LEGISLATIVE COUNCIL

RECORDKEEPING PLAN 2012

RKP 2012039
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## List of Abbreviations

<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Description</th>
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</thead>
<tbody>
<tr>
<td>Act</td>
<td><em>State Records Act 2000</em></td>
</tr>
<tr>
<td>Department</td>
<td>Department of the Legislative Council</td>
</tr>
<tr>
<td>Department Recordkeeping Plan</td>
<td><em>Legislative Council Recordkeeping Plan 2012</em></td>
</tr>
<tr>
<td>R&amp;DS</td>
<td><em>Legislative Council Retention and Disposal Schedule for Functional Records (RD 2009057)</em></td>
</tr>
<tr>
<td>H&amp;ARP</td>
<td>Historical and Archived Records Project</td>
</tr>
<tr>
<td>KAAA</td>
<td><em>Parliamentary Thesaurus (Legislative Council and Parliamentary Services Department)</em></td>
</tr>
<tr>
<td>Objective eDRMS</td>
<td>Objective electronic Document and Records Management System</td>
</tr>
<tr>
<td>POWAnet</td>
<td>Parliament of Western Australian internal intranet site</td>
</tr>
<tr>
<td>PSD</td>
<td>Parliamentary Services Department</td>
</tr>
<tr>
<td>SRC</td>
<td>State Records Commission</td>
</tr>
<tr>
<td>SRO</td>
<td>State Records Office</td>
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CHAPTER 1
INTRODUCTION

1.1 This document is presented to the President of the Legislative Council in accordance with Section 14 of the State Records Act 2000 (Act). Section 14 (2) of the Act requires that no more than 5 years must elapse between approval of a parliamentary department’s Recordkeeping Plan and its review.

1.2 State Records Commission (SRC) Standard 1 – Government Recordkeeping requires that government organisations ensure that records are created, managed and maintained over time and disposed of in accordance with principles and standards issued by the SRC. SRC Standard 2 – Recordkeeping Plans comprises six recordkeeping principles each of which contains minimum compliance requirements. The Department of the Legislative Council (Department) must adhere to these Standards in accordance with Section 12 (3) of the Act.

1.3 The purpose of a parliamentary department’s Recordkeeping Plan is to set out the matters about which records are to be created by the parliamentary department and how it is to keep its records. The Recordkeeping Plan is to provide an accurate reflection of the recordkeeping program within the parliamentary department, including information regarding the parliamentary department’s policies, practices and processes. The Recordkeeping Plan is the primary means of providing evidence of compliance with the Act and implementation of best practice recordkeeping with the parliamentary department.

1.4 The objectives of the Department Recordkeeping Plan are to ensure:

- compliance with Section 14 of the Act;
- recordkeeping within the Department is moving towards compliance with SRC Standards and Records Management Standard AS ISO 15489;
- processes are in place to facilitate the complete and accurate record of business transactions and decisions;
- recorded information can be retrieved quickly, accurately and cheaply when required; and
- the protection and preservation of the Department’s records.

1.5 In accordance with Section 15 of the Act, the Department and all of its employees are legally required to comply with the contents of this Plan.
1.6 This Recordkeeping Plan applies to:

- every relevant member of Parliament;¹
- the Clerk and Deputy Clerk of the Legislative Council;
- every person employed in the Department; and
- every person engaged to provide services to the Department.

1.7 This Recordkeeping Plan supersedes RKP 2007034 and applies to all records created or received by any of the above parties regardless of:

- physical format;
- storage location; or
- date created.

1.8 For the purposes of the Recordkeeping Plan, a record is defined as meaning “any record of information however recorded and includes:

a) any thing on which there is writing or Braille;

b) a map, plan, diagram or graph;

c) a drawing, pictorial or graphic work, or photograph;

d) any thing on which there are figures, marks, perforations, or symbols, having meaning for persons qualified to interpret them;

e) anything from which images, sounds, or writings can be reproduced with or without the aid of anything else; and

f) any thing on which information has been stored or recorded, either mechanically, magnetically or electronically.”²

¹ Members rarely handle Department records. Legislative Assembly members may be captured if, for example, they work on a Parliamentary Committee administered by the Department.

² Section 3 (1) State Records Act 2000.
CHAPTER 2
PRINCIPLE ONE: PROPER AND ADEQUATE RECORDS

HISTORICAL BACKGROUND

2.1 The Legislative Council was Western Australia’s first governing and legislative body and met for the first time on the 7th February 1832, less than three years after the first British settlers arrived. Originally, the Legislative Council consisted of five appointed members and was presided over by the Governor of the colony.

2.2 Representative Government was first established in Western Australia with the Legislative Council in 1870 comprising 18 Members; with 12 elected and six nominated.

2.3 In 1890, Western Australia gained self-government in most domestic matters. The Legislative Assembly was established and the Legislative Council was re-constituted as the upper House of the colony's Parliament.

2.4 Since 1890, there have been various reforms in the constitution and method of election of members of the Legislative Council. Today, the Council comprises 36 members elected from 6 multi-member, regional electorates. Members of the Council are elected for a fixed term of 4 years. In the most recent elections, held in September 2008, members were elected from 4 political parties, which is an indication that the Council increasingly reflects the political diversity of the people of Western Australia.

2.5 The Legislative Council plays an important role in the governance of Western Australia. Although the Government is formed in the Legislative Assembly, regardless of the composition of the Council, laws can only be made with the approval of both Houses. The Council is therefore often called a House of Review, although the review of Government action is only one of the Council’s functions. In the performance of its functions, the Council exercises most of the same powers as the Legislative Assembly, but has some limitations in respect of its ability to introduce or amend certain financial legislation.

MISSION STATEMENT

2.6 To pursue excellence in supporting the Legislative Council.

STRATEGIC FOCUS

2.7 The Department of the Legislative Council operates via four functional areas, each with its own primary goal, which together form the Department’s strategic focus:
Executive Services

To provide high quality executive leadership and strategic management to the Department of the Legislative Council.

Procedural Services

To deliver comprehensive, accurate and timely advice, training and support in relation to parliamentary procedure, practice and privilege to the Legislative Council, its members and committees.

Administrative Services

To provide efficient, structured and systematic administrative services to support the operations of the Department of the Legislative Council and the Legislative Council, its members and committees.

Committee Services

To provide high quality and pro-active advice, research, administrative and executive services to parliamentary committees which are served by the Department of the Legislative Council.

BUSINESS ACTIVITY

2.8 The Legislative Council’s principal roles and functions are to:

a) approve government finance;

b) monitor and scrutinise government administration and expenditure;

c) propose and consider legislation; and

d) represent the people of Western Australia by providing a forum to consider and debate important matters.

2.9 The Department of the Legislative Council (Department) supports the members in carrying out these functions.

OUTSOURCED FUNCTIONS

2.10 The Department does not outsource any of its core functions and any supporting tasks that are outsourced are managed by the Parliamentary Services Department (PSD).
The PSD is subject to the joint direction and control of the Presiding Officers of the Legislative Council and Legislative Assembly. The PSD provides specialist support and advice in areas such as financial and human resource management, manages the building and information technology infrastructure and is responsible for ensuring that parliamentary facilities meet the requirements of users.

PSD units include:

- Building Services;
- Catering Services;
- Finance;
- Human Resources;
- Information Technology;
- Library;
- Reporting Services (Hansard); and
- Security.

Certain records of the Department are managed by units of the PSD. In some cases, the relationship between the Department and PSD could be characterised as a business relationship. For example, the Department uses the services of the PSD Catering unit and is invoiced accordingly.

In some cases, the PSD units create and manage records which ultimately belong to the Department. For example, Departmental financial records and human resource records (including recruitment and staff files) are held and managed for their life cycle by the relevant PSD unit. These records remain the property of the Department, and are available to the Department at any time. The Clerk of the Department signs relevant disposal authorisation forms for these records in accordance with paragraph 6.17 below.

In other cases, the relationship is more interdependent. For example the three parliamentary departments work together to decide the structure of information technology infrastructure (on advice of the experts within the IT unit). The IT unit carries out management of the website, metadata, systems security and migration strategies based on these agreements. The related records are managed and held by the IT unit and available to the Department for review.
MAJOR STAKEHOLDERS

2.16 The Department’s major stakeholders are:

• members;
• staff;
• government agencies; and
• the wider community.

ENABLING LEGISLATION

2.17 The Legislative Council was established under the following Act:

• Constitution Act 1889.

2.18 It also operates in accordance with the following legislation:

• Constitution Act Amendment Act 1890;
• Members of Parliament (Financial Interests) Act 1992;
• Parliamentary Papers Act 1891;
• Parliamentary Privileges Act 1891;

OTHER LEGISLATION

2.19 The Department does not administer any legislation.

2.20 Other legislation affecting the functions and operations of the Department includes:

• Commonwealth of Australia Constitution Act 1900;
• Criminal Code 1913;
• Electoral Act 1907;
• Electronic Transactions Act 2011;
• Evidence Act 1906;
• Financial Management Act 2006;
• *Interpretation Act 1984*;

• *Parliamentary Superannuation Act 1970*;

• *Salaries and Allowances Act 1975*;

• *State Records Act 2000*.

**MAJOR GOVERNMENT POLICY AND / OR INDUSTRY STANDARDS**

2.21 The following government and industry standards and codes of practice have been imposed upon or adopted by the Department and the PSD:

• Australian Records Management Standard ISO/AS 15489-2002 Parts 1 and 2;

• Australian Accounting standards;

• National Competition Policy;

• State Records Commission Principles and Standards 2002;

• Australian International Financial Reporting Standards or AIFRS;

• WA Government Purchasing Guidelines and Common Use Contracts;

• All Australian Building Codes;

• Hazard Analysis Critical Control Point (Food Health and Safety) Standards;

• Western Australian Government OSH Code of Practice;

• Risk Management Planning (in accordance with Risk Cover guidelines which are based on Australian Standards); and

• WA Government Policy and Premier’s Instructions are noted.
CHAPTER 3
PRINCIPLE 2: POLICIES AND PROCEDURES

RECORDS MANAGEMENT SYSTEMS

3.1 The following is an outline of the current Legislative Council records management systems.

Automated

3.2 The Legislative Council uses an automated Objective electronic Document and Records Management System (Objective eDRMS) to manage its records and store its electronic documents and objects.

Paper based and electronic hybrid system

3.3 The Department operates a hybrid system of electronic and hard copy records. It relies on its hard copy records for official records, but keeps electronic records on a permanent basis for searching purposes. See paragraph 3.25 below.

Implementation of current records management system

3.4 In 2009 the Department changed its file titling system (four separate file lists over the four Departmental divisions) to a single Keyword AAA thesaurus with agreed functional terms (KAAA). The Department worked with PSD and share the one thesaurus and management tools.

3.5 The Department also drafted and implemented its first Retention and Disposal Schedule (Legislative Council Retention and Disposal Schedule for Functional Records (RD 2009057) (R&DS)) and began a project to assess all archives in accordance with the R&DS and process any inactive records that could now legally be destroyed.

3.6 The Objective eDRMS was implemented in 2010 and represented a major change in both electronic and hard copy records management for the Legislative Council. Previously, electronic documents were stored on a server drive using the replaced semi-controlled file list and a hard copy file list was kept in a Lotus Notes database.

Management of changes to records systems

3.7 The Department employed consultants to help in both the drafting of the KAAA and the R&DS. The same consultants provided training and implementation support and ongoing advice on the use of the KAAA.
3.8 The implementation of the Objective eDRMS was a major project managed by a team comprising representatives from each Parliamentary Department (Legislative Council, Legislative Assembly and Parliamentary Services Department), relevant officers from the Parliamentary Services Department’s Information Technology Unit and Objective.

3.9 Training was provided to all staff and Objective staff attended the Legislative Council for three working days after migration to help staff with initial user queries.

3.10 See Appendix 1: Recordkeeping Procedure 1: Introduction to Legislative Council Recordkeeping for an overview of Department recordkeeping systems.

RECORDS MANAGEMENT POLICIES

3.11 The Department is committed to making and keeping full and accurate records of the business transactions and activities of the Legislative Council. Records created and received by Departmental employees and contractors, irrespective of format, are to be managed in accordance with these policies and procedures.

3.12 All employees and contractors will ensure that full and accurate records are created to provide evidence of business transactions and decisions.

Responsibility

3.13 The Clerk is responsible for ensuring that there is a system for the maintenance and management of Legislative Council records that is compliant with the State Records Act 2000. The Clerk also ensures that no records are disposed of except in accordance with an approved records retention and disposal authority.

3.14 All senior staff within the Department are responsible for ensuring their functional area is complying with the Department Recordkeeping Plan.

3.15 The creation and management of the Legislative Council’s records is coordinated by the Usher of the Black Rod.

3.16 All Department staff will create and receive records relating to the business activities they perform and are required to:

• make records to document and support business activities;
• ensure that records are captured and registered into the recordkeeping system; and
• ensure that records are secure at all times.

3.17 Department staff must not:
• hold records in informal or uncontrolled files that are not registered in the recordkeeping system;

• delete, destroy or alter records without proper authority;

• remove official records from the Department without permission; or

• lose, misuse or pass records to an unauthorised person.

Security and access to records

3.18 The Department, in partnership with the PSD Building Services Unit, is responsible for the security and protection of all hard copy records in its custody. Records will be maintained in a safe and secure environment ensuring their usability, reliability, authenticity and preservation for as long as they are needed.

3.19 The Department, in partnership with the PSD Information Technology Unit, is responsible for the security and protection of all electronic records in its custody. Records will be maintained in a safe and secure environment ensuring their usability, reliability, authenticity and preservation for as long as they are needed. See the PSD’s Recordkeeping Plan for further information regarding security of electronic records.

3.20 Access to Legislative Council records by employees, contractors and members will be in accordance with appropriate security and access classifications. Access to Legislative Council records by the general public requires the prior permission of the Clerk.

Correspondence creation, capture and distribution

3.21 All employees will ensure that all incoming and outgoing correspondence is accurately captured, classified and filed or distributed to the appropriate responsible person for capture, classification and filing. (See Appendix 1: Recordkeeping Procedure 2: Mail Management and Distribution.)

Digitization

3.22 See paragraphs 3.25 to 3.26 below.

File creation and closure

3.23 Responsible staff will create files ensuring they are accurately captured and classified. Files will be closed by responsible staff in accordance with set time frames or triggers as appropriate with correct dispositions attached. (See Appendix 1: Recordkeeping Procedure 4: Create a New File and Recordkeeping Procedure 5: Close a File.)
Authorised disposal of temporary records

3.24 Disposal of Legislative Council records will be in accordance with an approved retention and disposal authority, or State Records Office (SRO) General Disposal Authority and following authorisation from the Clerk as appropriate. (See CHAPTER 6: Retention and Disposal and Appendix 1: Recordkeeping Procedure 9: Destroy Records.)

Electronic records management

3.25 The Legislative Council acknowledges the SRC Standard 8 – Digital Recordkeeping and General Disposal Authority for Source Records 2009027, but at this stage relies on its paper-based records for the following reasons:

- there are various pieces of legislation and subsidiary legislation such as the Legislative Council’s Standing Orders which place an obligation on the Clerk to keep hard copy records, and which do not acknowledge the SRC’s standards and policies;

- the Department is unsure whether resources to properly migrate records ensuring they are available through progressive generations of technology will always be available; and

- at this stage, the Department does not have a suitable migration policy, or related procedures for the long term storage of electronic records.

3.26 Until the Department can either have legislation/Standing Orders amended or receive legal opinion regarding whether use of SRC policies and standards overcome its obligations in regard to the first point, and can properly address the last two points, it will continue to print and file all non-ephemeral records.

3.27 The Department nevertheless relies heavily on its electronic records. Electronic records will be captured, classified and filed in the records management system and migrated through upgrades to technology as appropriate. The Department currently keeps, and migrates, all electronic versions of permanent Parliamentary Committee records and Chamber Minutes, Minutes Indexes and Tabled Papers Indexes.3

3.28 Electronic information is managed in accordance with a whole of Parliament Electronic Information Policy - HRP011. (See Appendix 2.) This policy includes guidance regarding inappropriate use of electronic information whilst connected through the Department’s computer network. Whole of Parliament policies are available on the Parliament’s intranet site (POWAnet) under Parliament/Policies and Parliament/Records Management.

3 Email from Nigel Lake, Deputy Clerk, 9/11/2010.
Email management

3.29 Emails are to be managed in accordance with the whole of Parliament Electronic Mail (Email) Policy – HRP017. (See Appendix 2.) This policy includes procedures and guidelines for dealing with emails. Whole of Parliament policies are available on the POWAnet under Parliament/Policies and Parliament/Records Management.

Website management

3.30 Responsible staff will ensure that Departmental information on the Parliament’s website is accurate and current.

3.31 The Parliament’s website is managed on the Department’s behalf by the Information Technology Unit of the PSD. See the PSD’s recordkeeping plan for further information regarding management of the site.

Metadata management

3.32 The Objective eDRMS automatically captures certain system metadata; templates used to produce Chamber and Parliamentary Committee documents prompt for functional metadata and the Objective eDRMS prompts for some metadata. Responsible staff will ensure that metadata is accurately recorded when prompted or when pertinent changes are made.

Systems management

3.33 The Parliament’s systems are managed by the Information Technology Unit of the PSD. See the PSD’s recordkeeping plan for further information regarding management of the site.

Migration strategy

3.34 The Parliament’s systems are upgraded in accordance with set timelines triggered by the Information Technology Unit of the PSD’s budget process. See the PSD’s recordkeeping plan for further information regarding timed upgrade migration strategies. Major migrations from one system to another are carried out by agreement of the three parliamentary departments. Ad hoc migrations via agreement are managed on a case by case basis.

Records Management Procedures

3.35 See Appendix 1: Legislative Council Recordkeeping Procedures, for supporting procedures.
CERTIFICATION OF POLICIES AND PROCEDURES

3.36 Department recordkeeping policies are incorporated in this chapter above. They are certified by the formal presentation of this document by the Clerk to the President and the President’s approval of the plan. The Recordkeeping Plan are published on the POWAnet under Legislative Council/Department/Policies and Parliament/Records Management/Parliamentary Departments’ Record Keeping plans/Legislative Council.

3.37 Whole of Parliament recordkeeping policies are signed by each Departmental head and published on the POWAnet under Parliament/Policies and Parliament/Records Management/Policies. (See Appendix 2 for Whole of Parliament Recordkeeping Policies.)

3.38 Department recordkeeping procedures are signed-off by the Clerk of the Legislative Council when updated. Procedures are published on the Objective eDRMS under Information Management / Procedures / Records and on the POWAnet under Legislative Council / Department / Policies and Procedures.

EVALUATION OF POLICIES AND PROCEDURES

3.39 The recordkeeping policies and procedures for the Department cover all categories identified in Principle 2 or the SRC Standard 2 and are assessed as operating efficiently and effectively across the Department.
CHAPTER 4
PRINCIPLE 3: LANGUAGE CONTROL

**KEYWORD AAA THESAURUS IMPLEMENTED**

4.1 The Department, in conjunction with the PSD, adopted and implemented the Keyword AAA (KAAA) thesaurus for the titling of records in February 2009.

4.2 A version of KAAA restricted to relevant terms was adopted for administrative records and functional terms were created and merged into the thesaurus. Uniform titling of records is now adopted across the Department and PSD. (See Appendix 3: Legislative Council and PSD KAAA Thesaurus Classification View.)

**KEYWORD AAA TOOLS AND PROCESS FOR CHANGE**

4.3 The Department adopted One-2-One software for the management of the thesaurus and in order to publish both Classification and Alphabetical views of the thesaurus. Shortly after the adoption of KAAA an online interactive version was made available to all staff via the POWAnet. The online version has a search facility and includes all scope notes:

![Figure 1: example of interactive KAAA Thesaurus on POWAnet](image)

**Process for updating the thesaurus**

4.4 A ‘change management’ process was adopted for amendments that may need to be made to the thesaurus over time. Staff submit changes to their Departmental
representative on the Information Management Committee. The change request is forwarded to the Thesaurus subcommittee. The outcome is reported back to the staff member who made the request, the thesaurus is amended and the change is published on the POWAnet:

![Change Request form for KAAA Thesaurus](image)

**Figure 2: Change Request form for KAAA Thesaurus**

4.5 A number of changes were requested, and some adopted, when the thesaurus was first implemented, but no requests have been received since those initial changes.

**ASSESSMENT OF THE KAAA THESAURUS’ EFFECTIVENESS**

4.6 The merged thesaurus operates well within the Department. It covers both administrative and functional activities of the Department, is available for use by all staff and information can be found and filed without difficulty, once basic training explaining KAAA logic has been undertaken.

4.7 As outlined above, the thesaurus will be adjusted to reflect changes to functions and activities over time.

4.8 The functional areas of the thesaurus are reflected in the new R&DS, and thus an understanding of the thesaurus translates to use of the R&DS, strengthening records management of the Department.

**IDENTIFIED AREAS FOR IMPROVEMENT**

4.9 The Department, or more particularly, the Parliament, is in need of a trained Records Manager who can advise on all things related to records management. This is
particularly crucial in language control, where consistency in the use of the thesaurus is essential to finding records into the future.

4.10 Currently each Department manages queries at a local level where staff who have more knowledge, training and interest in records are identified, and other staff directed to them for advice. The Department currently has no staff member with tertiary records management training.

4.11 Applications for a Records Manager have been made through the budget process and the Department and PSD will continue to seek funds to create this position.
CHAPTER 5
PRINCIPLE 4: PRESERVATION

RISK MANAGEMENT OF DEPARTMENT RECORDS

5.1 Listed below are the records required to run the Department. They are listed in order from vital – those records required for the Legislative Council to meet in the case of an emergency, through to less immediately important State archives. Those rows coloured in yellow represent the vital records of the Legislative Council and serve as the Department’s Vital Records Plan.

5.2 The first table provides reasons for the classification given to records, which in turn impacts the order they are listed.

Reasons for Classification Status

<table>
<thead>
<tr>
<th>Classification</th>
<th>Reason</th>
</tr>
</thead>
<tbody>
<tr>
<td>Operate</td>
<td>to operate the LC during a disaster (established during Business Impact Analysis)</td>
</tr>
<tr>
<td>Functions</td>
<td>to re-establish the LC’s functions after a disaster</td>
</tr>
<tr>
<td>Contracts</td>
<td>contracts/agreements that prove ownership of property, equipment, vehicles, products</td>
</tr>
<tr>
<td>Current</td>
<td>records about the operation of the agency, such as current or un-audited accounting and tax records, current personnel and payroll records</td>
</tr>
<tr>
<td>Procedures</td>
<td>standard operating procedures</td>
</tr>
<tr>
<td>Control Docs</td>
<td>control documentation (registers, indexes, metadata repositories) for the agency’s records and recordkeeping systems</td>
</tr>
<tr>
<td>Electronic</td>
<td>data critical to the reconstitution of the agency’s electronic records</td>
</tr>
<tr>
<td>Permanent</td>
<td>records assigned ‘A - Archive - Transfer to State Records Office’ or ‘AO - Archive in Organisation’ disposition value in the LC Retention and Disposal Schedule, or ‘A = Archive’ disposal action in any of the SRO General Disposal Authorities</td>
</tr>
</tbody>
</table>

Abbreviations used

<table>
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<tr>
<th>Acronym</th>
<th>Name</th>
<th>Acronym</th>
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<td>Department</td>
<td>Department of the Legislative Council</td>
<td>POWA</td>
<td>Parliament of Western Australia</td>
</tr>
<tr>
<td>DPC</td>
<td>Department of the Premier and Cabinet</td>
<td>POWAnet</td>
<td>Parliament of Western Australia intranet site</td>
</tr>
<tr>
<td>DTF</td>
<td>Department of Treasury and Finance</td>
<td>PSD</td>
<td>Parliamentary Services Department</td>
</tr>
<tr>
<td>LA</td>
<td>Legislative Assembly</td>
<td>SLP</td>
<td>State Law Publisher</td>
</tr>
<tr>
<td>LCCO</td>
<td>Legislative Council Committee Office</td>
<td>SLWA</td>
<td>State Library of Western Australia</td>
</tr>
<tr>
<td>PCO</td>
<td>Parliamentary Counsel’s Office</td>
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*State Records of South Australia, Records Management Disaster Planning, Government of South Australia, June 2007, p28.*
<table>
<thead>
<tr>
<th>Record / Report / Form / Documentation</th>
<th>Required within</th>
<th>Responsibility</th>
<th>Reason</th>
<th>Location of Original</th>
<th>Protection for Original’s Storage / Risk Rating</th>
<th>Location of Back-up</th>
<th>Protection for Back-up’s Storage</th>
<th>Location of further copies</th>
<th>Frequency of Updates</th>
</tr>
</thead>
<tbody>
<tr>
<td>Standing Orders</td>
<td>20 Days</td>
<td>Procedure Office</td>
<td>Operate</td>
<td>Procedure Office</td>
<td>Parliament security (see para 5.11 - 5.16)</td>
<td>Chamber; Procedure Office; LCCO; Parliamentary Library; Hansard; SLWA (3 copies); DPC; DTF; National Library; other Australian Parliaments</td>
<td>Various</td>
<td>Objective eDRMS: Parliamentary Procedure / Procedures / Standing Orders/ Standing Orders</td>
<td>Irregular</td>
</tr>
<tr>
<td>Parliamentary Law: Acts relating to Parliament, Rulings, Precedents, Custom and Practice, Eskine May, Odgers, McGee</td>
<td>10 Days</td>
<td>Procedure Office</td>
<td>Functions</td>
<td>Procedure Office</td>
<td>Parliament security (see para 5.11 - 5.16)</td>
<td>Table Officers, LA</td>
<td>Parliament security (see para 5.11 - 5.16)</td>
<td>Objective eDRMS, SLP, bookshop</td>
<td></td>
</tr>
<tr>
<td>Bills (including Explanatory Memorandums and 2nd Readings of Minister)</td>
<td>20 Days</td>
<td>Administration Office</td>
<td>Operate</td>
<td>Administration Office</td>
<td>Parliament security (see para 5.11 - 5.16)</td>
<td>SLP, LA</td>
<td>Various</td>
<td>POWA Lotus Notes database</td>
<td>Various</td>
</tr>
<tr>
<td>Acts</td>
<td>20 Days</td>
<td>Administration Office</td>
<td>Operate</td>
<td>Administration Office</td>
<td>Parliament security (see para 5.11 - 5.16)</td>
<td>SLP, PCO; LA</td>
<td>Various</td>
<td>SLP website</td>
<td>Various</td>
</tr>
<tr>
<td>Hansard: Current Parliament (including Parliamentary Questions - answered)</td>
<td>20 Days</td>
<td>Administration Office</td>
<td>Operate</td>
<td>Hansard OR locked cabinets around Chamber</td>
<td>Parliament security (see para 5.11 - 5.16)</td>
<td>LCCO, LA, Parliamentary Library, SLWA, other Australian Parliaments</td>
<td>LCCO security (see para 5.16 - 5.19), Parliament security (see para 5.11 - 5.16)</td>
<td>POWA Lotus Notes database, SLP</td>
<td>At end of each sitting day</td>
</tr>
<tr>
<td>Hansard: Previous Parliaments</td>
<td>20 Days</td>
<td>Administration Office</td>
<td>Operate</td>
<td>Bound Volumes in locked cabinets around Chamber</td>
<td>Parliament security (see para 5.11 - 5.16)</td>
<td>Bound Volumes in offsite storage - Recall or ArchiveWise</td>
<td>Recall (see para 5.25 - 5.26) or ArchiveWise (see para 5.27 - 5.31)</td>
<td>LA, SLWA, from 1997 POWA Lotus Notes database</td>
<td>Published at the end of each Parliament</td>
</tr>
<tr>
<td>Chamber Documents - Previous Parliaments</td>
<td>20 Days</td>
<td>Administration Office</td>
<td>Functions</td>
<td>Bound Volumes in locked cabinets around Chamber</td>
<td>Parliament security (see para 5.11 - 5.16)</td>
<td>Bound Volumes in offsite storage - Recall or ArchiveWise</td>
<td>Recall (see para 5.25 - 5.26) or ArchiveWise (see para 5.27 - 5.33)</td>
<td>LA, SLWA, from 1997 POWA Lotus Notes database</td>
<td>Published at the end of each Parliament</td>
</tr>
<tr>
<td>Chamber Documents: Minutes - Current Parliament</td>
<td>20 Days</td>
<td>Procedure Office</td>
<td>Functions</td>
<td>Procedure Office</td>
<td>Parliament security (see para 5.11 - 5.16)</td>
<td>Objective eDRMS, POWA Lotus Notes database</td>
<td>see PSD IT Unit Risk Management Plan</td>
<td>At end of each sitting day</td>
<td></td>
</tr>
<tr>
<td>Chamber Documents: Notice Paper - Current Parliament</td>
<td>20 Days</td>
<td>Procedure Office</td>
<td>Functions</td>
<td>Procedure Office</td>
<td>Parliament security (see para 5.11 - 5.16)</td>
<td>Objective, POWA Lotus Notes database</td>
<td>see PSD IT Unit Risk Management Plan</td>
<td>At end of each sitting day</td>
<td></td>
</tr>
<tr>
<td>Chamber Documents: Business Program, Weekly Bulletin - Current Parliament</td>
<td>20 Days</td>
<td>Procedure Office</td>
<td>Functions</td>
<td>Procedure Office</td>
<td>Parliament security (see para 5.11 - 5.16)</td>
<td>Objective eDRMS, POWA Lotus Notes database</td>
<td>see PSD IT Unit Risk Management Plan</td>
<td>At end of each sitting day or sitting week</td>
<td></td>
</tr>
<tr>
<td>Chamber Documents: Messages - Current Parliament</td>
<td>20 Days</td>
<td>Administration Office</td>
<td>Functions</td>
<td>Administration Office</td>
<td>Parliament security (see para 5.11 - 5.16)</td>
<td>Objective eDRMS</td>
<td>see PSD IT Unit Risk Management Plan</td>
<td>As needed, sitting days</td>
<td></td>
</tr>
<tr>
<td>Record / Report / Form / Documentation</td>
<td>Required within</td>
<td>Responsibility</td>
<td>Reason</td>
<td>Location of Original</td>
<td>Protection for Original's Storage / Risk Rating</td>
<td>Location of Back-up</td>
<td>Protection for Back-up's Storage</td>
<td>Location of further copies</td>
<td>Frequency of Updates</td>
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</tr>
<tr>
<td>Chamber Documents: Amendments - Current Parliament</td>
<td>20 Days</td>
<td>Procedure Office</td>
<td>Functions</td>
<td>Procedure Office</td>
<td>Parliament security (see para 5.11 - 5.16)</td>
<td>Objective eDRMS, POWA Lotus Notes database</td>
<td>see PSD IT Unit Risk Management Plan</td>
<td>Various</td>
<td></td>
</tr>
<tr>
<td>Chamber Documents: Parliamentary Questions - unanswered - Current Parliament</td>
<td>20 Days</td>
<td>Procedure Office</td>
<td>Functions</td>
<td>Procedure Office</td>
<td>Parliament security (see para 5.11 - 5.16)</td>
<td>POWA Lotus Notes database</td>
<td>see PSD IT Unit Risk Management Plan</td>
<td>At end of each sitting day</td>
<td></td>
</tr>
<tr>
<td>Current personnel / payroll records</td>
<td>immediate / 7 days</td>
<td>Human Resources</td>
<td>Current</td>
<td>See PSD Human Resources Risk Management Plan</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Leases - car, photocopiers, other contracts?</td>
<td>30 Days</td>
<td>Finance</td>
<td>Contracts</td>
<td>See PSD Finance Risk Management Plan</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Current un-audited accounting and tax records</td>
<td>30 Days</td>
<td>Finance</td>
<td>Current</td>
<td>See PSD Finance Risk Management Plan</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Procedure Manuals for creating Chamber Documents</td>
<td>20 Days</td>
<td>Procedure Office and Administration Office</td>
<td>Procedures</td>
<td>Procedure Office and Administration Office</td>
<td>Parliament security (see para 5.11 - 5.16)</td>
<td>Objective eDRMS: Parliamentary Chamber Proceedings / Procedures</td>
<td>see PSD IT Unit Risk Management Plan</td>
<td>Deputy Clerk, Usher of the Black Rod, Parliamentary Officer (Procedure)</td>
<td></td>
</tr>
<tr>
<td>Other Procedure Manuals</td>
<td>20 Days</td>
<td>Various amongst LC staff</td>
<td>Procedures</td>
<td>Various offices</td>
<td>Parliament security (see para 5.11 - 5.16)</td>
<td>Objective eDRMS: Keyword (eg 'Legislative Process') / Procedures / Manuals (also see Keyword / Policy and Keyword / Precedents)</td>
<td>see PSD IT Unit Risk Management Plan</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Whole of Parlt Policies, Procedures and Guidelines</td>
<td>20 Days</td>
<td>Human Resources</td>
<td>Procedures</td>
<td>See PSD Human Resources Risk Management Plan</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>KAAA thesaurus</td>
<td>20 Days</td>
<td>Library and Information Services Manager</td>
<td>Control Docs</td>
<td>Department Administrative filing / Library and Information Services Manager</td>
<td>Parliament security (see para 5.11 - 5.16)</td>
<td>Objective eDRMS: POWAnet</td>
<td>see PSD IT Unit Risk Management Plan</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Recordkeeping Plan</td>
<td>20 Days</td>
<td>Usher of the Black Rod</td>
<td>Control Docs</td>
<td>Tabled Paper</td>
<td>Parliament security (see para 5.11 - 5.16)</td>
<td>Senior Projects Officer and various</td>
<td>see PSD IT Unit Risk Management Plan</td>
<td>Objective eDRMS, POWAnet</td>
<td></td>
</tr>
<tr>
<td>Retention &amp; Disposal Schedule</td>
<td>20 Days</td>
<td>Usher of the Black Rod</td>
<td>Control Docs</td>
<td>Department Administrative filing</td>
<td>Parliament security (see para 5.11 - 5.16)</td>
<td>Objective eDRMS: POWAnet</td>
<td>see PSD IT Unit Risk Management Plan</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Objective eDRMS - Repository records of Hard Copy documents</td>
<td>20 Days</td>
<td>Information Technology</td>
<td>Control Docs</td>
<td>See PSD IT Risk Management Plan</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Application Recovery</td>
<td>20 Days</td>
<td>Information Technology</td>
<td>Operate / Electronic</td>
<td>see PSD IT Unit Risk Management Plan</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Record / Report / Form / Documentation</td>
<td>Required within</td>
<td>Responsibility</td>
<td>Reason</td>
<td>Location of Original</td>
<td>Protection for Original's Storage / Risk Rating</td>
<td>Location of Back-up</td>
<td>Protection for Back-up's Storage</td>
<td>Location of further copies</td>
<td>Frequency of Updates</td>
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<td>--------------------------</td>
</tr>
<tr>
<td>Committee Office: Minutes, Agendas, Correspondence, Submissions, Transcripts, Reports, - current inquiries</td>
<td>Committee Clerk</td>
<td>Functions</td>
<td>At relevant Committee Clerk's work area</td>
<td>LCCO security (see para 5.16 - 5.19)</td>
<td>Objective eDRMS (note incoming Correspondence and Submissions are not systematically scanned into Objective eDRMS currently (as at 10/12/10))</td>
<td>see PSD IT Unit Risk Management Plan</td>
<td>Member’s files stored offsite (ad hoc); Reports, Transcripts and some Submissions - POWA Lotus Notes database</td>
<td></td>
<td>After meetings / weekly</td>
</tr>
<tr>
<td>Committee Office: research material and draft reports - current inquiries</td>
<td>Advisory Officer</td>
<td>Functions</td>
<td>At relevant Advisory Officers work area</td>
<td>LCCO security (see para 5.16 - 5.19)</td>
<td>Objective eDRMS</td>
<td>see PSD IT Unit Risk Management Plan</td>
<td></td>
<td>Daily</td>
<td></td>
</tr>
<tr>
<td>House - Permanent Archives - Onsite</td>
<td>Administration Office</td>
<td>Permanent Archives</td>
<td>LC Compactus (room 1.42 b)</td>
<td>Parliament security (see para 5.11 - 5.16)</td>
<td>Objective eDRMS</td>
<td>see PSD IT Unit Risk Management Plan</td>
<td></td>
<td>Sitting breaks</td>
<td></td>
</tr>
<tr>
<td>Committee Office - Permanent Archives - Onsite</td>
<td>Committee Clerks</td>
<td>Permanent Archives</td>
<td>LCCO Compactus</td>
<td>LCCO security (see para 5.16 - 5.19)</td>
<td>Objective eDRMS</td>
<td>see PSD IT Unit Risk Management Plan</td>
<td></td>
<td>Summer and winter sitting breaks</td>
<td></td>
</tr>
<tr>
<td>House - Permanent Archives - Offsite</td>
<td>Administration Office</td>
<td>Permanent Archives</td>
<td>Recall or ArchiveWise</td>
<td>Recall (see para 5.23 - 5.26) or ArchiveWise (see para 5.27 - 5.31)</td>
<td>From 1997: Objective eDRMS</td>
<td>see PSD IT Unit Risk Management Plan</td>
<td></td>
<td>Summer and winter sitting breaks</td>
<td></td>
</tr>
<tr>
<td>Committee Office - Permanent Archives - Offsite</td>
<td>Committee Clerks</td>
<td>Permanent Archives</td>
<td>Recall or ArchiveWise</td>
<td>Recall (see para 5.23 - 5.26) or ArchiveWise (see para 5.27 - 5.31)</td>
<td>From 1997: Objective eDRMS</td>
<td>see PSD IT Unit Risk Management Plan</td>
<td></td>
<td>Summer and winter sitting breaks</td>
<td></td>
</tr>
</tbody>
</table>
STRATEGIES FOR PREVENTION OF LOSS AND RESPONSE FOR RECOVERY OF THE RECORDS

5.3 Records management, including prevention of loss of records, is managed through the Parliament’s risk management system. The Usher of the Black Rod is responsible of ensuring the maintenance of adequate controls.

5.4 As the table above indicates, in most cases there are hard copy duplicates of vital records which can be recovered in the case of total loss of originals. Most records are also available electronically on the Parliament’s system which is backed up (see IT Risk Management Plan).

5.5 The Conservation department of the State Library of Western Australia (SLWA) is trained in disaster recovery. Depending on the circumstances and with the permission of their CEO this team can provide assistance in the case of a disaster. In the case of water damage, books, records and documents can be placed in a freezer at -20°C as soon as possible after an incident to prevent inks from running and mould settling and beginning activity. Contact:
Senior Conservator
Preservation & Maintenance
State Library of Western Australia
(T) +61 9427 3315

5.6 The Western Australian Museum has a freezer container which may be able to be used in the case of water damage of records. Contact:
Executive Director
Collection Management and Conservation
Western Australian Museum
(T) +61 9212 3839

5.7 The Western Australian Museum also has a 2 x 0.9 metre freezer drying system which may be used to unfreeze and dry records at a more convenient time after the initial disaster has been dealt with. Contact:
Head of Materials Conservation
Western Australian Museum
(T) +61 9431 8430

5.8 The State Records Office should be contacted in the event of a disaster, both to report the issue, and request advice and assistance. Contact:
State Records Office
Switchboard:
(T) + 61 9427 3660 (9.30am – 4.30pm)
Recordkeeping Services Team:
(T) + 61 9427 3661 (after hours)
Current Security for Onsite Paper Record Repositories used by the Legislative Council

5.9 Possible risks that could cause damage to records held (not comprehensive):

- flood;
- fire;
- earthquake;
- mite or insect damage;
- vermin damage;
- dust and dirt;
- hard disk failure;
- backup failure;
- storage medium failure; and
- loss or failure of record tracking systems.

Storage in the House

5.10 Executive Services, Administrative Services and Procedural Services files are stored in the Executive Assistant to the Clerk of the Legislative Council’s office at Parliament House, Harvest Terrace. Documents are stored in cardboard files with a plastic coating, although some lever arch folders are also used. Staff members may keep files in current use in their respective offices. Files are maintained within either a safe or wooden filing cabinet. Offices are securely locked overnight and the building itself is protected by 24 hour security.

5.11 The current and active records of the Procedure Office and Administration Office are located in onsite storage at Parliament House in the respective offices, which are locked overnight; bound documents are securely locked in wooden cabinets, with glass display doors, surrounding the Legislative Council’s chamber. Recent archives and active records are located in the LC Compactus (room 1.41 b) and records storage cabinets (room 1.41 a) all of which are securely locked.

5.12 The President’s office files and folders are stored on-site in the Executive Assistant’s office. Documents are currently stored in manila files in suspension folders, and lever arch folders are also used and kept within a wooden filing cabinet. The Executive Assistant’s office door locks securely over night or when the Executive Assistant is absent.
5.13 Storage facilities at Parliament House include a combination of wooden and metal shelving.

5.14 Risk prevention includes:

- in addition to security on individual cabinets and offices, the building is monitored by security 24 hours a day;
- fire detection system linked to the fire brigade;
- pest and rodent management;
- relatively low daily changes in temperature and humidity; and
- archive records which are onsite are stored in accordance with SRO standards, for example, in national archive quality boxes (acid free), and with all glues, non-inert plastics and metals removed.

5.15 The main disaster threatening records stored onsite comes from fire - the threat of fire is low, but the effect if it occurred due to the age and nature of the building, would be devastating. With the storage conditions as described above, the risk is assessed as low with adequate controls.

**Legislative Council Committee Office (18-32 Parliament House, West Perth)**

5.16 The Legislative Council Committee Office stores active committee files and folders; between three and six years of archives for each Committee; and committee administration records, onsite. Active records are stored in a combination of wooden (laminate covered chipboard) and metal shelving. The office has lockable filing cabinets and a fire retardant safe for more sensitive material. Committee Clerks maintain and store the files of the Committees he or she is responsible for.

5.17 Onsite archives are kept in a compactus room with a two hour fire rating and lockable metal shelving.

5.18 Risk prevention includes:

- fire detection system linked to the fire brigade;
- pest and rodent management;
- fire retardant safe;
- lockable filing cabinets and individual offices;
- secure premises;
5.19 The main disaster threatening records stored onsite comes from fire and flood, although these are relatively low risks in a modern building. With the storage conditions as described above, the risk is assessed as low with adequate controls.

Current Security for Offsite Paper Record Repositories used by the Legislative Council

5.20 The Legislative Council is in the process of shifting its records from a commercial offsite storage facility which is approved under a Common Use Agreement (CUA) for intermediate records. Intermediate records are those which are designated to be destroyed in the future.

5.21 The Legislative Council is also responsible for a large number of records which are designated as State archives, either to be kept by the Legislative Council or sent to the State Records Office when they become 25 years old (or when the SRO has facilities to take agency records again). Agencies holding state archives are obliged under SRC Standard 7 - Storage of State Archives retained by State Organizations through an approved Recordkeeping Plan to keep records under environmental conditions including temperatures at 20°C +/- 2°C and 50% Relative Humidity (RH) +/- 5%. The CUA is not applicable to these records and therefore the Legislative Council is shifting records to a second commercial facility which provides environmental conditions in compliance with SRC Standard 7 at a reasonable cost (see paragraphs 5.51 to 5.54).

5.22 The Legislative Council rarely sends intermediate records offsite, as it has facilities to store them onsite until their destruction disposition is reached.

Recall

5.23 The Legislative Council has archive boxes located with Recall under CUA contract 123499 for the supply of storage, retrieval and destruction of intermediate records services. As noted above, most of these records are State Archives. Although records over 25 years old which the SRO are not in a position to take do not need to comply with SRC Standard 7, many of the records held at Recall are either archives

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5  Section 32 State Records Act 2000.
6  As at 6 December 2010.
7  and Section 32(4) State Records Act 2000.
to be retained by the Legislative Council or State archives which are less than 25 years old.

5.24 Risk management procedures include:

- fire protection - Very Early Smoke Detection systems (VESDA) or aspirating smoke detection, sprinklers, shatterproof or protected light fittings, thermal imaging for hotspots, inspections by risk management personnel and insurers;
- vehicle security;
- controlled access and card access systems to track movement around facilities;
- CCTV site monitoring of loading docks, perimeters, processing areas and internal and external facilities;
- security audit program;
- bar coding, scanning of material at pick-up, retrieval and delivery, data privacy and data audit trails; and
- business continuity planning.

5.25 Records are stored in large boxes provided by Recall and contain metal and plastics which do not comply with SRC Standard 7 - Storage of State Archives.

5.26 The main issue threatening records stored with Recall arises from the lack of temperature and humidity environmental controls. With the storage conditions as described above, the risk is assessed as high with inadequate controls. As a consequence, the Department is undertaking a project to retrieve all records from Recall and send them to temperature and humidity controlled offsite storage. (See paragraphs 5.51 to 5.54.)

ArchiveWise Security

5.27 The Legislative Council is in the process of shifting its State Archives to climate controlled repositories at ArchiveWise Security.8 ArchiveWise is quality endorsed to AS/NZS ISO 9001 : 2008 and complies with Standard 7 – Storage of Archive with the following exceptions:

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8 Temperature controlled at 20°C ± 2°C with a humidity factor of 50% ± 5% and walls and doors are 4 hour fire rated. Fire alarm is connected to fire station.
Appendix A: Air Quality:

- Air is not filtered, but there are no windows in the vault where Department records are held and all air circulating is via air conditioning which is regularly maintained.

Appendix A: Lighting:

- Lighting is normal fluorescent. Lighting is not on a timer and lights in the vault are extinguished at the end of each working day and turned on when the vault is accessed the next working day. At this stage there are no plans to put lighting on timers.

5.28 Where the Department is responsible, for example quality of file covers, boxes etc, the Department is ensuring that it complies with Standard 7 as records are shifted to ArchiveWise Security. The exception is to Principle 3 (1). See paragraph 5.55 below for further details.

5.29 As at August 2012 the Department has 1,488 SRO approved archive boxes stored at the new facility.9

5.30 Risk management procedures for ArchiveWise comply to all the requirements for records as stipulated by the State Records Office. They also conform to relevant Australian standards:

- AS 4390-6-1996 Secure/Confidential records management storage;
- AS 2444-1995 Fire Fighting Equipment;
- AS 1851-51981 Automatic Smoke/Heat detectors;
- smoke and thermal detectors strategically positioned;
- fire extinguishers and water hose reels located to FESA standards;
- 24-hour linked electronic fire detection system;
- 24-hour electronic motion sensor security system;
- physical security monitor system;
- dust protection;

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9 As at 15 September 2010.
termite and pest protection;

- restricted personnel access via key card; and

- national police clearance for all staff.

5.31 The main issue threatening records stored with ArchiveWise comes from flood or fire. With the storage conditions as described above the risk is assessed low with adequate controls.

State Library of Western Australia

5.32 Under Premier’s Circular 2003/17 all government agencies must lodge copies of published documents with the State Library of Western Australia (SLWA). The Parliament lodges four complete sets of Bound Volumes and the Department lodges Parliamentary committee reports.

5.33 The Battye Library division of SLWA also holds the following:

- Hansards from 1876 (including a more recent compilation volume which covers 1870-1875);

- Acts and Statutes from 1832;

- Votes and Proceedings from 1870 (including a more recent compilation of Minutes of proceedings of the Legislative Council 1832-1870);

- Bills Introduced from 1916-17 (3rd Session of the 9th Parliament); and

- Government Gazettes from 1836.\(^{10}\)

5.34 Contact details for SLWA:

State Library of Western Australia
25 Francis Street
Perth Cultural Centre
Perth WA 6000

(T) 08 9427 3291

5.35 In the case of an emergency SLWA will not provide originals of the copies the Department provided to them to restore Legislative Council records, but may consider

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\(^{10}\) Email from Steve Howell, Senior Subject Specialist, Battye Library, State Library of Western Australia, 7 December 2010.
a request on a case by case basis, in which circumstance they may send a digital copy of requested records.11

5.36  SLWA has a Disaster Management Plan and risk management procedures in place, but they are not public documents.12

State Records Office

5.37  The State Records Office (SRO) was formed independently from SLWA by the State Records Act 2000 and all Parliamentary records previously held by Battye Library (SLWA) were transferred to SRO. Pre-1966 records were sent to SLWA (now SRO) and the Legislative Council therefore holds very few miscellaneous pre-1966 records.

5.38  There appear to be gaps in the records held by SRO, but it is unclear whether this is because records are missing or because SRO has not finished cataloguing all Legislative Council records yet. This will be able to be better assessed in the next few years when SRO finishes its project of cataloguing Parliamentary records.13

5.39  The SRO currently holds the following Legislative Council records as listed on their website:

- Tabled Papers, 1870-1965;
- Rules and Orders, 1836;
- Ordinances, 1832-1853;
- Minutes - Legislative Council, 1832-1873;
- Orders of the Day, 1832-1854; and
- Petitions - Various, 1842-1871.


5.41  Once SRO has finalised cataloguing these records, if gaps in records exist, they will be able to be identified.

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11  Email from Barbara Patison, Manager: Collection Development, State Library of Western Australia, 24 September 2010.
12  Email from Barbara Patison, Manager: Collection Development, State Library of Western Australia, 24 September 2010.
13  Meeting with Damien Hassan, Senior Archivist, SRO (Kathy Hoare and Victor Moate, Legislative Assembly).
After Hours Retrieval of Records from Offsite Repositories

**Recall**

5.42 Urgent after hours retrieval is available on this account as part of the Common Use Agreement. The surcharge for after hours requests on weekdays is $150 and on weekends is $348. The Legislative Council Client Number ‘**60797**’ or the Committee Office Client Number ‘**60839**’ is to be quoted in any communications.\(^{14}\)

5.43 After Hours contact details for Recall:
Recall Information Management Pty Ltd
(T) 1300 886 261
(F) 1300 139 367
(E) carewa@recall.com

5.44 Recall recommend that you phone and advise that you will be faxing or emailing an urgent request to them. Recall Order Forms are in the Objective eDRMS at Information Management / Acquisitions.

**ArchiveWise**

5.45 Urgent after hours retrieval is available by calling the main ArchiveWise number (9376 8822). This will automatically go through to an after hours paging service and someone from ArchiveWise will call back to find out what is required and make the necessary arrangements. The minimum charge for this service is $300. The Legislative Council Account Code is ‘**LEGCOU**’.

5.46 Contact details for ArchiveWise:
ArchiveWise Security
10 Jackson St
Bassendean WA 6054
(T) 08 9376 8822
(F) 08 9376 8844

**STORAGE OF BACKUPS**

5.47 Storage of electronic backups is managed by the Information Technology Unit of the PSD. See the PSD RKP for further details. For an explanation of the relationship between the Department and PSD, see paragraphs 2.11 to 2.15.

\(^{14}\) Account holders as at 5/12/10 were: House - C Briant, B Conn, C Hunt, L Parrella and Committee Office - K Alcock, J Paniperis, D Driscoll, R Jewell, L Omar, M Warner, KJ Braat, C Malouf, S Flynn.
QUANTITY OF RECORDS

5.48 As at August 2012, the Department has custody of:

- 26.32 linear metres of temporary records stored onsite;
- 0 linear metres of temporary records stored offsite;
- 102.48 linear metres of State archives stored onsite
- 403.9 linear metres of State archives offsite.

5.49 Of the State archives held on and offsite, approximately 65% are to be transferred to SRO when space becomes available.

SECURITY AND ACCESS

5.50 See Appendix 1: Recordkeeping Procedure 1: Introduction to Legislative Council Recordkeeping section 9 for an overview of systems security.

IDENTIFIED AREAS FOR IMPROVEMENT

Historical and Archived Records Project

5.51 As noted above, the Department has been working on a project (the Historical and Archived Records Project (H&ARP)) since 2009 to achieve a number of outcomes related to preservation:

- ensure Legislative Council archived records are stored complying with SRC Standard 7 - Storage of State Archives;
- assess archived records against the new Retention and Disposal Schedule (RD2009057) and General Disposal Authorities and process any records ready for destruction;
- separate and record archives which are to be kept by the LC from those which are to be sent to SRO (when storage space becomes available);
- ensure records are properly and consistently recorded on the new Objective eDRMS;
- send records to a new storage facility, with temperature and humidity control.

5.52 All archived records stored both onsite and offsite are being systematically processed in order to achieve these aims.
5.53 The H&ARP has seen 725 boxes (approximately 2,320 linear metres) processed thus far. The records are being shifted to NAA Standard boxes (25 x 37 x 17cm). At the beginning of the project two part time Records/Archive Officers were employed who helped to put systems into place for the project, and train staff.

5.54 There are approximately 126 Chamber boxes and 355 Committee Office boxes left to process. The Department has scheduled to complete the processing of these remaining boxes in 2013.

*Whole of Parliament Business Impact Analysis*

5.55 The Parliament as a whole is currently preparing a business impact analysis and associated disaster management plan. This process will incorporate much of the material included in this chapter and formalise procedures in the case of a disaster. It is envisaged that the plan will be completed within the next two years.
CHAPTER 6

PRINCIPLE 5: RETENTION AND DISPOSAL

RETENTION AND DISPOSAL SCHEDULES

6.1 The Department’s first Retention and Disposal Schedule was approved in 2009 (Legislative Council Retention and Disposal Schedule for Functional Records (RD 2009057)) (R&DS), which covers:

- the functional records of the Department held or controlled by either the Department or PSD;
- administrative records held by the Department that are not covered by the General Disposal Authorities issued by the SRO. These records are listed under the relevant administrative keyword;
- records held by all offices and locations of the Department; and
- records in all formats (see section B.1 Formats).

6.2 Some administrative records of the Department are held or controlled by PSD and these are covered by the PSD Record Keeping Plan and Retention and Disposal Schedule.

6.3 The R&DS does not cover a collection of the Department’s historical archives. These records require review and appraisal, which may result in the need to develop an ad hoc schedule or inclusion in the next review of the R&DS. (See Appendix 4: Legislative Council Retention and Disposal Schedule for Functional Records (RD 2009057).)

GENERAL DISPOSAL AUTHORITIES (GDAS)

6.4 The following General Disposal Authorities (GDAs) produced by the SRO are used for administrative records, financial and accounting records and human resource management records:

- General Disposal Authority for Administrative Records (GDAA);
- General Disposal Authority for Financial and Accounting Records (GDAFA); and
DISPOSAL OF SOURCE RECORDS

6.5 The Department does not currently use the General Disposal Authority for Source Records (GDASR) as outlined at paragraph 3.25 above.

EXISTING AD HOC DISPOSAL SCHEDULES AND DISPOSAL LISTS

6.6 The Department does not have any Existing Ad Hoc Disposal Schedules or Disposal Lists.

RESTRICTED ACCESS ARCHIVES

6.7 Access to the Department’s records is set-out in section B.2 and B.3 of the R&DS and repeated below:

6.8 Section 11(6) of the State Records Act 2000 states that “A parliamentary department’s record keeping plan may set out:

• whether or not public access is to be permitted to a parliamentary record or class of parliamentary record;

• if public access is to be permitted the age of the record at which it will be permitted.”

6.9 Legislative Council records that are accessible to the public are available from Parliament’s website, or copies are made available on request.

6.10 Archive records transferred to the State Records Office, that is, those marked with the disposition of ‘A’ are available for public access.

6.11 Archive records not transferred to the State Records office, as listed below, are generally not available for public access. Should a member of the public request access to these records, accessibility and availability will depend on the proceedings in the House or its committees to which the record relates and will be determined by the Clerk.

ARCHIVES NOT TRANSFERRED TO THE STATE RECORDS OFFICE

6.12 The Department does not intend to transfer the following categories of parliamentary records to the State Records Office:

<table>
<thead>
<tr>
<th>R&amp;DS Section</th>
<th>Record</th>
</tr>
</thead>
<tbody>
<tr>
<td>0.2.1</td>
<td>Advice - significant advice provided to or received by the Legislative Council</td>
</tr>
<tr>
<td>12.1.2</td>
<td>Legislation - Chair’s copy of Bill</td>
</tr>
<tr>
<td>12.2.1</td>
<td>Printer’s proofs of bills</td>
</tr>
</tbody>
</table>

Record Keeping Plan 2012 (A330529)
14.4.2 Petitions – request for relief
14.5.4 Production - final signed minutes of proceedings
14.5.5 Production – manuscript minutes including incorporated documents
14.6.2 Tabling – papers, documents, reports, items, etc. presented for tabling
15.2.2 Advertising – calling for submissions to a Parliamentary Committee inquiry
15.2.3 Committee correspondence
15.2.4 Committee Reports - final versions of Parliamentary Committee reports
15.2.5 Committee Reports - Government responses to Parliamentary Committee inquiries
15.2.6 Submissions made to Parliamentary Committees
15.2.7 Minutes and agendas of Parliamentary Committees
15.2.8 Transcripts of Parliamentary Committee proceedings and hearings
15.2.9 Witness information sheets
15.4 Liaison with Independent Statutory Office holders
15.5.1 Media interviews by committee chairs and members
15.5.2 Media releases relating to Parliamentary Committees
15.6 Parliamentary Privilege - dissemination of information to Parliamentary Committees in regard to this law.
15.8 Research undertaken as part of the Parliamentary inquiry process
17.4.2 Elections of Senators to Federal Government
17.8.3 Register of Members’ financial interests
17.9 Swearing in of members
17.10 Separations - retirement, resignation, dismissal or death of Parliamentary Members
17.12 Vacancies – the filling of casual Member vacancies
18.2 Records of resolutions, rulings and statements from the Chair
18.3 Parliamentary privilege law and application to members
18.4 Standing, Sessional and Temporary Orders of the Legislative Council
18.5 Submissions made by the Legislative Council to government, committees and other bodies
19.2 Records of the Society of Clerks at the Table Committee

6.13 The above records will not be transferred to the SRO as they are required for reference purposes or there is a requirement for custody of the records to reside with the Clerk.

6.14 These records are stored in a secure, locked facility within the House, or in the case of committee records, in a secure offsite storage facility.

**DISPOSAL PROGRAM IMPLEMENTED**

6.15 Disposal of Departmental records coincides with the Parliamentary timetable. ‘A Parliament’ runs for four years, with elections held in March every fourth year.
6.16 While a Parliament is sitting, it has an autumn sitting (session), winter recess, spring sitting (session) and summer recess. While the House is sitting, its work and that of its Committees hold priority, so recordkeeping work such as archiving is completed during the winter, and longer summer recesses.

Department Disposal Program

<table>
<thead>
<tr>
<th>Officer's Responsible</th>
<th>Records for review</th>
<th>When?</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Executive Services</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Executive Assistant to the Clerk</td>
<td>House administration records (including finance and human resources where applicable)</td>
<td>Summer recess</td>
</tr>
<tr>
<td>Executive Assistant to the Clerk</td>
<td>Parliamentary Education, Parliamentary Members, Parliamentary Procedure, Parliamentary Relations</td>
<td>End of Parliament</td>
</tr>
<tr>
<td>Public Relations and Projects Officer</td>
<td>Media Relations and Memorabilia</td>
<td>Summer recess</td>
</tr>
<tr>
<td>Executive Assistant to the President</td>
<td>President’s records</td>
<td>Summer recess, End of Parliament/election of new President</td>
</tr>
</tbody>
</table>

**Procedural Services**

<p>| Clerk Assistant and Parliamentary Officers | Legislative Process: amendments Parliamentary Chamber Proceedings: business program, minutes of proceedings, parliamentary questions, weekly bulletin, notice paper, motions | Summer recess |</p>
<table>
<thead>
<tr>
<th>Officer/s Responsible</th>
<th>Records for review</th>
<th>When?</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Administrative Services</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Usher of the Black Rod</td>
<td>Opening of Parliament</td>
<td>Summer recess</td>
</tr>
<tr>
<td>Usher of the Black Rod</td>
<td>Parliamentary Security</td>
<td>Summer recess</td>
</tr>
<tr>
<td>Usher of the Black Rod and Parliamentary</td>
<td>House administration records due for destruction</td>
<td>Summer recess</td>
</tr>
<tr>
<td>Officers</td>
<td>Parliamentary Chamber Proceedings: arrangements, ceremonies, distribution</td>
<td>Summer recess</td>
</tr>
<tr>
<td>Usher of the Black Rod and Parliamentary</td>
<td>Parliamentary Chamber Proceedings: tabled papers, petitions, bills and bound volumes</td>
<td>Summer recess</td>
</tr>
<tr>
<td>Officers</td>
<td>Legislative Process: processing messages</td>
<td></td>
</tr>
<tr>
<td><strong>Committee Services</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Administrative Assistants</td>
<td>Committee administration records (including finance and human resources where applicable)</td>
<td>Summer recess</td>
</tr>
<tr>
<td>Committee Clerks</td>
<td>Parliamentary Committee administrative records</td>
<td>End of each Parliament and when the Committee ceases to exist</td>
</tr>
<tr>
<td>Committee Clerks</td>
<td>Parliamentary Committee inquiry records (including inquiry travel records)</td>
<td>Winter and summer recesses</td>
</tr>
<tr>
<td>Administrative Assistants</td>
<td>Parliamentary Committee records and committee administration records due for destruction</td>
<td>Summer recess</td>
</tr>
</tbody>
</table>
AUTHORISATION FOR DISPOSAL OF RECORDS

6.17 Before any records are destroyed or transferred to the SRO, they are reviewed by the Clerk of the Legislative Council and authorised for destruction or transfer. (See Appendix 5: Example copy of a signed Records Destruction Authorisation Form.)

![Records Destruction Authorisation Form](Image)

Figure 3: Example of a Records Destruction Authorisation Form

IDENTIFIED AREAS FOR IMPROVEMENT

6.18 As discussed above (paragraphs 5.51 to 5.54) the Department is currently carrying out the H&ARP which includes processing existing archives and identifying and separating records to be destroyed and records to be sent to SRO in the future. These records were previously boxed together, as the Department did not have an approved R&DS to direct how to separate the records.
CHAPTER 7  
PRINCIPLE 6: COMPLIANCE

STAFF TRAINING, INFORMATION SESSIONS

7.1 The Department has implemented the following activities to ensure that all staff are aware of their recordkeeping responsibilities and compliance with the Recordkeeping Plan:

- initial training for all staff on the KAAA as the new file titling system was implemented. Outsourced recordkeeping trainers provided in-house sessions on KAAA in general and the Department and PSD’s KAAA in particular;

- initial training for all staff on the Objective eDRMS software as it was implemented. Objective trainers provided in-house sessions on the Objective eDRMS in general and the Parliament’s version of Objective in particular;

- Objective staff ‘walked the floor’ for 3 days after implementation of the software to answer staff queries on the spot, and help staff build tools and shortcuts for working within the Objective eDRMS;

- Objective has provided in-house training on an ad hoc basis when a number of new staff members have started and other staff have taken advantage of the opportunity to have a refresher.

7.2 Staff who deal specifically with recordkeeping (Committee Clerks, Executive Assistants, Parliamentary Officers, Deputy Usher of the Black Rod) are provided additional training in KAAA, Objective eDRMS and record preservation and disposal on an ad hoc basis.

BROCHURES OR NEWSLETTERS

7.3 The Information Management Committee has published recordkeeping information and tips in the Parliament News newsletter on an ad hoc basis. (See Appendix 6 for an example.)

7.4 The Parliament’s intranet site ‘POWAnet’ has a page dedicated to records management with information including:

- whole of Parliament recordkeeping policies;

- Interactive and static versions of KAAA;
- KAAA manuals and standards;
- Link to IT Frequently Asked Questions regarding Objective,

**Figure 4: extract from POWAnet IT Frequently Asked Questions**

- Information Management Committee Terms of Reference;
- Australian and International Recordkeeping Standards;
- Department Recordkeeping Plan and R&DS;
- Links to SRO website, Principles and Polices and Guidelines;
- General Disposal Authorities;
- State Records Act 2000; and
- National Archives of Australia.

**INDUCTION PROGRAM**

7.5 PSD’s Human Resources Unit provides new employees with a list of policies to read and sign-off that they have understood, including the policies attached at **Appendix 2**.

7.6 The Human Resources Unit also organises two courses of online training:
- Recordkeeping Awareness Training; and
• Information and Communications Technology Security Training for all inductees.

7.7 New employees are provided with the following to read, and sign-off that they have understood, to ensure they are aware of their role and responsibilities in terms of recordkeeping within the Department:

• Department Recordkeeping Procedures, including Procedure 1: Introduction to Recordkeeping. (See Appendix 1); and

• the Department Recordkeeping Plan with attention drawn to chapter 2 which includes the Department’s recordkeeping policies.

7.8 As part of each new employee’s induction program a Training Needs Analysis is completed, out of which a training plan is developed. The Human Resources Unit organises formal offsite training for the new inductee, including recordkeeping training if required.

7.9 New inductees are provided one-on-one training in the use of software and recordkeeping systems on an ongoing basis throughout the induction process by their Supervisor or a sufficiently experienced employee.

PERFORMANCE INDICATORS IN PLACE

7.10 The Department has developed the following performance indicators to measure the efficiency and effectiveness of the Department’s recordkeeping systems:

• percentage of staff who have completed the online Recordkeeping Awareness Training;

• percentage of staff who have completed the online Information and Communications Technology Security Training; and

• percentage of files complete or inactive for more than 2 years, still housed in active filing areas.

7.11 The performance indicators are run once a year prior to the publication of the Department’s annual report.

AGENCY’S EVALUATION

7.12 On the basis of the above performance indicators run in 2012, the recordkeeping systems are assessed as being efficient and effective within the organisation.
ANNUAL REPORT

7.13 An excerpt of the Department’s 2011/2012 Annual Report is attached, demonstrating the organisation’s compliance with the State Records Act 2000, its Recordkeeping Plan and the training provided for staff. (See Appendix 7.)

IDENTIFIED AREAS FOR IMPROVEMENT

7.14 As mentioned in Chapter 3, the Department strongly supports the creation of a Records Manager position for the Parliament. It is envisaged that if this role is developed, the person in that role would be able to provide consistent inductee and ongoing records training directly relevant to the Parliament’s recordkeeping systems.
CHAPTER 8

SRC STANDARD 6 - OUTSOURCED FUNCTIONS

OUTSOURCED FUNCTIONS

8.1 The Department does not outsource any of its core functions and any supporting tasks that are outsourced are managed by the PSD. See paragraphs 2.10 to 2.15 for a description of the relationship between the Department and PSD.