by September 2018. At the time of finalizing this report, an updated Plan had not been received by the State Records Office.

The WAGRA has informed the State Records Office that it "will complete the work" and that "progression on the matter is nearing completion."

In the coming year, 2020-21, a total of 38 agencies will be required to review their Record Keeping Plans (see [Appendix 3](#)).

## RECORD KEEPING PLAN REVIEWS RECEIVED

DURING 2019-20

**23**  
fully amended RKPs

**33**  
identified amendments required and committed to submitting an amended RKP

**37**  
RKP review reports

**4**  
identified no amendment required

## RECORD KEEPING PLANS APPROVED

DURING 2019-20

## DISPOSAL AUTHORITIES APPROVED

DURING 2019-20

**1**  
amendment to an existing R&D Schedule

**4**  
fully amended Retention and Disposal (R&D) Schedules

**1**  
Disposal List for a specific records series

**19**  
Local Government RKPs

**18**  
State Government RKPs

Figure 1: Record Keeping Plan and Disposal Authority receipt and approvals during 2019-20

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## Disposal Authorities

Disposal Authorities are an integral part of an organization'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.

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

- General Disposal Authority;
- Retention and Disposal Schedule;
- Sector Disposal Authority;
- Ad Hoc Disposal Authority; or
- Disposal List.

### General Disposal Authorities

General Disposal Authorities (GDAs) are documents, developed by the SRO 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 organization to prepare individual disposal authorities for a large proportion of records.

Three 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 organizations;
- **Local Government Records** - covering all records of all local government organizations in Western Australia; and
- **Source Records** – enabling the destruction of hard copy source records after digitization, once certain conditions have been met.

These GDAs are currently under review to ensure that they comply with relevant business and technical standards, including changes to retention periods in line with the recommendations of the Royal Commission into Institutional Responses to Child Sexual Abuse.

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## Sector Disposal Authorities

Sector Disposal Authorities (SDAs) are developed by the SRO, in consultation with other organizations across these sectors, and cover records common to a group or sector of like organizations which operate with common functions.

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

There are currently 12 SDAs, covering the core business records of approximately 70 government organizations.

As is the case for the GDAs, the existing SDAs are under review to ensure they meet organizational and legislative requirements. The SRO continues to assist the Department of Health and eight Health Service Providers during their development of a new SDA for Health Services.

### Retention and Disposal Schedules

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

Following advice from the SRO and the State Records Advisory Committee (see [page 23](#)), the Commission approved four fully revised Retention and Disposal Schedules, and two amendments, during 2019-20. A further three Schedules were endorsed by the Committee during this period, awaiting Commission consideration in the next reporting period.

See also [Appendix 4](#) for further detail on the progress of disposal authorities during 2019-20.

### 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 SRO for review, and also facilitates associated approval processes.

As part of its work on new tools to support a new draft Standard (see [page 15](#)) the SRO will develop 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 analyzed and reported upon.

Work on finalizing the new module for Record Keeping Plans is scheduled for completion in early 2021.

## 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 organizations' compliance with their Record Keeping Plans.

Section 60 of the *State Records Act 2000* requires the Commission to monitor the operation of, and compliance with, the Act. Monitoring is achieved through a range of regulatory mechanisms, including education, training and self-evaluation undertaken by government organizations, as well as the SRO's investigations into suspected breaches of the Act.

Authority number: 2015-001/1				
No	Function/Activity	Description	Disposal Action	Custody
41.4		Allowances / benefits provided to Elected Members.	Destroy	Retain 7 years after action completed, then Destroy.
42	<b>ELECTIONS</b>	<p>Conducting public elections to select local government Elected Members, including Mayoral elections. Also includes records associated with preparing the electoral roll.</p> <p><b>See also related ACTIVITIES:</b></p> <ul style="list-style-type: none"> <li>• 10. APPEALS</li> <li>• 56. INDUSTRIAL RELATIONS</li> <li>• 71. MARKETING / PROMOTIONS / CAMPAIGNS</li> <li>• 86. PROCEDURES</li> <li>• 93. REGISTERS</li> </ul>		
42.1		Elections - Returning officer's declaration of outcome.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
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 SRO.
42.3		Elections - photographic history.	Required as State archives	Retain 5 years after action completed, then transfer to the SRO.
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 organizations, the functions of an organization these records relate to, the time period records are retained for and their eventual disposal or retention in perpetuity as State archives.



# Industry Engagement, Collaboration and Publications on Records Management

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It has never been more important for all organizations 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 organizations conduct business, it is essential that the SRO continuously develops its working relationships with a wide range of public and private sector professionals and organizations to ensure the State Records Commission can continue to support effective records management across WA.

## **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 SRO is CAARA's Western Australian representative.

In October 2019 Commissioner Fletcher and the Director State Records attended a CAARA leadership summit at the University of Adelaide to discuss key issues and opportunities for record keeping authorities across Australia and New Zealand.

The summit helped build awareness across the jurisdictions about the differences and similarities in records and archives management between the jurisdictions. Shared interests were identified in the role of records and information management in maintaining public sector integrity, and in addressing the challenges and opportunities of the digital transformation of processes and services.

The SRO also participates on several CAARA Working Groups for Royal Commissions and the National Redress Scheme; and the Australasian Digital Recordkeeping Initiative (ADRI) – which provides a forum for collaboration, engagement and sharing of resources in the interests of the preservation of, and long-term access to, born-digital and digitized records.

## **Local Government Records Management Group**

The SRO continued its engagement with the Local Government Records Managers during 2019-20. This included:

- a request for feedback from the Group for the SRO review of the *General Disposal Authority for Local Government Records*, with the Group's response providing valuable feedback and suggestions

- the sharing of new SRO circulars and published advice via the Group's communication channels
- contributions to the Group's meetings in November 2019 and February 2020. The Director State Records attended the November 2019 meeting to provide an update about the SRO's direction in respect to review of Commission Standards.

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

In June 2020 the SRO established a cross-agency community of practice to enable WA government organizations to share knowledge, information and experience in using SharePoint and Office 365 for managing records of information. Several agencies joined the community or practice, which uses an online platform to help the agencies communicate and share information.

## **Royal Commission into Institutional Responses to Child Sexual Abuse**

During 2019-20 the SRO 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 SRO has also published guidance to assist government and non-government bodies with managing their records of information relating to children (see Publications, page 20). The SRO's existing disposal authorities, including the General Disposal Authorities for the State and local government sectors, are currently being 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, the SRO's disposal freeze on government agency records relating to children remains in force.

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## Other Industry Engagement

On 7 February 2020 the SRO hosted a ThinkTank workshop event that considered what the next 20 years of records and information management may require of the public and private sectors in 2020. The event was attended by Commissioner Fletcher and over 120 representatives from the ICT, records and information management sectors in WA. On 27 February 2020 the Director State Records was a speaker and guest panellist at the Institute for Information Management event 'Migrate, Maintain or Marry... System Migration', attended by around 100 information and communications technology, records and information management practitioners. This event considered the impacts of different approaches to implementing new systems for information and records management.



A ThinkTank workshop in February 2020 enabled over 120 information management professionals from different sectors to consider how practice should adapt to the needs and expectation of the community and business over the next 20-years.

Pictured, left to right, are Jessica Morris (SRO), Frank Flintoff (ThinkTank), Carolyn Atkinson (SRO), Catherine Fletcher (SRC Commissioner and Information Commissioner WA); and Lena Stekl (SRO).

On 9 March 2020 the SRO hosted a roundtable discussion at the Public Sector Network – WA Government Innovation Showcase. The Director State Records facilitated a discussion on 'Getting value from your records - a joined-up approach to information management' with Commissioner Fletcher and representatives from several organizations.

On 23 April the Director State Records was a guest panellist on an online webinar event hosted by the Australian Society of Archivists, providing a forum for archive managers and researchers to ask questions and provide feedback on the co-location of State Records Office and State Library archival research space at the Alexander Library Building.

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On 6 May the Director State Records Office was a guest panellist at an FST Government Western Australia Digital Discussions event that considered 'Creating Seamless Citizen Service Experiences', including access to records and archives created and/or managed by government.

On 3 June the Director State Records was a guest panellist at an online Public Sector Network Digital Government Roadshow event, discussing opportunities to continue the digital transformation accelerated by the response to the COVID-19 pandemic, including new approaches to records and information management.

## Publications

During 2019-20 the SRO undertook to simplify its published information management guidance. This resulted in an overhaul of existing Information Sheets, Guidelines and other documents in favour of a more simplified approach of producing shorter guidance which is more targeted to specific records management issues or activities. Further reviews of existing publications will continue during the second half of 2020, as the SRO transitions its web presence to the wa.gov.au platform.

*Recordkeeping Basics*, a plain language guide to basic records management principles, was published in September 2019 as a primer for those with little or no formal training in records management. This guidance was developed to be used by both government and non-government entities.

The SRO also published the following advice sheets during 2019-20:

- **Advice on State Recordkeeping and COVID-19** - Advice covering recordkeeping implications of working from home and other governmental arrangements during the COVID-19 pandemic
- **Business Information Systems** – covering records management aspects of these systems
- **Destruction of Temporary Records** – a step-by-step guide for applying disposal authorities
- **Document Naming Conventions** – guidance on naming electronic documents stored in business systems
- **Guidance for identifying and retaining records which may become relevant to an actual or alleged incident of child sexual abuse** – developed by the Council of Australasian Archives and Records Authorities' Commissions Working Group with additional information relevant to the Western Australian government environment

- **Information Management Using SharePoint** – guidance on the information management capabilities of SharePoint
- **Local Government – Management of Medical Practice Records** – guidance for local governments responsible for operating medical practices
- **Recordkeeping and Your Organization** – short guidance condensing the information in the Recordkeeping Basics publication
- **Records Management Disaster Plans** – elements of records management disaster recovery plans

- **Records in Outsourced Arrangements** – records management issues associated with third party arrangements
- **Student Guild Elected Members' Records** – guidance about which records should be captured by Student Guild elected members
- **Version Control** – covering version control on electronic documents

Government of Western Australia  
Department of Local Government, Sport and Cultural Industries  
State Records Office of Western Australia

Information Management Advice November 2019

### Information Management Using SharePoint

SharePoint is a collaborative platform that is integrated with Microsoft Office 365 products. SharePoint allows an organisation to store, search, access, track, manage and report on digital information.

**Remember**

The information management capability of SharePoint varies depending on the software service used, type of license held and whether SharePoint is integrated with an Electronic Document and Records Management System (EDRMS), Enterprise Content Management (ECM) or any other add-ons.

**Effective information management aims to ensure that:**

- Full, reliable and accurate information is created, captured and managed
- The integrity of information and associated metadata is maintained
- People can find what they are looking for when they need it
- Information is secure from unauthorised access, alteration and destruction
- Accessible information is exported from the system when required
- Information remains accessible for as long as required.

When using SharePoint as a standalone product:

- Documents can be created in, saved into, or dragged and dropped into SharePoint.
- Each document created or saved into SharePoint is allocated a Unique ID. The Unique ID is sequential and is never repeated, so if a document is deleted its number is not reused.
- SharePoint automatically generates system metadata for documents based on selected fields, such as: titles, content, date and time, creator, modifier, modified date etc.
- To aid in discoverability further metadata can be added and customised at various levels within SharePoint.
- System generated metadata stays with the document even when it is downloaded or emailed.
- Security or permissions can be set up within all levels of SharePoint.
- SharePoint allows for documents to be imported and exported.

State Records Office of Western Australia [www.sro.wa.gov.au](http://www.sro.wa.gov.au)

Government of Western Australia  
Department of Local Government, Sport and Cultural Industries  
State Records Office of Western Australia

Information Sheet August 2019

### Destruction of Temporary Records

The following provides basic steps for destroying temporary records that have reached their minimum retention period. For detailed information about disposal practices, refer also to the SRO Guideline: *Retention and Disposal Instructions*.

1. Apply the retention and disposal decisions to relevant records as per the relevant *General Disposal Authority* (GDA), *Sector Disposal Authority* (SDA) or agency specific *Disposal Authority* (DA). The GDAs and SDAs are available from the State Records Office (SRO) website. Agencies with a functional (agency specific) DA can download copies from ORDA (<https://orda.sro.wa.gov.au/>).
2. Identify records that have exceeded their minimum retention period and are due for destruction.
3. Generate a list of these records for review.
 

The SRO recommends that the following information is listed for each record:

  - File information – file title, file number, date range;
  - Disposal authority information – which GDA, SDA or DA is being used, specific category reference, retention and disposal action; and
  - Other reference information as required – date due for destruction, storage location, box number, notes field, etc.
4. Refer the list for review by the appropriate business area / unit / senior officer with knowledge of the subject matter or functions documented in the records. Appropriate officer/s are to indicate their approval (or otherwise) of the proposed destruction.
5. Documentation is then to be referred to the CEO (or approved delegate) for final written authorization of the records destruction.
6. Destroy those documents authorized for destruction. The destruction of State records must be done completely so that no information is retrievable.
7. If a third party is responsible for the destruction of the organization's records, a 'Certificate of destruction' is to be obtained.
8. Retain the list of destroyed records and certificates of destruction as evidence of the destruction. If the organization uses an electronic records management system, the records metadata must reflect the destruction and be retained.

**Notes:**

- i) The State Records Office (SRO) does not need to be notified of the destruction of the organization's records where destruction is conducted in accordance with a DA, GDA or SDA.
- ii) However, if records have been damaged beyond recovery (e.g. due to fire, flood, mould, pest damage etc.) and require destruction prior to the expiration of their minimum retention period, the SRO must be contacted prior to any disposal.

**Further information:** Please contact the Records Manager within your organization **OR** contact the State Records Office via email at [sro@sro.wa.gov.au](mailto:sro@sro.wa.gov.au).

State Records Office of Western Australia [www.sro.wa.gov.au](http://www.sro.wa.gov.au)

Information Management Advice from the State Records Office (SRO) aims to provide timely guidance to agencies regarding topical issues in information management. The SRO 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 SRO 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.

## Management and Preservation of the State's Archives

The State Archives Collection and State Archives held by other agencies provide evidence of government activities and its interaction with citizens. Access to State Archives supports a wide range of research needs, including family history, heritage, legal, scientific and other community purposes. The use and re-use of State archives by government agencies also provides ongoing support to the business of government.

A number of significant achievements in this area of business are highlighted elsewhere in this report.

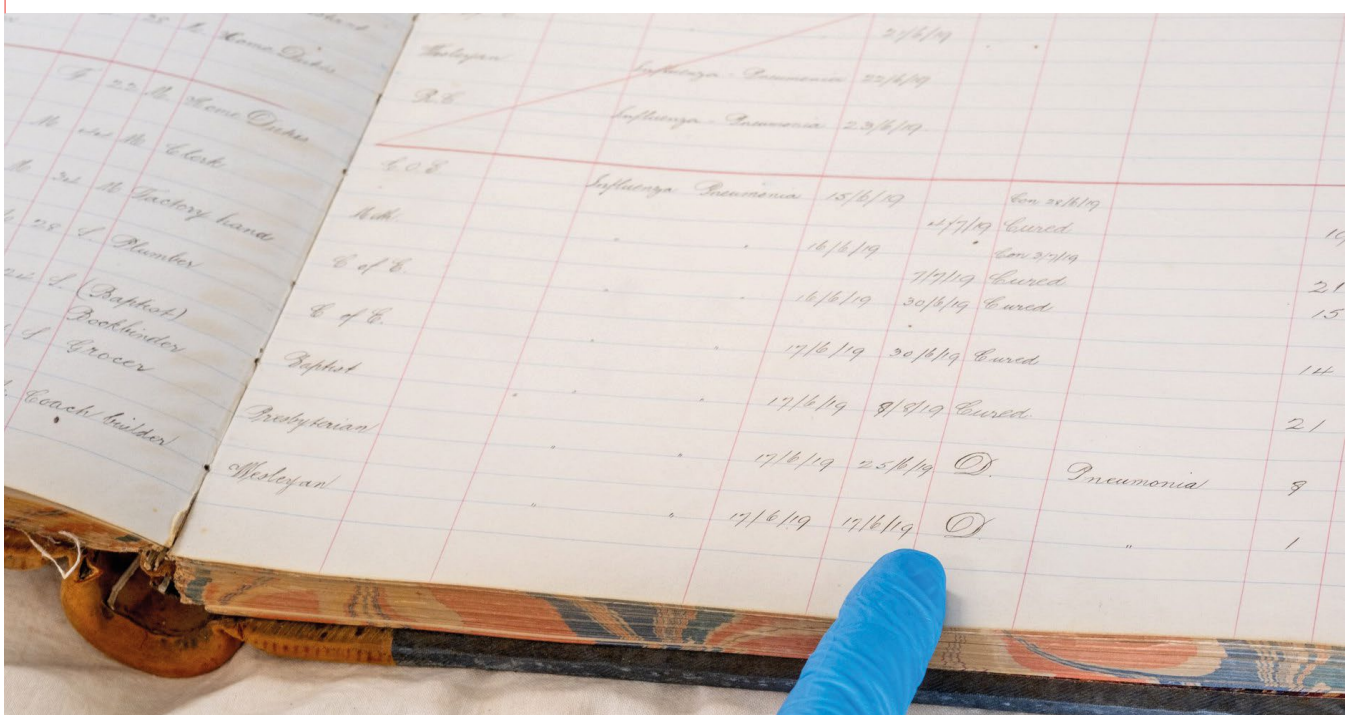
## Broadening Access to the State Archives Collection

In addition to highlights regarding new online resources and updated research space for State archives described elsewhere in this report, demand for digital delivery of information services continued to grow strongly in 2019-20.

A total of 69,068 online requests for digitisation of State archives were received by the SRO, compared with 30,128 in 2018-19. Online delivery of this service commenced in 2017-18 with 2,360 in that year.

Patient admission records for a quarantine centre in WA during the 1918-19 Influenza Pandemic. The records include occupation, religious affiliation and patient outcomes.

State archives reference: Cons 1090-1



Name	Religion	Admission Date	Outcome	Count
22 St Anne's District		2/6/19		
22 St Anne's District		22/6/19		
22 St Anne's District		23/6/19		
608	Influenza Pneumonia	15/6/19	Gen 20/6/19	
Adm.		17/6/19	Cured	19
6 of 6		16/6/19	Gen 20/19	
6 of 6		17/6/19	Cured	21
6 of 6		16/6/19	20/6/19 Cured	15
Baptist		17/6/19	20/6/19 Cured	14
Presbyterian		17/6/19	8/8/19 Cured	21
Methodist		17/6/19	25/6/19 D	
		17/6/19	17/6/19 D	9
			Pneumonia	9
				1



# 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).

The Committee considers the retention and disposal components of RecordKeeping Plans, a critical element of Recordkeeping Plans as required under the Act. The SRO leads and provides administrative support to the Committee and recommendations are presented to the Commission following each meeting.

During 2019-20, the Committee met on 25 July 2019 and 14 May 2020.

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 2019-20:

#### Chair of the Committee

Mr Damian Shepherd – Director State Records

#### Executive Secretary

Ms Lena Stekl – Recordkeeping Consultant, SRO

#### Minutes Secretary

Ms Gillian Hodson – Administrative Assistant, SRO

### Australian Society of Archivists

Ms Lesley Jolliffe  
(Deputy: Mr Tom Reynolds)

### Department of 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  
(Deputy: Ms Julie Coxall)

### Records and Information Management Professionals Australasia

Ms Suparna Chatterjee  
(Deputy: Ms Vicki Mills)

### State Government CEO Representative

Mr Mike Rowe  
(Deputy: Ms Terry Durant)

The Commission would also like to acknowledge the valuable contributions made by the following Committee representatives during 2019-20:

**Ms Maria Carvalho** – Australian Society of Archivists, Deputy

**Ms Rita Edwards** - Australian Society of Archivists, Member

**Mr Neil Foley** – Historical Interests, Member

**Ms Mimma Sardi** - Records and Information Management Professionals Australasia, Deputy

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

## Committee Remuneration 2019-20

Position	Name	Type of remuneration	Period of membership	Gross/actual remuneration
Member	Mr Robert O'Connor	Per meeting / half day	3 years	\$150
				<b>Total: \$150</b>

# Awards

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## 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 recognize excellence in annual reporting by public sector organizations. Since 2006, the Commission has sponsored a specialist Lonnie Award to acknowledge excellence in reporting about organizational records management programs.

The annual reports of all State government organizations were considered for this award, with an initial shortlist yielding the reports of 40 organizations. A final shortlist of ten reports was considered by a judging panel. The panel's evaluation of the annual report statements focussed on the compliance requirements of SRC Standard 2, Principle 6, as follows:

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

In January 2020, a judging panel shortlisted and assessed annual reports from State government agencies and selected a winner and commendation for the 2019 Award. The Award is customarily presented by a Commission representative at IPAA WA's annual W.S. Lonnie Awards ceremony; due to Covid-19 restrictions this ceremony has been postponed.

## Margaret Medcalf Award

The Margaret Medcalf Award is hosted by the SRO 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.

The judging selection criteria not only emphasize the presentation and the contribution to knowledge of nominated works, but also demand excellence in referencing and archival research, requiring judgements about the ease, or otherwise, of following the research trails of authors.

The Award for 2020 was still in the process of judging at the time of publication of this report.

# Vale - Dr Lise Summers

(18 December 1959 - 9 August 2019)



In August 2019, Dr Lise Summers, Senior Archivist at the State Records Office, passed away.

Lise was excited by ideas and was totally engrossed in her profession. The stereotypical view of an archivist is that of a slightly eccentric scholar with an encyclopedic knowledge working in a basement surrounded by dusty parchment. In Hollywood films, an archivist can locate a lost scroll with a treasure map at a moment's notice. In Lise's case, there was an element of truth to this fanciful stereotype.

While Lise was knowledgeable and passionate about history, as well as being able to preserve, access, discover and use archives, she was also deeply involved in modern archives theory - engaged with the fact that in the 21st century an archivist must deal with pixels, parchment and paper.

In many ways, her long career reflects the range and complexity of the work the SRO undertakes on behalf of the Commission. When the *State Records Act 2000* came into effect, Lise worked with government agencies to develop their initial recordkeeping plans, assisting them to develop their retention and disposal authorities. Subsequently her major roles at SRO included the provision of reference services to assist both public researchers and government agencies find what they wanted.

She was deeply involved in moving the SRO to a new catalogue in 2016, with a view to making archives more easily discoverable.

For many years Lise coordinated SRO's preservation program, as well as advising government agencies and community clients on preservation, disaster recovery, reformatting, copyright and referencing. She also worked with agencies to copy State archives for access or preservation. In doing so she helped transform the principal method of copying from microfilm to digital. She became active in assessing Australian and global developments in the area of digital preservation, especially in dealing with born digital records.

Over the last two decades society has undergone a massive digital and technological transformation. Lise was always exploring new concepts, new technologies, new systems and applications in order to consider how information can be created, accessed, managed, legally destroyed or preserved over time as permanent archives.

Lise commenced working at the State Records Office on 15 July 1998. Previously she had been a school archivist at Penrhos College (her alma mater), a Local Studies Librarian at the City of South Perth and a contract archivist with the State Library undertaking appraisal and arrangement and description of the Swan Brewery records, Bank Employees Union of WA and the Prinsep and Bussell family collections.

After joining the SRO, Lise gained a Masters degree in Local History, before completing a PhD from the University of Melbourne — 'From wasteland to parkland: a history of designed public open space in the City of Perth, Western Australia, 1829-1965' (2008). Her extensive use of the State archives collection was central to her thesis. She was highly skilled in helping other researchers understand what information they wanted and where it might be located within often complex finding aids.

Over many years Lise played an active part in external professional organizations, serving as Convener of the WA Branch of the Australian Society of Archivists and as President of the History Council, as well as undertaking several stints as a lecturer in archives and records at Curtin University. In 2018 she won the Mollie Lukis Award for her 'outstanding contribution to any aspect of appraising, collecting, arranging, preserving and making available materials which reflect the cultural heritage of Western Australia.'

Lise led an active and engaged life, enjoying travel with her family, constant reading, writing and engagement with ideas, and a passion for archives. She is survived by her husband and three daughters and will be greatly missed by all her colleagues, friends and family.

# Compliance Report – *State Records Act 2000*

PART or SECTION	NOTES
<b>Part 2</b> Record keeping plans for parliamentary departments	
Section 13 – Amending plans	No action required during 2019-20
Section 14 (2) – Review of plans	No action required during 2019-20

PART or SECTION	NOTES
<b>Part 3</b> Division 2	
Section 23(1) – approve or refuse to approve Record Keeping Plans	Approved 37 Record Keeping Plans.
Section 23(2) – give reasons for refusal to approve Record Keeping Plans	All approved



PART or SECTION	NOTES
<b>Part 3</b> Division 3	
Section 25 – Commission to have a plan	Current plan to be reviewed by 7 December 2023.
Section 26 – State Records Office to have a plan	<p>The Commission noted at its 7 December 2018 meeting that the SRO had reviewed its Plan and would submit an amended Plan by 20 December 2019.</p> <p>The SRO subsequently informed the Commission at its December 2019 meeting that it intended to use the revised draft Record Keeping Plan format and requested an extension to 31 July 2020 for submission.</p> <p>A new template for a Records Management Plan, along with the new draft <i>SRC Standard: State Records Management and Information Management Maturity Model</i> were released for external consultation in mid-June 2020. The SRO requested an additional extension until 30 October 2020, to utilize the new template.</p>
Section 27 – Schedule 3 organizations to have plan	<p>Busselton Water Corporation submitted a review report, alongside an amended Plan, to the Minister for Water on 19 September 2019. The amended Plan was approved by the Minister for Water on 31 October 2019.</p> <p>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.</p>

PART or SECTION	NOTES
<b>Part 3</b> Division 4	
Section 28(3) – the Commission may require an agency to review its Record Keeping Plan (discretionary)	None required.
Section 28(5) – five yearly review of all Record Keeping Plans	The Record Keeping Plans of 56 organizations were due for review during 2019 - 2020 (see <a href="#">Appendix 1</a> ).
Section 29(1) – give directions as to intervals for periodic reporting on Record Keeping Plans (discretionary)	Nil
Section 30(1) - give Parliament copies of reports received under section 29	Nil

PART or SECTION	NOTES
<b>Part 4</b>	
Section 32 - State archives to be transferred to the State Archives Collection	In 2019-20 the SRO accepted no emergency transfers of State archives from government organizations.

PART or SECTION	NOTES
<b>Part 5 Division 2</b>	
Section 37(2)(b) – restricted access archives identified	No action required.
Section 37(5) – Review of archives restricted under 37(2)(b)	No action required.
Section 38 (3) – change in restricted access period for records in the State Archives Collection	Nil

<b>Part 5 Division 3</b>	
Section 40(2) – approve or refuse to approve the Archives Keeping Plan	The SRO reviewed the Archives Keeping Plan and submitted a report of the review to the Commission at the 9 August 2019 meeting.  The SRO subsequently amended the Archives Keeping Plan, which was approved by the Commission at its 6 December 2019 meeting.
Section 40(3) – give reasons for refusal to approve the Archives Keeping Plan	None received.
Section 40(4) – direct time for resubmission of the Archives Keeping Plan refused approval under section 40(3)	None received.
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 or SECTION	NOTES
<b>Part 5</b> Division 4	
Section 43(3), (4) & (5) – deal with applications from the Director to destroy archives	Nil

PART or SECTION	NOTES
<b>Part 6</b>	
Section 48 - Archives containing exceptionally sensitive information	Nil

PART or SECTION	NOTES
<b>Part 8</b> Division 1	
Section 60(1)(a) – monitor the operation of and compliance with the Act	The Commission continues to rely on the Record Keeping Plan review cycle as the chief mechanism for ensuring agency compliance with the Act.
Section 60(1)(b) – monitor compliance by government organizations with Record Keeping Plans	SRO evaluated Record Keeping Plan review reports and amended Record Keeping Plans and results were reported to the Commission.

PART or SECTION	NOTES
<b>Part 8</b> Division 1 ( <i>continued</i> )	
Section 60(1)(c) – inquire into breaches or possible breaches of this Act	<b>19-20</b> <b>18-19</b>
	Active            9            5
	Resolved        6            2
Carried Forward    3            1	
	<b>17-18</b> <b>16-17</b>
	Active            3            4
	Resolved        2            2
Carried Forward    1            2	
Section 61 – establish principles and standards	No new record keeping principles and standards were issued during 2019-2020.
Section 62 – establish committees	The State Records Advisory Committee met twice during 2019-2020.  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 31 October 2019.  Copies were tabled in the Legislative Assembly and Legislative Council on 31 October and 19 November 2019 respectively.



PART or SECTION	NOTES
<b>Part 8</b> Division 1 ( <i>continued</i> )	
Section 64(2) and (3) – submit reports to Parliament re contraventions of the Act (discretionary)	Nil
Section 64(4) – give the Minister a copy of any report submitted to Parliament	Commission Annual Report delivered to the Minister on 1 November 2019.
<b>Part 8</b> Division 2	
Section 65(4) – include in annual report any policy directions given by the Minister	None issued.
Section 66(4) – comply with requests by the Minister for information and make facilities available	None received.

PART or SECTION	NOTES
<b>Part 8</b> Division 3	
Section 68 – Commission may request a government organization to report about its record keeping or an aspect of its record keeping	No requests issued.
<b>Compliance with SRC Standard 2, Principle 6</b>	<p>The SRO manages the Commission's records, and therefore its compliance with SRC Standard 2 Principle 6 is linked to the compliance of the SRO. The following action was taken this year to ensure the Commission's compliance:</p> <ul style="list-style-type: none"> <li>Although the Commission's RKP is not due for review until December 2023, the SRO has updated various policies and procedures to reflect changed practices in relation to management of correspondence.</li> <li>SRO's records management processes were included in a Departmental internal audit. Recommendations from this audit are being addressed through the actions outlined in the SRO Review Report.</li> <li>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.</li> </ul>

# Appendix 1

## Record Keeping Plans Required for Review and Received 1 July 2019 – 30 June 2020

AGENCY NAME	REVIEW DATE
Botanic Gardens and Parks Authority	7 Apr 2020
Bunbury Cemetery Board	20 Mar 2020
Bunbury Water Corporation (Aqwest)*	22 Sep 2019
Busselton Water Corporation*	22 Sep 2019
Chowrup Cemetery Board	18 Nov 2019
City of Canning	5 Dec 2019
City of Kalamunda	5 Dec 2019
City of Kalgoorlie – Boulder	1 Aug 2019
City of Melville	5 Dec 2019
City of South Perth	20 Mar 2020
City of Subiaco	20 Mar 2020
Coal Miners' Welfare Board of Western Australia	7 Apr 2020
Commissioner for Children and Young People	5 Dec 2019
Curtin University of Technology	1 Aug 2019
Economic Regulation Authority	5 Dec 2019
Fremantle Port Authority	1 Aug 2019
Goldfields Esperance Development Commission	20 Mar 2020
Insurance Commission of Western Australia	4 Dec 2019
Kimberley Development Commission	1 Aug 2019
Kimberley Ports Authority	5 Dec 2019
Minerals Research Institute of Western Australia	5 Dec 2019
Office of the Information Commissioner	5 Dec 2019
Office of the Inspector of Custodial Services	5 Dec 2019
Pilbara Ports Authority	20 Mar 2020
Public Sector Commission	4 Dec 2019
Rivers Regional Council	20 Mar 2020

AGENCY NAME	REVIEW DATE
Shire of Augusta-Margaret River	20 Mar 2020
Shire of Beverley	5 Dec 2019
Shire of Broomehill Tambellup	20 Mar 2020
Shire of Capel	4 Dec 2019
Shire of Carnarvon	20 Mar 2020
Shire of Chapman Valley	7 Apr 2020
Shire of Dardanup	20 Mar 2020
Shire of East Pilbara	1 Aug 2019
Shire of Exmouth	5 Dec 2019
Shire of Harvey	20 Mar 2020
Shire of Irwin	20 Mar 2020
Shire of Katanning	20 Mar 2020
Shire of Kent	18 Jun 2020
Shire of Manjimup	7 Apr 2020
Shire of Menzies	20 Mar 2020
Shire of Moora	1 Aug 2019
Shire of Morawa	5 Dec 2019
Shire of Mundaring	5 Dec 2019
Shire of Pingelly	7 Aug 2020
Shire of Toodyay	1 Aug 2019
Shire of Victoria Plains	2 Oct 2019
Shire of Westonia	7 Apr 2020
Shire of Wyalkatchem	1 Aug 2019
Shire of Yilgarn	20 Mar 2020
Small Business Development Corporation	1 Aug 2019
South Metropolitan Health Service	20 Mar 2020
Water Corporation*	17 Sep 2019
Western Australian Energy Disputes Arbitrator	5 Dec 2019
Western Australian Treasury Corporation	5 Dec 2019
Western Metropolitan Regional Council	20 Mar 2020

\* Review submitted to a body other than the Commission

# Appendix 2

## New Organizations required to submit Record Keeping Plans on or before 30 June 2020

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AGENCY NAME	DUE DATE	SUBMISSION DATE
Infrastructure Western Australia	24 Jan 2020	23 Jan 2020


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# Appendix 3

## Record Keeping Plans due for Review 1 July 2020 – 30 June 2021

AGENCY NAME	REVIEW DATE
Animal Resources Authority	15 Sep 2020
Child and Adolescent Health Service	26 Nov 2020
City of Fremantle	10 Mar 2021
City of Joondalup	26 Nov 2020
City of Karratha	7 Aug 2020
Eastern Metropolitan Regional Council	7 Aug 2020
Electricity Networks Corporation (Western Power)*	3 Mar 2021
Government Employees Superannuation Board	10 Mar 2021
Great Southern Development Commission	10 Mar 2021
Health and Disability Services Complaints Office	10 Mar 2021
Legal Practice Board of Western Australia	26 Nov 2020
Mid West Development Commission	15 Sep 2020
North Metropolitan Health Service	7 Aug 2020
Office of the Appeals Convenor	10 Mar 2021
Parliamentary Commissioner for Administrative Investigations (Ombudsman Western Australia)	26 Nov 2020
Parliamentary Inspector of the Corruption and Crime Commission	10 Mar 2021
Peel Development Commission	26 Nov 2020
Shire of Ashburton	10 Mar 2021
Shire of Boddington	10 Mar 2021
Shire of Bridgetown Greenbushes	7 Aug 2020
Shire of Carnamah	19 Nov 2020
Shire of Cue	7 Aug 2020
Shire of Kojonup	26 Nov 2020
Shire of Lake Grace	7 Aug 2020
Shire of Merredin	26 Nov 2020
Shire of Mingenew	7 Aug 2020
Shire of Ngaanyatjaraku	10 Mar 2021
Shire of Perenjori	15 Sep 2020

AGENCY NAME	REVIEW DATE
Shire of Pingelly	7 Aug 2020
Shire of Ravensthorpe	26 Nov 2020
Shire of Sandstone	7 Aug 2020
Shire of York	10 Mar 2021
Southern Ports Authority	7 Aug 2020
Town of Claremont	7 Aug 2020
Western Australian Land Information Authority (Landgate)	7 Aug 2020
Western Australian Meat Industry Authority	7 Aug 2020
Wheatbelt Development Commission	7 Aug 2020
Zoological Parks Authority (Perth Zoo)	26 Nov 2020

 = received during the 2019-20 reporting period

\* Review submitted to a body other than the Commission



# Appendix 4

## Disposal Authorities status during 2019-20

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

AGENCY NAME	TYPE OF DISPOSAL AUTHORITY	STATUS
Art Gallery of Western Australia	R&D	Approved 9 August 2019
ChemCentre	R&D	Approved 9 August 2019
Corruption and Crime Commission	R&D	In progress
Department of Education - School, College and Campus Records	R&D	In progress
Department of Education and other Education agencies	R&D	In progress
Disposal list for the Department of Education / Weld Square Primary School	DL	Approved 9 August 2019
Department of Finance	R&D	In progress*
Department of Justice	R&D Amendment	In progress
Department of Transport	R&D	In progress
Department of Treasury	R&D	Approved 9 August 2019
Department of Mines, Industry Regulation and Safety - Energy Policy WA	R&D	In progress
Equal Opportunity Commission	R&D Amendment	Approved 6 December 2019
General Disposal Authority for Local Government Records	GDA	In progress
General Disposal Authority for State Government Information	GDA	In progress
Gold Corporation	R&D	In progress
Health Service Providers	SDA	In progress
Insurance Commission of Western Australia	R&D	In progress*
Local Health Authorities Analytical Committee	R&D	In progress
National Trust of Australia (WA)	R&D	In progress
Office of the Auditor General - Amendment	R&D Amendment	Approved 6 December 2019
Parliamentary Services Department	R&D	In progress*
Patient Information Retention and Disposal Schedule	R&D	In progress
Public Transport Authority	R&D	Approved 9 August 2019
State Records Office of Western Australia	R&D	In progress
State Solicitor's Office	R&D	In progress
Western Australia Universities	SDA	In progress
Western Australian Institute of Sport	R&D	In progress
Western Australian Museum	R&D	In progress
Western Power	R&D	In progress
WorkCover WA	R&D	In progress
Zoological Parks Authority	R&D	In progress

\* Disposal Authority endorsed by the State Records Advisory Committee during the reporting period, awaiting Commission approval.

### Type of Disposal Authority

**R&D**  
**GDA**

Retention and Disposal Schedule  
General Disposal Authority

**SDA**  
**Ad Hoc**  
**DL**

Sector Disposal Authority  
Ad Hoc Disposal Authority  
Disposal List

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 2019-20 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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