

Annual Report 2021-22

State Records Commission

State Records Commission of Western Australia

Annual Report 2021-22

Chairperson:

Chris Field, Ombudsman

Executive Officer to the Commission:

Damian Shepherd, Director State Records

State Records Commission of Western Australia

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We encourage feedback:

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

Acknowledgement of Country

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

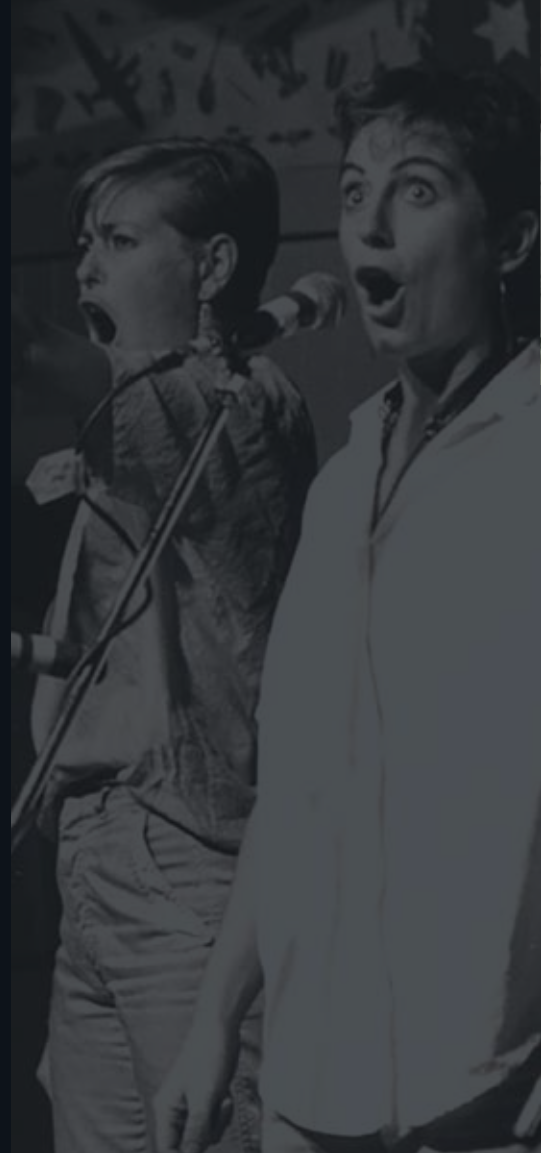


Image sources:

Front cover:
Top row (left to right) - State archives collection - Cottesloe Bathing Pavilion, July 1929
Client photo - Dr Annabel Stafford State archives collection - Perth Cultural Centre plans 1974, Unprocessed Public Works. Cons3621 1975/324
Second row (left to right) - State archives collection - Fly By Night Club, Fremantle. Cons3682 054
State archives collection - Convict William Chopin. Cons1156 R23
Lower right - State archives collection - Criminal Registers. Cons3904 25.
Main background photo - Ancestors Words Project - Photo of George Kickett, Scott Blurton and Wally Kickett at York Reserve. Photo courtesy of, and used with permission of, Ms Marion Kickett.

Page 2: State archives collection - Fly By Night Club, Fremantle. Cons3682 054.

Page 3: State archives collection - Caves House Cons1647 28618

Pages 6 and 7: State archives collection - Cottesloe Bathing Pavilion, July 1919.

Pages 8 and 9: State archives collection - Caves House Cons1647 28618

Page 18: State archives collection - Beach Bathing Pavilion for Town of Cottesloe, December 1981 (not built).

Page 35: State archives collection - Fly By Night Club, Fremantle. Cons3682 054

Pages 38 and 39: State archives collection - Sir David Brand collection - opening of the Narrows Bridge, Perth 1959

Pages 40 and 41: State archives collection - Unprocessed Public Works Department photographic prints - Perth Cultural Centre design 1974

Page 43: State archives collection - Coolgardie Wardens Quarters cons1647 04064

Pages 48 and 49: State archives collection - Bridgetown Road Board files - Diphtheria flyer Cons 1317, Item 024

Pages 50 and 51: State archives collection - WA Tourism Commission photographic collection, unprocessed

Page 58 and 59: State archives collection - Sir David Brand collection - construction of the Narrows Bridge, Perth 1956-59

Back cover:
Left - State archives collection - Beach Bathing Pavilion for Town of Cottesloe, December 1981 (not built).
Right - Presenters of the Geoffrey Bolton Lecture 2021: Yarning Ancestors Words, from left to right: Sarah Tout (producer), Darryl Kickett, Gabriel Maddock, Anna Haebich & Dean Collard (Curtin University).

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Chairperson's Foreword

I am delighted to present the 21st Annual Report of the State Records Commission (the Commission).

State records and archives are critical sources of information for the essential and unfinished business of reconciliation with Aboriginal people across Australia. In Western Australia, these records describe historical government control over the lives of Aboriginal people, including actions that led to the most profoundly egregious injustices, including the Stolen Generations. However, the archives also shine a powerful light on the extraordinary determination and courage of Aboriginal people to protect their rights and preserve their connection to country through the oldest continuous cultures in the world.

My fellow Commissioners and I commend the work of researchers helping to tell powerful stories recorded in the State archives. These stories recognise and celebrate the remarkable achievements of Aboriginal people across Western Australia and beyond. I encourage readers of this report to consider the work of a group of researchers from Curtin and Deakin Universities described on page 25. Through this innovative research, Aboriginal and non-Aboriginal researchers worked together to connect Aboriginal people to the words of their ancestors. These words were preserved in the letters they wrote to, and received from, government since the earliest days of colonial Western Australia. In these letters, Aboriginal people proudly defended their rights when those rights were not recognised and respected, and bravely worked to make change – a process that continues to this day.

This work gives meaning to the concept of 'decolonising the archives' - the call to action of the 2019 Tandanya Declaration that asks us to *"re-imagine the meaning of archives as an engaging model*

of social memory; to embrace the Indigenous worldviews and methods of creating, sharing, and preserving valued knowledge". The fact that these stories can now be told reminds us of the importance of managing the records of information created today so they can be accessed in the future.

The Commission is pleased to note further development of a proactive approach to collaboration between the State Records Office (SRO) and other government organisations to improve continuously the way we manage records of information. The importance of continuous learning and innovation in the management of information, even under difficult circumstances, cannot be overstated.

I take this opportunity to express my thanks to my fellow Commissioners. Each Commissioner brings a different perspective to the work of the Commission and this diversity is critical to the success of the Commission. My thanks also to members of the State Records Advisory Committee for their significant assistance to the Commission. This year we welcomed several new members to the Committee and a profile for one of the new members is featured in this report.

I would also like to thank the staff of the SRO for their outstanding work in support of the Commission. In particular, I thank Damian Shepherd for his exceptional leadership again this year.

The work described in this Annual Report is a timely reminder that good record keeping is critical to understanding our past and informing our future. But perhaps even more importantly,

“
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”

the keeping of records of decisions is at the core of accountable government and successful democracy. The Western Australian Parliament, in enacting the *State Records Act 2000*, provided the regulatory imprimatur for good governance through record keeping and the archiving of materials of value, on which future generations could reflect and learn. It is a very significant privilege for the Commission to be custodians of Parliament's wisdom.



Chris Field

Chairperson, State Records Commission
August 2022



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 2021-22 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

Mr Alan Ralph

Governor's Appointee to the Commission, re-appointed in November 2021

Commission Remuneration 2021-22

Position	Member
Name	Mr Alan Ralph
Type of remuneration	Per meeting / half day
Period of membership	3 years
Gross/actual remuneration	\$6,700
Total	\$6,700



The Commissioners' personal profiles can be viewed at
<https://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 (the Act)* and include:

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

The Commission meets regularly to support these functions.

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

Commission meetings:

6 July 2021

Commission meeting held in Perth

16 November 2021

Commission meeting held in Perth

5 April 2022

Commission meeting held in Perth

Out-of-Session papers:

State Records Advisory Committee Membership (August 2021)

2021-010 Ad Hoc Disposal Authority - COVID-19 Health and Vaccination Information (December 2021)

Other events:



Margaret Medcalf Award for Excellence in Archival Research

Attended by the Chair and Commissioner Ralph



Joint Australian Society of Archivists / Records and Information Management Professionals Australasia Information Session

City of Perth Library
Attended by Commissioner Spencer



Institute of Public Administration Australia WA (IPAABA) Fellows and Executive Briefing

Protecting Personal Information held by Government. Implications for public trust and policy success
Ernst and Young, Perth
Attended by Commissioners Fletcher and Spencer



IPAABA Integrity and Accountability Conference

Beaumont on the Point, Perth
Attended by Commissioners Fletcher and Spencer



Institute of Public Administration Australia WA (IPAABA) Lonnie Awards for Excellence in Annual Reporting

Hyatt Regency Perth
Attended by Commissioners Fletcher and Spencer



The Information Commissioner and Director State Records (pictured with IPAA WA President, Mr Mike Rowe) were joint presenters at an IPAA WA Integrity and Accountability Conference attended by around 150 people from the WA public sector on 28 April 2022.



Dr Michelle McKeough, a Professional Historian, has been a long-term client of the State Records Office. Dr McKeough's research using the State archives has included the social history of Fremantle, Fremantle Asylum and Prison, and historical outbreaks of bubonic plague in WA in the early 20th century. Dr McKeough's publications include "Rescues, rogues and rough seas: 150 years of the Water Police in Western Australia" (2001).



Our Clients

The Commission's clients include:



The people of Western Australia,

who seek to discover, access and use information in the State records and State archives collection; and ultimately benefit from the principles and standards through which State records and archives are secured and made discoverable and accessible.



State Parliament,

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



Western Australian public sector organisations,

who create, manage and share records of information as they carry out the business of State government.



Government trading enterprises,

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



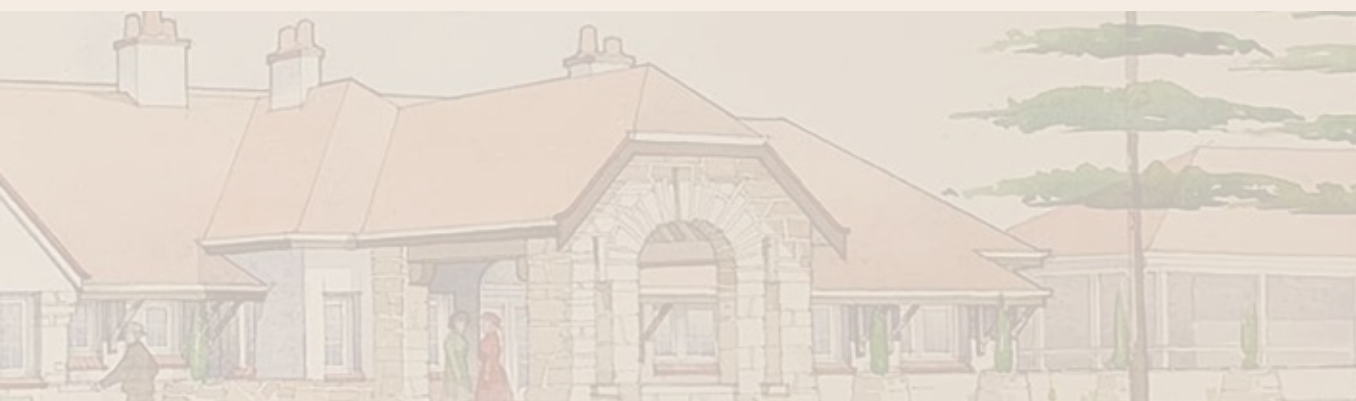
Local government authorities and elected members,

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



A range of statutory offices, including the Governor's Establishment,

Ministerial offices, Commissions, and Committees of Inquiry, who rely on the evidential value of State records and archives to uphold the integrity of government in Western Australia.



The State Records Office hosted students from the University of Western Australia in September 2021. The students, enrolled in a new family history unit at the University, were given an introduction to State Records Office services and the State archives collection, and spent time viewing selected State archives, including open access Convict, Police, Court and Prison records, with some probate and divorce files included as well.

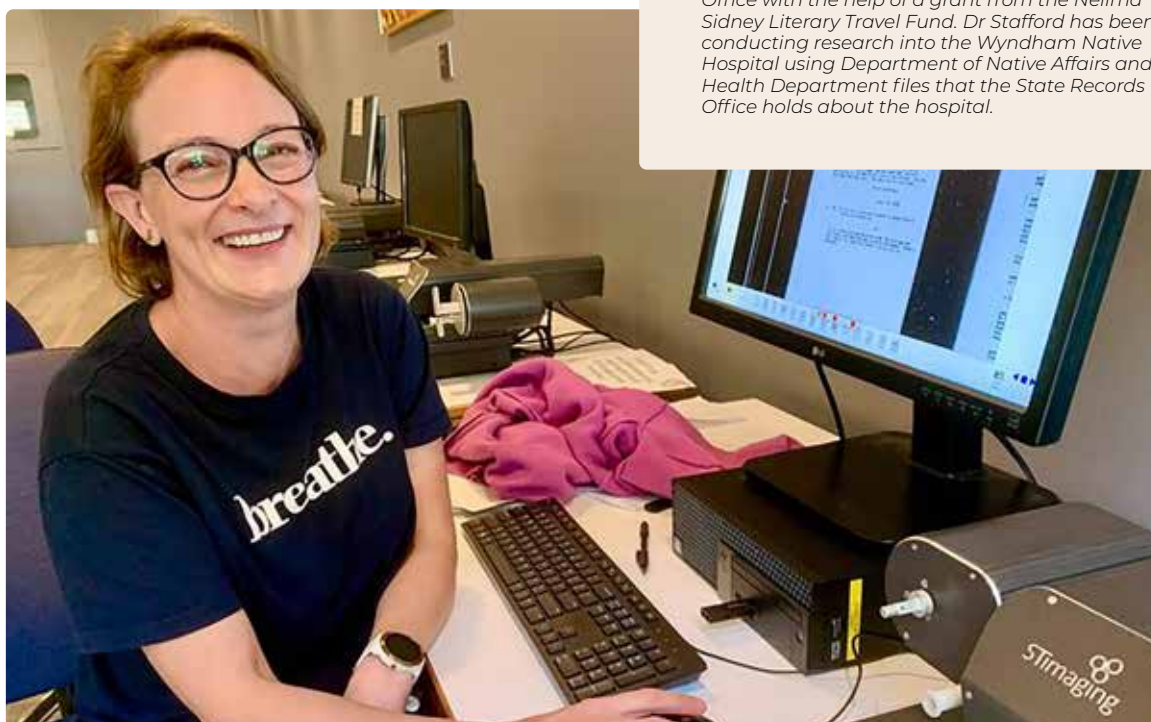
These records can be rich with information that reveal new insights when researching family

history. The records may also contain surprising finds. We discussed photographs and personal letters which can sometimes be included within the official records.

Our thanks to Professor Jane Lydon and PhD candidate Janet Osborne from UWA for bringing the students into SRO and introducing them to State archives, a journey we hope they will continue.



Dr Annabel Stafford travelled from Sydney to Perth to conduct research at the State Records Office with the help of a grant from the Neilma Sidney Literary Travel Fund. Dr Stafford has been conducting research into the Wyndham Native Hospital using Department of Native Affairs and Health Department files that the State Records Office holds about the hospital.



Our Operating Environment

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

Records Management in the Public Sector

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

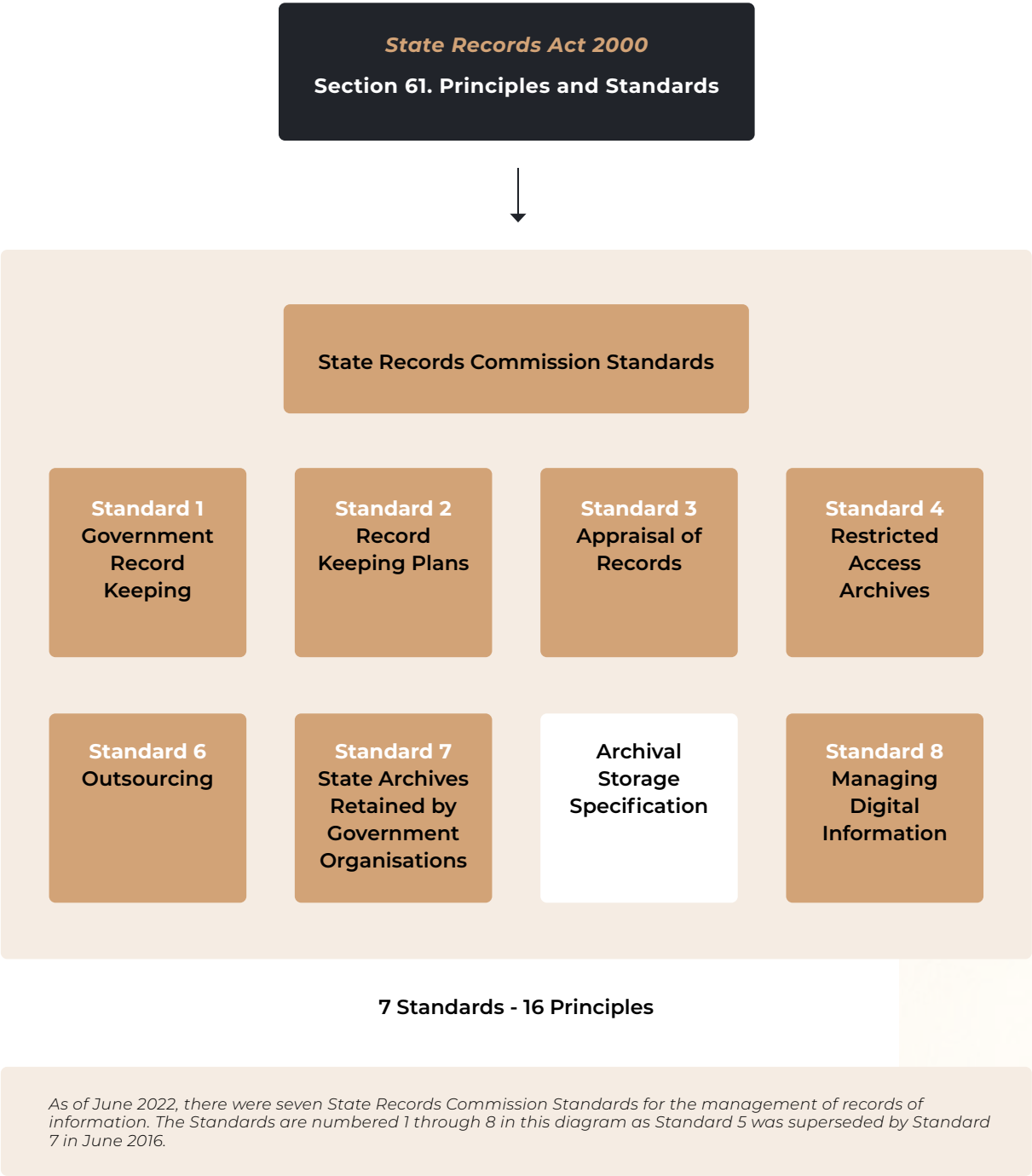
Programme from the Ball at Government House, with bullet cartridge that was used to shoot Cyril Gidley at the Ball on the morning of 27 August 1925. This sensational murder case has recently been subject to re-interpretation following additional archival material being made publicly accessible. Items shown are part of the Crown Law Indictment file now included in the State archives collection.

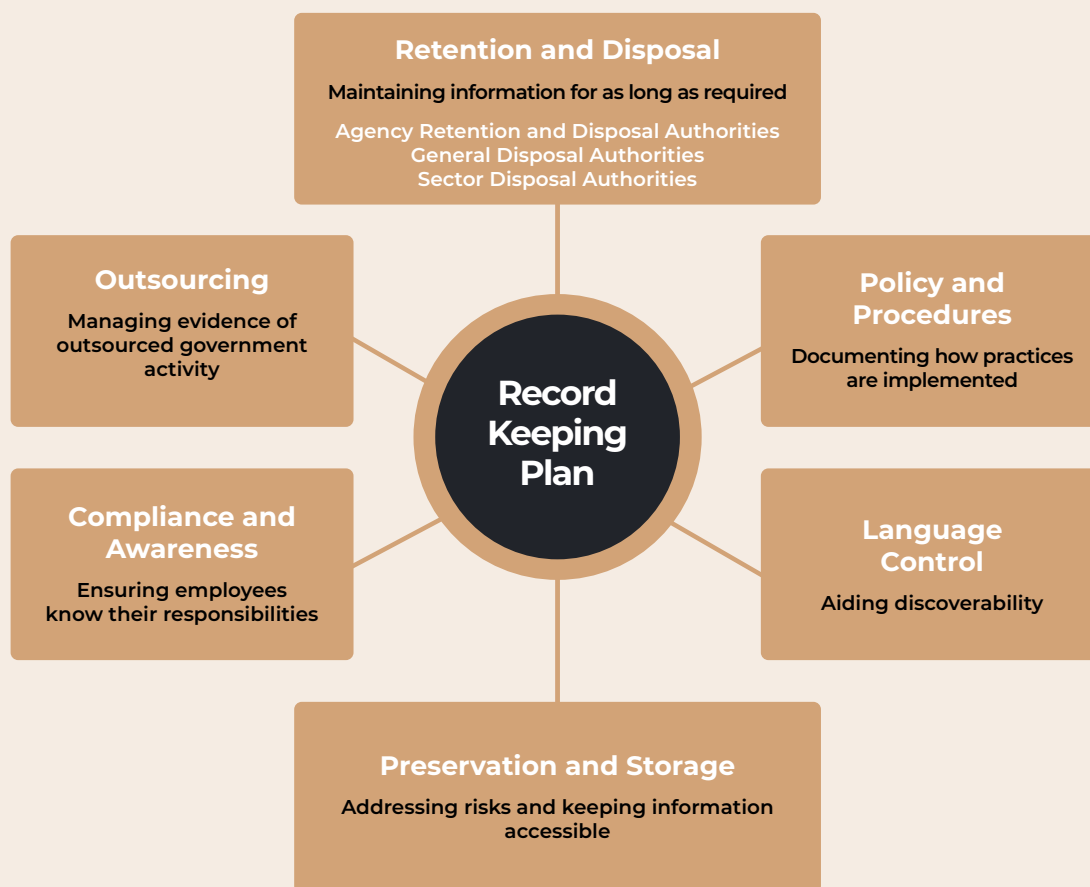


Under section 61 of the Act, the Commission must establish principles and standards for the governance of record keeping by State organisations and provide guidelines to assist the compilation of Record Keeping Plans. In administering the Act, the Commission has established a regime which places primary responsibility for effective records management on government organisations. The State Records Office

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

As of June 2022, there were seven Standards containing 29 Principles and 105 compliance requirements.





Record Keeping Plans are required to be maintained by every government organisation covered by the Act. They contain information about processes, documentation, and systems - planned or in place - for managing records of information.

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

Government organisations' Record Keeping Plans are based on the compliance requirements set out in State Records Commission Standard 2: Record Keeping Plans and SRC Standard 6: Outsourcing. These Standards address requirements for an organisation's employees and third-party providers working on an organisation's behalf.



State archives

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

State archives are the significant records of government business which have ongoing evidential and 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 colonisation in 1829 in the State archives collection. This is the largest archival collection in WA.

Today, most State records are created in digital format, that is, they are born digital. Currently, all born-digital State archives are held by the government organisations that created them. It is likely these organisations hold tens of petabytes of data in this form and this volume of data is growing rapidly. It is estimated that some five per cent of these records are likely to be of long-term value (State archives), representing perhaps several hundred terabytes of data of long-term archival value.



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 is the largest archival collection in WA.

This archival record is part of a series of plans for Caves House, which was built in 1903 and operated by the WA government through to December 1960.

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



Reel-to-Reel audio tape from the Royal Commission into Matters Surrounding the Administration of the Law Relating to Prostitution, 1976. The State Records Office is progressively digitising at-risk items in the State archives collection including audio-visual tapes.



Strategic Focus

The SRO has developed a Strategic Plan that reflects key functions in support of the Commission. The current Strategic Plan 2018-22 is published to wa.gov.au and describes a vision for successful application of the Act as follows:

A secure and discoverable record of government that is valued by our community and used to create a legacy for future generations of Western Australians

The Strategic Plan also includes a number of actions against which progress is discussed under the section on Performance in this report.

These actions include that:

Services are accessible:

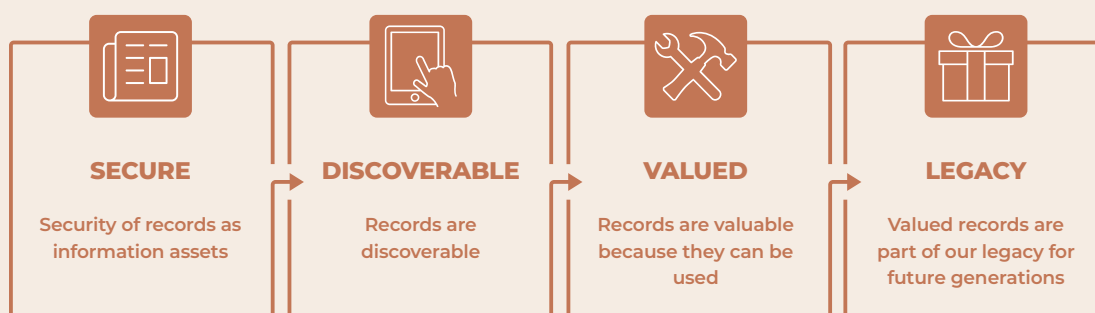
- ▶ Services provided to government and the community are reliable, efficient, and fully accessible.
- ▶ State-wide services are available for regional and remote clients.
- ▶ Online access to the State archives collection is maximised.
- ▶ Initiatives are delivered that promote the use and value of State archives to the broadest possible audience.
- ▶ Aboriginal people and communities are supported to access and connect with archival information.

State archives are well managed:

- ▶ Ensure the State's physical and digital archives are preserved.
- ▶ Ensure the State archives collection is well managed and described.

Information management across government is strengthened:

- ▶ Legislative responsibilities are discharged.
- ▶ Support the WA government to achieve efficient and proper information management.



The Vision Statement for the SRO Strategic Plan describes how good records management creates value for all Western Australians.

Key Challenges

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

Managing records of information across diverse digital systems

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

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



This Records Management Advice was produced by the SRO in response to the considerable interest from government organisations in the Microsoft 365 product suite and its capabilities for in-place records management.

Access to State archives outside the State archives collection

The SRO has established systems and facilities to provide an information service about State archives in the State archives collection in accordance with s73(1)c of the Act. This service is used extensively by government and the community to access the collection. However, most State archives are still held by the agencies that created them or have become custodians for these important records. The SRO has limited information about what these records are and where they are held and regularly makes referrals for assistance to other agencies for assistance on behalf of the public and government organisations requesting access.

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

In June 2022, the SRO accepted an emergency transfer of State archives from Landgate comprising Nomenclature records and photographic records that document business activities of the Department of Lands and Surveys from the 1960s.



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Performance

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



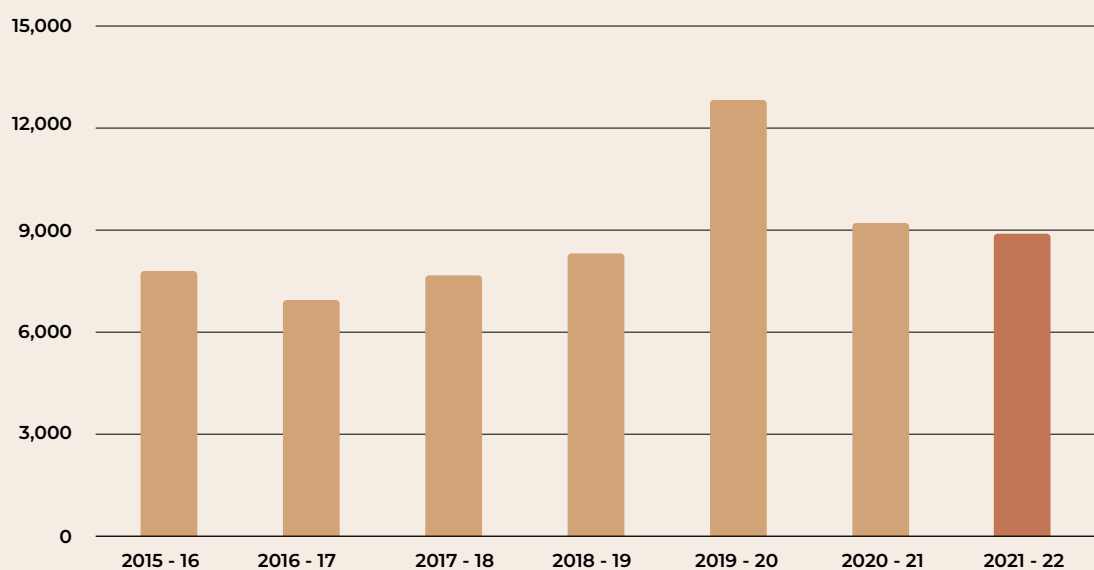
(a) State record keeping is of a standard that best serves the interests of the people of WA; and



(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.

Number of Requests to access State archives



Data shows requests per person as reported in the archives catalogue and includes digital on-demand and reading room. Demand for access to State archives in 2021-22 was consistent with demand in recent years.

Highlights

On behalf of the Commission, the SRO has made significant progress on a number of actions in its Strategic Plan – with a focus on both strengthening and modernising regulation of government record keeping and working with government organisations to improve access to State archives.

Strengthening information management in the WA public sector

Throughout 2021-22 the SRO continued development of, and consultation on, a draft single new Standard for Records Management and supporting framework. The proposed new Standard would replace the seven existing SRC Standards established under s61(1) of the Act. The proposed Standard aims to simplify and modernise this regulation by updating terminology and consolidating compliance requirements so they can be more effectively reported on. The draft single standard includes a new template for Records Management Plans (to fulfil the requirements of a Record Keeping Plan) and a new online reporting approach based on a Records Management Maturity Model.

The proposal was broadly supported through public consultation in 2020 and the SRO has been able to use feedback from this consultation to enhance the draft.

An Information Management Framework for WA

In 2021-22 the SRO commenced development of an Information Management Framework (IMF) for WA in consultation with other government organisations. To be developed over the coming year, the IMF will focus on helping agencies more easily navigate across the information management requirements of the wide range of legislation, regulation and policy that now impacts information management and governance. The IMF will also enable government organisations to more easily evaluate the effectiveness of information management plans and policies and provide a clear statement of responsibilities and accountability for staff at all levels.

Cover sheet for State Cabinet papers. These important archival records address key issues for government and provide important context for research about the history of Western Australia

MINISTRY OF THE PREMIER AND CABINET		FILE No.
SUBJECT: CABINET DECISIONS		446 90
MONDAY, 25th JUNE, 1990		VOL 4
INDEX:		
Previous File	Further File	
446/90	101 3	DISPOSAL ACTION

Case Study: State Records Commission Award for Excellence in Records and Information Management

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

The Commission was delighted to present its Award for the 2020-21 reporting year to the Ombudsman Western Australia.

The Annual Report from the Ombudsman addresses how records, including data and other information, are managed across the organisation, taking into account information outside an electronic documents and records management system (EDRMS). This approach highlights the opportunity for a holistic approach to information management, incorporating training and processes that integrate records in all their forms.



Director State Records, Mr Damian Shepherd (left) presents the State Records Commission Award for Excellence in Records and Information Management for the 2020-21 reporting year to Ms. Mary White, Deputy Ombudsman (right).



Helping WA and the world discover the State archives

A total of 8,273 requests to access State archives from 891 individual clients were received by the SRO via the State archives collection catalogue (A to M) in 2021-22. These requests were for access via digitisation or in-person visits to the Reading Room in the Alexander Library Building, Perth Cultural Centre. An additional 517 requests to access State archives were made by clients during their visits to the Reading Room. In total, this is close to the 9,000 client requests received for 2020-21.

The Reading Room facility is located on the 3rd floor of the Alexander Library Building, the site of the J.S. Battye Library of West Australian History. This co-located facility, shared with the State Library, Family History WA and Aboriginal History WA, enables original State

archives to be accessible during all State Library opening times.

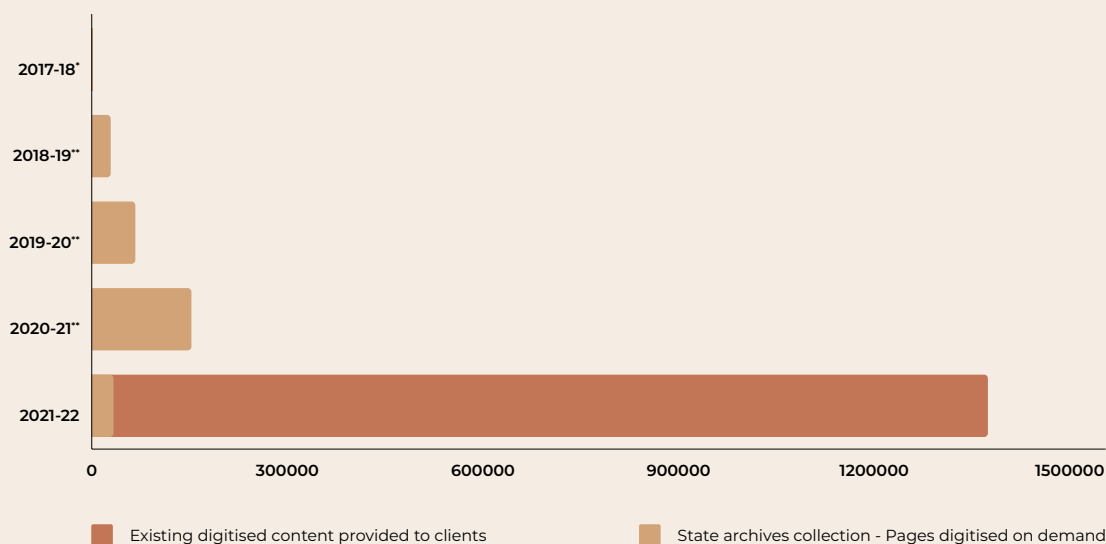
An appointment-based support service, launched in 2020 to assist first-time clients and clients with complex enquiries, has been used 280 times since its inception and provides for both online and face-to-face appointments with specialist archivists.

Online access to State archives and supporting services is an important part of making access equitable across Western Australia. In 2021-22 demand for digitised copies of original hard-copy State archives continued to grow with 1,419,946 (including pages previously digitised) pages provided to clients compared with 157,941 pages in 2020-21.



The Reading Room facility on the 3rd floor of the Alexander Library Building, the site of the J.S. Battye Library of West Australian History, is shared with the State Library, Family History WA and Aboriginal History WA and enables original State archives to be accessible during all State Library opening times.

Providing access to digitised State archives



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

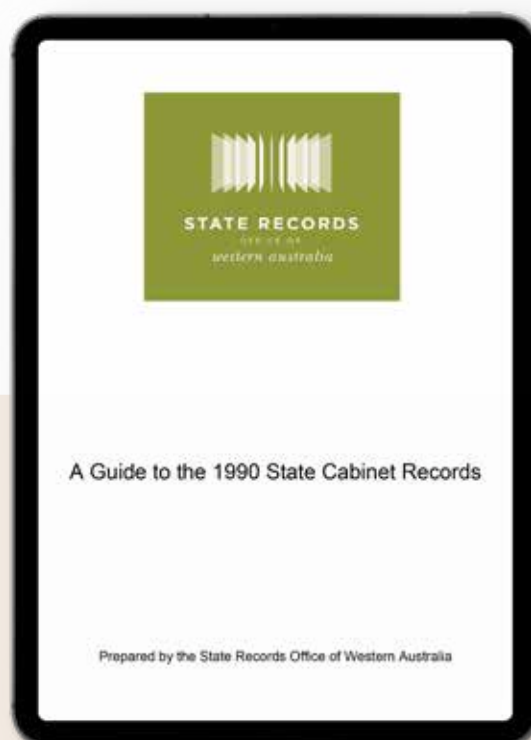
** May include some content that had previously been digitised and resupplied to clients.

Data shows the number of digital images delivered to clients as part of the digitisation on-demand program. Includes digital images created on demand as well as images already digitised in previous years.

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

In November 2021, RetroMaps was awarded an Asia-Pacific Spatial Excellence Award by the Spatial Industries Business Association and Geospatial Information & Technology Association ANZ for using spatial technology to make it easier for the community to access State archives.

To mark the International Day for Universal Access to Information on 28 September 2021 the State Records Office released an online Guide to the 1990 State Cabinet Records that described the papers, key issues and historical context for decisions at the time. Digitised copies of these records were also made available online after the 30-year restriction on public access ended.





Thousands of Western Australians have explored the State archives through RetroMaps – a collaboration with the Friends of Battye Library and the Water Corporation.



In 2021, RetroMaps was awarded an Asia-Pacific Spatial Excellence Award for using spatial technology to make it easier for the community to access State archives.

Case Study: Yarning Ancestors Words: The Geoffrey Bolton Lecture 2021

On 25 October, the SRO published an extended podcast of the 2021 Geoffrey Bolton Lecture. This production was a collaboration with the winner of the 2020 Margaret Medcalf Award, Dr Tiffany Shellam from Deakin University, and the Centre for Aboriginal Studies at Curtin University.

2021 was the second anniversary of the Tandanya Declaration – a call to action about our responsibility “to re-imagine the meaning of archives as an engaging model of social memory; to embrace the Indigenous worldviews and methods of creating, sharing and preserving valued knowledge.”



Geoffrey Bolton Lecture 2021: Yarning Ancestors Words
From left to right: Sarah Tout (producer), Darryl Kickett, Gabriel Maddock, Anna Haebich & Dean Collard (Curtin University).

Case Study: Margaret Medcalf Award for Excellence in Archival Research

The Margaret Medcalf Award is hosted by the SRO and is presented for excellence in research using the State archives collection. This annual award was established by the State Records Commission in 2003 and 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 WA.

Nominations for the 2021 Award covered a very wide range of topics of broad interest to the community, including stories of marginalised women in 19th century WA, the history of Spanish Benedictine Missionary women, and a suffragist settlement scheme

proposed for Denmark WA. *Nominated works* were presented in a wide range of formats and media – from short stories, to theses, and journal articles WA.

The winner of the 2021 Margaret Medcalf Award was 'The Carceral Colony' from the Centre for Western Australian History – Studies in Western Australian History. The Editor, Emeritus Professor Jenny Gregory, accepted the award on behalf of several contributing authors, including Bruce Baskerville, Shane Burke, Ann Curthoys, Joanne Hyland, Louis Marshall, Hamish Maxwell-Stewart, Kellie Moss, B'geella Romano, Katherine Roscoe and Denise Young.



Presentation of the Margaret Medcalf Award for Excellence in Archival Research.

Pictured is Emeritus Professor Jenny Gregory, Editor of the winning entry 'The Carceral Colony' (left) with Chair of the State Records Commission, Mr. Chris Field (right). Professor Gregory accepted the award on behalf of contributing authors.

Regulation of Records and Information Management

On behalf of the Commission, the SRO liaises with government organisations regarding their commitments to the Standards-based approach to the governance of records management outlined earlier in this report.

Reviews and Updates of Record Keeping Plans

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

This year, 48 agencies were required to review their Plans ([see Appendix 1](#)).

A total of 35 review reports and 39 fully amended plans were received by the SRO during the reporting period. Readers should note that several reviews were received from the 2020-21 reporting period or received before their due date of 2022-23 period. A number of agencies also submitted a review report prior to a plan during 2021-22. Following receipt of review reports, the SRO evaluates them and liaises with agencies in order to finalise them for consideration by the Commission.

During 2021-22 the Commission approved 43 new or amended Record Keeping Plans and the continuation of a further seven requiring no amendment. The Commission also noted one organisation, which had its Plan approved by the relevant Minister, in accordance with Schedule 3 of the Act.

A total of 35 Record Keeping Plan reviews were considered by the Commission. This figure includes 25 amended or reviewed Record Keeping Plans submitted prior to 2021-22 which, due to meeting schedules, the Commission dealt with during the reporting period.

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

In the coming year, 2022-23, a total of 53 agencies will be required to review their Record Keeping Plans ([see Appendix 3](#)).

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

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

**Record Keeping Plans and Disposal Authorities received
and approved**
During 2021-22

39

new or fully
amended RKP

35

RKP review
reports

28

identified amendments
required and committed to
submitting an amended RKP

7

identified no
amendment required

Record Keeping Plans Approved
During 2021-22

27

Local Government RKP

16

State Government RKP

Disposal Authorities Approved
During 2021-22

13

fully
amended
Retention
and
Disposal
(R&D)
Authorities

3

amendments
to existing
(R&D)
Authorities

2

Sector
Disposal
Authorities

2

Ad Hoc
Disposal
Authorities

1

Disposal
List for a
specific
records
series

In the coming year, 2022-23, a total of 53 agencies will be required to review their Record Keeping Plans ([see Appendix 3](#)).

Updates to Disposal Authorities

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

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

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

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	ELECTIONS	Conducting public elections to select local government Elected Members, including Mayoral elections. Also includes records associated with preparing the electoral roll. See also related ACTIVITIES: <ul style="list-style-type: none">▶ 10. APPEALS▶ 56. INDUSTRIAL RELATIONS▶ 71. MARKETING/PROMOTIONS/ CAMPAIGNS▶ 86. PROCEDURES▶ 93. REGISTERS		
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. This Authority describes the types of records of information created and managed by local government organisations, the time period these records are retained for and their eventual disposal or retention in perpetuity as State archives.*

The State Records Office assisted other government organisations to develop a disposal authority to help govern the proper disposal of data (records) collected through Service WA and other government mobile applications ("Apps").



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 organisation to prepare individual disposal authorities for a large proportion of records.

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

- ▶ State Government Information - covering common administrative records across all State public sector organisations;
- ▶ Local Government Records - covering all records of all local government organisations in Western Australia;
- ▶ Records relating to incidents and allegations of child abuse or neglect, in line with the Royal Commission into Institutional Responses to Child Sexual Abuse; and
- ▶ Source Records – enabling the destruction of hard copy source records after digitisation, once certain conditions have been met.

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

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

There are currently 11 SDAs, covering the core business records of approximately 70 government organisations.

During 2021-22, the Commission approved revised SDAs for mental health services and TAFE Colleges. A revised version of the Western Australian Universities Sector Disposal Authority will be submitted for Commission approval in the next reporting period.

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

Welcome [Alan Black](#) | [Log Off](#)

Online Recordkeeping & Disposal Application

Home Dashboard Disposal Authorities Records Management Plans Search Reports Help

Dashboard

Pending Disposal Authorities

DA No.	Organisations	DA Type	DA Title	Status		
2022-001	State Government	Functional	Retention and Disposal Authority for Department A	Draft	Workflow	Open DA

Displaying items 1 - 1 of 1

Pending Records Management Plans

RMP No.	Organisations	RMP Title	Status				
2022-008	State Government	Department A	Draft	Related Documents	Workflow	Open RMP3	Open RMP

Displaying items 1 - 1 of 1

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

Following advice from the SRO and the State Records Advisory Committee, the Commission approved 13 fully revised Retention and Disposal Authorities, and three amendments, during 2021-22.

See also [Appendix 4](#) for further detail on the progress of disposal authorities during 2021-22.

Ad Hoc Disposal Authorities

An Ad Hoc Disposal Authority is a specific instance disposal authority relating to one or a limited number of series, or an identified part of a series of records. This kind of authority is most often used when old or superseded records are being appraised for disposal. The purpose of an Ad Hoc Disposal Authority is to authorise disposal action on a once-only basis, i.e., for records in a specific category or date range.

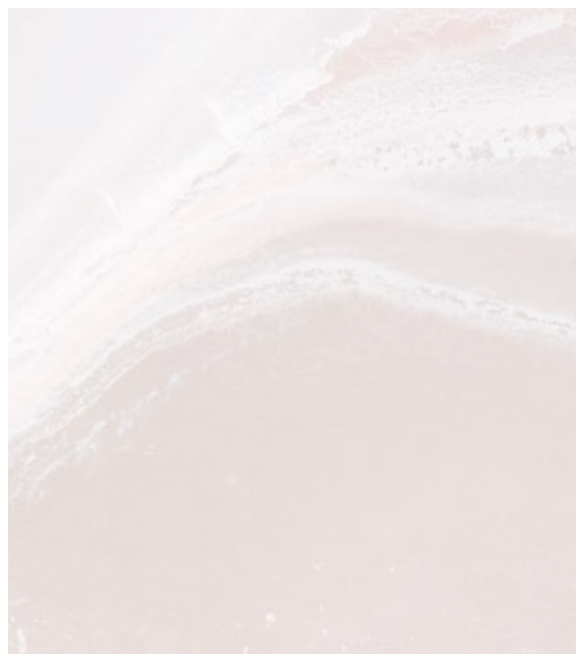
During 2021-22 the Commission approved two Ad Hoc Disposal Authorities, covering:

- ▶ Vaccination status records; and
- ▶ User data in government mobile device applications (“apps”).

Disposal Lists

Disposal Lists are considered by the Commission when an agency has identified the need to approve a one-off disposal of a discrete set of records, often in the event of physical damage, where the records are deemed irreparable.

During 2021-22 the Commission approved one Disposal List.

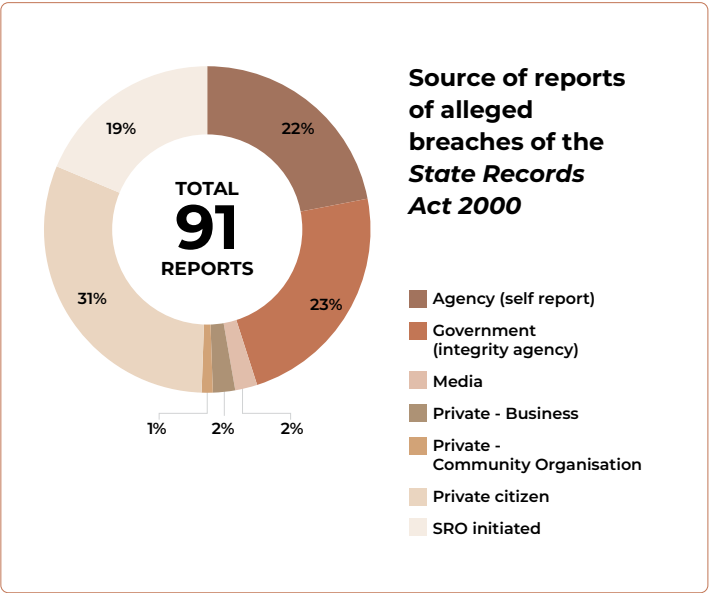
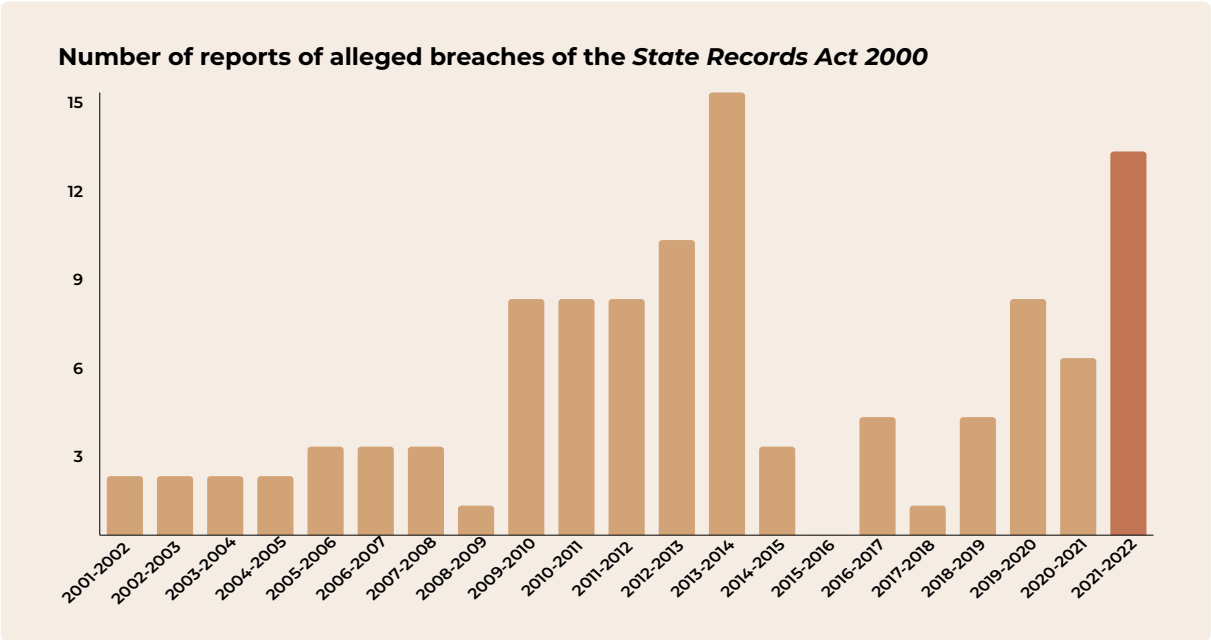


Monitoring Compliance with the
State Records Act 2000

Under section 60(1) of the Act, the Commission is required to monitor the operation of the Act, and government organisations' compliance with their Record Keeping Plans. Monitoring is achieved through a range of regulatory mechanisms, including education, training and self-evaluation undertaken by government organisations, as well as the SRO's inquiries into reports of alleged non-compliance with (breaches of) the Act.

In 2021-22 the SRO received 13 reports of alleged breaches of the Act.

Of the 13 reports received in 2021-22, 5 were self-reported by government organisations and 8 were reported by private citizens. This is in line with the proportion of reports received from various sources in previous years. Historically, reports have also been received from private businesses, media and referred to the SRO by integrity agencies.



The SRO makes inquiries into all alleged breaches on behalf of the Commission and follows-up where required with agencies to address issues. The Commission receives reports on the status of these enquiries and makes decisions on actions where required and appropriate. In most cases, issues are able to be resolved through corrective actions and/or improvements to systems and processes to avoid similar issues recurring.

Case Study: Working Together To Improve Records Management

The Commission is empowered to investigate alleged non-compliance with (or breaches of) the State Records Act 2000. Breaches can include unlawful disposal of State records, unauthorised possession of records, or an organisation not complying with its Record Keeping Plan.

The City of Mandurah (the City) self-reported an issue regarding the integrity of data that was migrated as part of a change to a new electronic document management system.

Following the migration, the City discovered that certain information describing the business area documented in a record was not migrated successfully from the predecessor system. Therefore, certain corporate documents did not contain full descriptive information as required by the City's procedures.

An error in backup processes meant that the predecessor system had not been fully backed up, meaning some of this information could not be recovered. All other information about the relevant records had been successfully carried over to the new system.

Descriptive information about records, and actions performed on records (metadata), is an important element of digital records management. Metadata provides information about a record's content (such as its subject matter, its author, and when it was received) and its context (that is, its relationship to other records in the system and where the information sits in terms of overall agency operations). *State Records Commission Standard 8: Managing Digital Information* requires that digital records and their metadata remain accessible and usable for as long as required.

With the cooperation of the City, the SRO conducted an inquiry into the matter on behalf of the Commission. This involved working with the City to clarify the circumstances of the incident and identify remedial actions, as well as identifying relevant requirements as

documented in the City's Record Keeping Plan. The Commission considered the SRO inquiry findings and agreed that the City's predecessor database had not been maintained in accordance with Standard 8. The Commission also noted that the City had reviewed its information management operations following the incident and endorsed several recommendations made by the SRO for the City to improve records management practices across the organisation.

The City agreed to these recommendations and has subsequently made significant progress with improvements to its records management practices. Improvements have included formalised guidance for decommissioning systems, new information management roles and upskilling of staff, and training in Freedom of Information and Elected Members' records management.

Following a service level review of Information Management which was conducted over 2020-21, the City of Mandurah has been working hard to address and implement the recommendations. IMU now have an operational task rotation which is enabling a more structured approach to completing tasks efficiently and all the daily tasks have a matching Job Instructed Guides (JIG) to ensure compliance is maintained. A redesigned online Recordkeeping induction has been well received since going live in May this year and will complement the new IMU Training Strategy and Plan that features a dynamic schedule designed to revitalise the recordkeeping culture across the organisation. The Information Management Asset Register and Decommissioning Systems guidelines is working well and is also providing a structured process that works with IT when systems are retired as part of the working smarter project implementing OneCouncil ERP system.

State Records Advisory Committee

The State Records Advisory Committee (the 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 Record Keeping Plans, a critical element of Record Keeping 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.

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

During 2021-22, the Committee met on 16 September 2021, 17 February 2022, and 16 June 2022.

Membership of the Committee during 2021-22:

Chair of the Committee

Mr Damian Shepherd – Director State Records

Executive Secretary

Ms Lena Stekl – Recordkeeping Consultant, SRO

Minutes Secretary

Administrative Assistant, State Records Commission

Australian Society of Archivists

Ms Lesley Jolliffe

(Deputy: Mr Tom Reynolds)

Aboriginal Interests

Ms Tanya Butler

(resigned 31 October 2021)

Ms Anna Wyatt PSM

(from 16 November 2021)

(Deputy: Mikaela Trenorden)
(from 16 November 2021)

Historical Interests

Ms Pam Harris

(resigned 30 October 2021)

(Deputy: Dr Bobbie Oliver)
(resigned 30 October 2021)

Institute of Public Administration Australia (WA Division)

Mr Andrew Brien

(resigned 20 December 2021)

Ms Emma Forrest

(from 5 April 2022)

(Deputy: Mr Chris Avent)
(resigned 15 October 2021)

(Deputy: Ms Tami Maitre) (from 5 April 2022)

Law Society of Western Australia

Mr Robert O'Connor QC

(Deputy: Mr David Bruns)
(resigned 31 October 2021)

Local Government Records Management Group**Ms Eddy Brown**

(from 16 November 2021)

Local Government CEO**Mr Bill Parker**

(from 16 November 2021)

Regional Local Government CEO**Mr Tim Clynh**

(from 16 November 2021)

Records and Information Management Professionals Australasia**Ms Suparna Chatterjee**

(resigned 30 June 2021)

Ms Ming Ghee Khoo

(from 16 November 2021)

(Deputy: Ms Vicki Mills)

(resigned 2 June 2021)

(Deputy: Tanya Wright)

(from 16 November 2021)

State Government CEO Representative**Commissioner Darren Klemm AFSM**

(Deputy: Ms Michelle Hoad)

The Commission would also like to acknowledge the valuable contributions made by the following Committee representatives during 2021-22:

Ms Tanya Butler

Aboriginal Interests Representative, Member

Ms Pam Harris

Historical Interests Representative, Member

Dr Bobbie Oliver

Historical Interests Representative, Deputy

Mr Andrew Brien

Institute of Public Administration Australia (WA Division), Member

Mr Chris Avent

Institute of Public Administration Australia (WA Division), Deputy

Mr David Bruns

Law Society of Western Australia, Deputy

Ms Suparna Chatterjee

Records and Information Management Professionals Australasia, Member

Ms Vicki Mills

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 2021-22

Position	Name	Type of remuneration	Period of membership	Gross/actual remuneration
Member	Mr Robert O'Connor	Per meeting / half day	3 years	\$450
Total				\$450

Committee Member Profile



Bill Parker BBus, MBus (Prop)
Chief Executive Officer
City of Nedlands

Bill Parker, was appointed City of Nedlands' Chief Executive Officer on 4 July 2022, having held the position of Interim CEO since July 2021.

With more than 18 years in local government, Bill's career is based on a solid foundation of functions and disciplines including project management, customer service, records management, property administration, finance, strategy, technology and general management, in regional and metropolitan locations.

These early years also enabled Bill to cultivate an interest and appreciation for record keeping, information management, corporate structures and solid workforce development plans.

Bill joined the City of Nedlands at a critical time, following the resignation of a Mayor, CEO and entire Executive Management Team. Although this represented certain challenges, Bill spent this interim period rebuilding the City, in partnership with

elected members and a new executive leadership team.

The high turnover at senior level and subsequent loss of corporate knowledge tested the effectiveness of the City's record keeping systems and procedures, highlighting the inefficiencies of over-reliance on people and tenure.

In a relatively short period of time, the City has implemented a new governance framework, improved transparency and the quality of information provided to elected members, and implemented a new workforce plan with asset management plans for all major asset classes. Additionally, the City has implemented a new Enterprise Resource Planning system that includes Enterprise Content Management.

Before joining the City of Nedlands, Bill was General Manager of Corporate Services at the City of Perth and Chief Executive Officer at the Shire of Jerramungup, and the Shire of Denmark.

Publications on Records Management and Training

During 2021-22 the SRO continued to simplify its published information management guidance. This included a review of publications and other documents in order to address government requirements and other records management issues, targeting specific activities.

The SRO published the following documents during the reporting period:

- ▶ A revised *Specification for Digitisation of State Records* (formerly Digitization Specification), outlining the minimum requirements for digitising records under the *General Disposal Authority for Source Records*;
- ▶ Records Management Advice on using Microsoft 365 Compliance Centre for Records Management; and
- ▶ A revised Records Management Advice on State Recordkeeping and COVID-19 to align with changes required by the State Government.

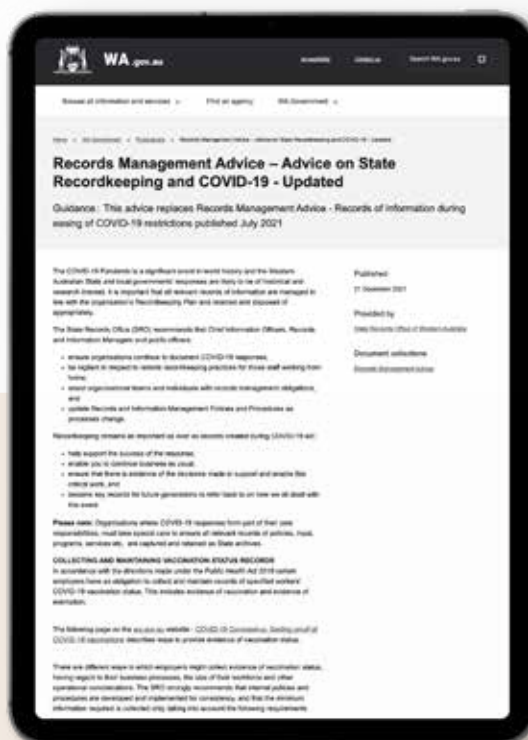
Record Keeping Training

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.

Records 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.



Engagement and Collaboration

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

Information Classification Working Group and Community of Practice

In August 2020 State Cabinet approved the Western Australian whole of government Information Classification Policy and its progressive implementation across the public sector over five years. The Policy provides a common language for agencies to identify risks and apply appropriate security controls to protect, store and share their information assets.

An interagency Information Classification Working Group was established as an advisory body to the Business and Technology Advisory Committee, which in turn is an advisory body to the Directors General Information and Communications Technology Council.

In February 2022, secretariat support for this working group was transferred from the Office of Digital Government to the SRO. The SRO is supporting the working group to identify and overcome barriers to implementation of the policy and developed a supplementary guide to the policy to guide agencies.

A broader Community of Practice across State and local government, and utilities, is also supported by the SRO to leverage the benefits of the working group.

Information Management Framework Working Group

In 2020 State Cabinet approved the development of a whole-of-government Information Management Framework (IMF) for WA. The IMF will provide greater clarity regarding how today's records and information management environment interacts with existing and developing legislation, regulations and policies for information management and sharing.

A cross-agency working group, chaired by the Director State Records, was established in February 2022 through the Business and Technology Advisory Committee to develop the IMF in consultation with other agencies. This work leverages extensive experience in other jurisdictions that have developed similar frameworks. The IMF for WA is expected to be completed in 2023.



Council of Australasian Archives and Records Authorities

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.

Through a number of cross-jurisdiction working groups, CAARA published new advice in 2021-22 on:

- ▶ Functional Requirements for Managing Records in Microsoft 365; and
- ▶ Maximising Access To Care Leavers' Records

CAARA also commenced development of a new Statement of Strategic Intent and associated workplan and formed a new 'First Nations Working Group' to focus on addressing the Tandanya Declaration.

Local Government Records Management Group

The SRO continued its engagement with the Local Government Records Management Group during 2021-22. This included:

- ▶ the sharing of new SRO circulars and published advice via the Group's communication channels
- ▶ contributions to the Group's meetings in August, October and December 2021.

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

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

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

The SRO continued its participation on the Council of Australian Archives and Records Authorities' Royal Commissions Working Group, which was concerned with implementing records retention and management recommendations arising from this Royal Commission, until the Group was disbanded on 16 November 2021.

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.



Events and other Engagement

Jul

06-07-2021

On 6 July the Director State Records presented a keynote address at the 2021 Catholic Diocesan Archivists of Australia Meeting in Perth. The presentation focussed on 'bridging communities of practice in information management'.

Aug

05-08-2021

On 5 August the Director State Records presented at the WA Country Health Service – Procurement and Contract Management Forum. The presentation reinforced the broad definition of a record in the Act and the need for a holistic approach to data and information management and governance.

28-08-2021

On 28 August the SRO hosted his Honour Judge Quail, President of the Children's Court of Western Australia, and staff. The visitors inspected court records in the State archives collection and the SRO is providing ongoing assistance to the Children's Court to develop a more comprehensive understanding of significant records of the Court over time.

Sep

20-09-2021

On 20 and 21 September the SRO jointly hosted a trade stand with the Office of the Information Commissioner (OICWA) at the annual WA Local Government Association (WALGA) Conference at Crown Perth. SRO and OICWA staff were able to provide advice and assistance to delegates, largely from regional WA, regarding records management and Freedom of Information requests.

Oct

12-10-2021

On 12 October the Director State Records delivered a presentation at a Records and Information Management Professionals Australasia (RIMPA) event. The presentation was called '2040 – A foundation for the next 20 years of State Records in WA'.

Feb

03-02-2022

On 3 February 2022 staff from the SRO attended the Public Sector Network – Innovate WA event to engage with colleagues from across the public sector.

18-02-2022

On 18 February, the Director State Records was a keynote speaker at the Public Sector Network – Data Management and Analytics Roadshow. The Director focussed on how information governance relates to open data and data sharing – using a mix of examples from the State archives to help illustrate the point.

25-02-2022

On 25 February, the Director State Records was a keynote speaker at the RIMPA event – Linking the Big Picture. The Director discussed priorities for the SRO for 2022 in the context of digital transformation across the WA public sector.

... the importance of building trust as information managers ...

Mar

15-03-2022

On 15 March, the Director State Records participated in a joint agency briefing to the City of Cockburn (Executive and Elected Members) on integrity in local government. The briefing was organised by the DLGSC and included the Office of the Auditor General, Public Sector Commission and Corruption and Crime Commission.

17-03-2022

On 17 March the Director State Records was a guest panellist at the Public Sector Network - Digital Government & CX Roadshow. The Director joined representatives from Venues West, ChemCentre and Water Corporation to discuss how information governance can support service delivery.

31-03-2022

On 31 March the Director State Records was a guest panellist with the Information Commissioner at an Executive Briefing breakfast on 'Protecting Personal Information held by Government: Implications for public trust and policy success'.

The Information Commissioner and Director State Records were joined by Professor Shaun Goldfinch, ANZSOG WA Government Chair in Public Administration and Policy.

Apr

04-04-2022

On 4 April the SRO presented a webinar on State archives and the history of Albany to the public (online), including people that had expressed an interest in the Commission visit originally scheduled to be in Albany that month and unable to proceed due to COVID impacts.

28-04-2022

On 28 April the Director State Records and Information Commissioner were joint presenters at an Institute of Public Administration Australia (WA) Integrity and Accountability Conference attended by around 150 people from the WA public sector. There were also presentations from the PSC Commissioner, Auditor Generals from WA and NSW, the Information Commissioner, CEOs of the CCC in WA and Queensland, Director General of the Department of Communities, amongst others.

May

05-05-2022

On 5 May the Director State Records and Information Commissioner were joint panellists at the annual FST Digital Transformation conference in Perth attended by about 150 people. The Director also co-hosted discussions at the event with about 50 people from several State and local government agencies, and utilities.

31-05-2022

On 31 May the Director State Records was a guest speaker at the Records and Information Management Professionals Australasia (RIMPA) online seminar Recognising the Importance of Information for Information Awareness Month 2022. The theme for Information Awareness Month was Building Trust in Information and the Director spoke about the importance of building trust as information managers – including an invitation to participate in the development of the WA Information Management Framework.

Jun

02-06-2022

On 2 June the Director State Records was a guest panellist at an online webinar hosted by Microsoft: Data, Compliance and Privacy Risks. The webinar was attended by 400 attendees from across Australia and New Zealand and has been made available for download.

Vale: Leigh Hays

(1 April 1966 – 12 July 2021)

In July 2021, Leigh Hays, Director Archives at the SRO, passed away following a period of illness.

Leigh joined the SRO in December 2002 to oversee preservation, collection management, reference and access services for the State archives collection. He managed the archives team soon after the Act was introduced and during a time of significant change for the office. Leigh provided stability and support to SRO staff at all levels under sometimes challenging circumstances.

Passionate about history and the role of archives in preserving memory and knowledge, Leigh had previously worked at the John Curtin Prime Ministerial Library and the Library and Information Service of WA. He wrote *Worth Telling, Worth Keeping: A guide to the collections of the J.S. Battye Library of Western Australian History* (2002) and also researched and prepared two Centenary of Federation web resources in *Western Australia and federation* (2000) and *Western perspectives on a nation* (2001).



A talented writer, Leigh was able to synthesise a wide range of ideas and concepts into concise, well considered narratives. This was a skill important in preparing government reports, business cases and archival stories. Perhaps Leigh's favourite writing challenge was haiku and Leigh has left the SRO, his friends and family with an entertaining collection of unique and witty poetry.

Leigh played a critical role as a member of the SRO leadership team, providing wisdom and sound judgement to all discussions. Throughout his career, Leigh was recognised for his dedication to archival practice. Leigh was held in high regard by those who worked for him as well as by colleagues across government and the archives profession.

Leigh is survived by his wife, a son, and two daughters and will be greatly missed by his colleagues, friends, and family.

Disability Access and Inclusion

The SRO has a joint Disability Access and Inclusion Plan (DAIP) with the State Library of WA. The current DAIP, 2019-2023, was reviewed by the SRO and State Library in 2021-22 and a number of updates made for action in 2022-23.

The joint DAIP was made to leverage the shared public research space at the J.S Battye Library (Alexander Library Building) in the Perth Cultural Centre.

Accessible online services are facilitated through the SRO and Commission website pages on wa.gov.au.

The SRO also delivers an online service for appointments with an archivist for people unable to travel to Perth.

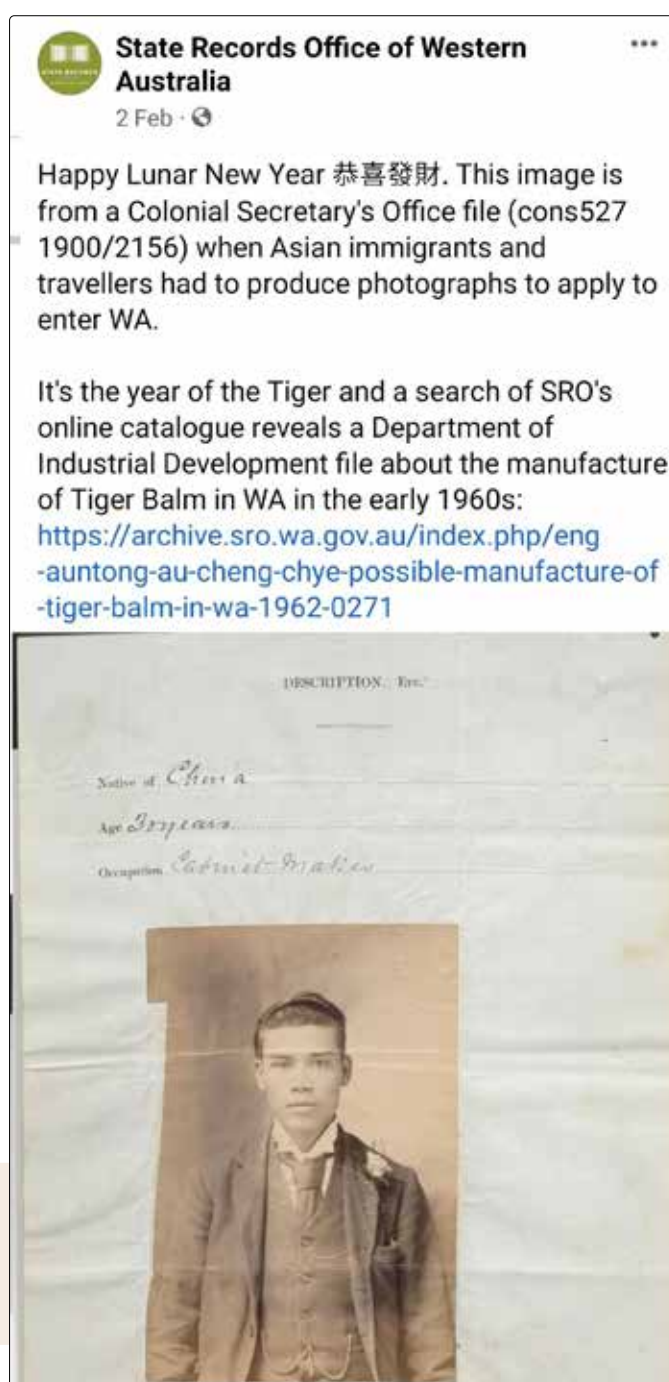


Multicultural Action

The SRO has a joint Multicultural Action Plan with the State Library of WA.

An updated plan for 2022-23 was developed by the SRO and State Library in 2021-22 in consultation with the Office of Multicultural Interests.

The updated plan includes a number of more specific and measurable deliverables, including publishing stories from the State archives collection that acknowledge the contributions of migrants to WA, and updated training for SRO staff.



The State Records Office shares stories via social media that acknowledge the contributions of migrants to WA

Reconciliation Action

The SRO supports ongoing reconciliation work through its mission to 'Ensure permanent accessibility to the essential evidence of the business of government in WA'.

In support of National Reconciliation Week 2022 - 'Be Brave. Make Change' – the SRO partnered with Aboriginal History WA (Department of Local Government, Sport and Cultural Industries) to present a Street Banner in the Perth Cultural Centre between 27 May and 3 June 2022.

Throughout this reporting period the SRO provided assistance and advice on access

to State archives to the Yamatji Government Partnership Committee. On 20 August 2021 an SRO staff member attended a meeting of the Yamatji Indigenous Land Use Agreement Committee in Geraldton. A project funding agreement for improving access to relevant State archives was coordinated and finalised by the SRO in June 2022.



The State Records Office proudly shared a street banner with the Aboriginal History WA (Department of Local Government, Sport and Cultural Industries) for National Reconciliation Week 2022.

Compliance Report – State Records Act 2000

PART or SECTION	NOTES
Part 2	Record keeping plans for parliamentary departments
Section 13 – Amending plans	No action required during 2021-22
Section 14 (2) – Review of plans	No action required during 2021-22
Part 3	Division 2
Section 23(1) – approve or refuse to approve Record Keeping Plans	The Commission approved 50 Record Keeping Plans. 43 of these were fully amended Plans and 7 were continuations of Plans requiring no amendment.
Section 23(2) – give reasons for refusal to approve Record Keeping Plans	All approved
Part 3	Division 3
Section 25 – Commission to have a plan	Current plan to be reviewed by 7 December 2023.
Section 26 – State Records Office to have a plan	The SRO submitted an amended Plan in August 2021 which was approved by the Commission in November 2021.
Section 27 – Schedule 3 organizations to have plans	The Electricity Generation and Retail Corporation (Synergy) Record Keeping Plan, approved by the Minister for Energy in January 2017, was reviewed by Synergy, and a report of the review submitted to the Minister in January 2022 as required under Section 28 (7). An amended Plan is due to be submitted in the next reporting period.

KEY



approved or completed







ongoing action



issue identified



no action required

PART or SECTION	NOTES
Part 3	Division 4
Section 28(3) – the Commission may require an agency to review its Record Keeping Plan (discretionary)	None required.
Section 28(5) – five yearly review of all Record Keeping Plans	The Record Keeping Plans of 48 organisations were due for review during 2021-22 (see Appendix 1).
Section 29(1) – give directions as to intervals for periodic reporting on Record Keeping Plans (discretionary)	Nil
Section 30(1) – give Parliament copies of reports received under section 29	Nil
Part 4	
Section 32 - State archives to be transferred to the State Archives Collection	In 2021-22, the SRO received emergency transfers of State archives from Landgate, Shire of Dundas, Department of Justice and the Australian Health Practitioner Regulation Authority.
Part 5	Division 2
Section 37(2)(b) – restricted access archives identified	In 2021-22 The Commission approved the restriction of 30 files in the State archives collection that were created by the former Department of Aborigines and Native Welfare/Affairs, and which are under the access control of the Department of Local Government, Sport and Cultural Industries. These files were either open access or their access status was undetermined, and upon examination by the State Solicitor's Office, legal and professional privilege was claimed.
Section 37(5) – Review of archives restricted under 37(2)(b)	The next five yearly review is due to be completed during 2025-26.
KEY	
 approved or completed	 ongoing action
 issue identified	 no action required



PART or SECTION	NOTES
Part 5	Division 2
Section 38 (3) – change in restricted access period for records in the State Archives Collection	In 2021-22 the Commission approved the increase in restriction access time periods of 40 Major Crime and Investigations files created by the Western Australia Police and 255 Indictment files created by the Crown Law Department.
Part 5	Division 3
Section 40(2) – approve or refuse to approve the Archives Keeping Plan	The Archives Keeping Plan was approved by the Commission at its 6 December 2019 meeting.
Section 40(3) – give reasons for refusal to approve the Archives Keeping Plan	Not required.
Section 40(4) – direct time for resubmission of the Archives Keeping Plan refused approval under section 40(3)	Not required.
Section 41 – Archives Keeping Plan to be reviewed	The Archives Keeping Plan will be reviewed by 6 December 2024 and a report of the review submitted to the Commission by that date.
Part 5	Division 4
Section 43(3), (4) & (5) – deal with applications from the Director to destroy archives	Nil

KEY



approved or completed



ongoing action



issue identified



no action required

PART or SECTION	NOTES																				
Part 6																					
Section 48 - Archives containing exceptionally sensitive information	In 2021-22 the SRO continued a review of those records in the State archives collection restricted under s.48 of the Act.																				
Part 8																					
Division 1																					
Section 60(1)(a) – monitor the operation of and compliance with the Act	The Commission continues to rely on the Record Keeping Plan review cycle as the chief mechanism for ensuring agency compliance with the Act.																				
Section 60(1)(b) – monitor compliance by government organizations with Record Keeping Plans	The SRO evaluated Record Keeping Plan review reports and amended Record Keeping Plans and results were reported to the Commission.																				
Section 60(1)(c) – inquire into breaches or possible breaches of this Act	<table><tr><td>Alleged breaches</td><td>21-22</td><td>20-21</td><td>19-20</td><td>18-19</td></tr><tr><td>Active</td><td>19</td><td>9</td><td>9</td><td>5</td></tr><tr><td>Resolved</td><td>15</td><td>5</td><td>6</td><td>2</td></tr><tr><td>Carried Forward</td><td>4</td><td>4</td><td>3</td><td>3</td></tr></table>	Alleged breaches	21-22	20-21	19-20	18-19	Active	19	9	9	5	Resolved	15	5	6	2	Carried Forward	4	4	3	3
Alleged breaches	21-22	20-21	19-20	18-19																	
Active	19	9	9	5																	
Resolved	15	5	6	2																	
Carried Forward	4	4	3	3																	
Section 61 – establish principles and standards	<p>The SRO revised the draft proposed template for a Records Management Plan, along with the draft proposed new single <i>SRC Standard: State Records Management and Information Management Maturity Model</i> following feedback from external consultation and an extensive review by the Commission. This was submitted to the Commission in July 2021, and the Commission requested further work on the proposed Standard.</p> <p>The SRO continued refining supporting documents and seeking Commission input during 2021-22.</p> <p>No new record keeping principles and standards were issued during 2021-22.</p>																				

KEY



approved or completed



ongoing action



issue identified



no action required



PART or SECTION	NOTES
Part 8	Division 1
Section 62 – establish committees	The State Records Advisory Committee met three times during 2021-22. 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 4 October 2021. Copies were tabled in Parliament on 12 October 2021
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 29 September 2021
Part 8	Division 2
Section 65(4) – include in annual report any policy directions given by the Minister	None issued.
Section 66(4) – comply with requests by the Minister for information and make facilities available	None received.

KEY



approved or completed



ongoing action



issue identified



no action required



PART or SECTION	NOTES
Part 8	Division 3
Section 68 – Commission may request a government organization to report about its record keeping or an aspect of its record keeping	No requests issued.
Compliance with SRC Standard 2, Principle 6	<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 actions were taken this year to ensure the Commission's compliance:</p> <p>Although the Commission's Record Keeping Plan is not due for review until December 2023, the SRO has updated the Commission's Retention and Disposal Authority, which is a component of the Plan. With the Commission's agreement, a single streamlined Authority was developed covering the records of both the Commission and the SRO. No changes were made to the Commission's retention and disposal arrangements previously approved by the Minister for Culture and the Arts. The Authority was submitted to the Commission for approval in April 2022 and to the Minister for noting in June 2022.</p> <p>An amended Plan for the SRO was approved by the Commission in November 2021. This Plan updated records management policies and procedures and the SRO's Disaster Recovery Plan, incorporating management and protection of the Commission's records.</p>

KEY



approved or completed



ongoing action



issue identified



no action required

Appendix 1



Record Keeping Plans Required for Review in 2021-22

Agency	Review date	Date received
City of Armadale	09 December 2021	09 December 2021
City of Bayswater	17 March 2022	07 June 2022
City of Belmont	12 August 2021	22 July 2021
City of Busselton	12 August 2021	11 August 2021
City of Gosnells	17 March 2022	17 March 2022
City of Greater Geraldton	20 June 2022	20 June 2022
City of Kwinana	09 December 2021	30 September 2021
City of Swan	17 March 2022	17 March 2022
City of Vincent	12 August 2021	08 October 2021
Conservation and Parks Commission	17 March 2022	14 March 2022
East Metropolitan Health Service	17 March 2022	03 March 2022
Edith Cowan University	12 August 2021	28 July 2021
Electricity Generation and Retail Corporation (Synergy)*	24 January 2022	01 February 2022
Fire and Emergency Services Superannuation Fund	17 March 2022	17 March 2022
Gold Corporation	17 March 2022	26 March 2022
Governor's Establishment	10 March 2022	10 March 2022
Main Roads Western Australia	12 August 2021	13 August 2021
Mindarie Regional Council	17 March 2022	08 February 2022
Office of the Chief Psychiatrist	17 March 2022	15 March 2022
Pharmacy Registration Board of Western Australia	02 December 2021	02 December 2021
Pilbara Development Commission	17 March 2022	08 June 2022
Pilbara Regional Council	07 March 2022	19 May 2022
Racing and Wagering Western Australia	17 March 2022	27 May 2022
Shire of Boyup Brook	12 August 2021	06 August 2021

Record Keeping Plans Required for Review in 2021-22

Agency	Review date	Date received
Shire of Collie	17 March 2022	05 April 2022
Shire of Esperance	17 March 2022	17 March 2022
Shire of Jerramungup	12 August 2021	02 August 2021
Shire of Kellerberrin	17 March 2022	01 March 2022
Shire of Laverton	02 December 2021	02 December 2021
Shire of Nannup	12 August 2021	21 September 2021
Shire of Nungarin	02 December 2021	02 December 2021
Shire of Peppermint Grove	17 March 2022	17 March 2022
Shire of Serpentine Jarrahdale	17 March 2022	23 July 2021
Shire of West Arthur	05 October 2021	14 October 2021
Shire of Wickiepin	09 December 2021	29 March 2022
Shire of Wongan Ballidu	17 March 2022	Not yet received
Shire of Yalgoo	09 December 2021	8 December 2021
South West Development Commission	12 August 2021	11 August 2021
Southern Metropolitan Regional Council	09 December 2021	21 December 2021
State Library of Western Australia	02 December 2021	25 November 2021
Swan Bells Foundation Incorporated	09 December 2021	11 October 2021
Tamala Park Regional Council	17 March 2022	17 March 2022
Town of Cottesloe	09 December 2021	09 December 2021
Town of Mosman Park	12 August 2021	12 August 2021
Town of Victoria Park	17 March 2022	Not yet received
Western Australian Local Government Association	09 December 2021	25 November 2021
Western Australian Museum	17 March 2022	17 January 2022

* Review submitted to a body other than the Commission

Appendix 2

New Organisations required to submit Record Keeping Plans in 2021-22

Agency	Review date	Date received
Perth Casino Royal Commission	12 Sep 2021	25 Jun 2021

Appendix 3

Record Keeping Plans due for Review in 2022-23

Agency	Date received
Architects Board of Western Australia	30 August 2022
City of Bunbury	23 March 2023
City of Cockburn	24 October 2022
City of Greater Geraldton	24 October 2022
City of Mandurah	24 October 2022
City of Nedlands	23 March 2023
City of Perth	23 March 2023
Department of Biodiversity, Conservation and Attractions (Department of Parks and Wildlife)	23 March 2023
Department of Communities	23 March 2023
Department of Education	24 October 2022
Department of Education - Education Agencies	24 October 2022
Department of Justice	23 March 2023
Department of Local Government, Sport and Cultural Industries	23 March 2023
Department of Planning, Lands and Heritage	23 March 2023
Department of Primary Industries and Regional Development	23 March 2023
Department of Transport	24 October 2022
Department of Treasury	08 December 2022
Department of Water and Environmental Regulation	23 March 2023
Edith Cowan University Student Guild	30 August 2022
Equal Opportunity Commission	31 May 2023
Horizon Power (Regional Power Corporation)	20 July 2022
Law Reform Commission	23 March 2023
Legal Aid Commission of Western Australia	24 October 2022
Legislative Assembly	28 February 2023
Legislative Council	16 October 2022
Lotteries Commission (Lotterywest)	24 October 2022

Record Keeping Plans due for Review in 2022-23

Agency	Date received
Metropolitan Cemeteries Board	23 March 2023
Mid West Ports Authority	24 October 2022
Office of the Director of Public Prosecutions	24 October 2022
Quadriplegic Centre	23 March 2023
Shire of Collie	17 March 2023
Shire of Dandaragan	30 August 2022
Shire of Donnybrook Balingup	08 December 2022
Shire of Dundas	23 March 2023
Shire of Gingin	24 October 2022
Shire of Mount Marshall	31 May 2023
Shire of Mukinbudin	24 October 2022
Shire of Narembeen	23 March 2023
Shire of Narrogin	23 March 2023
Shire of Plantagenet	31 May 2023
Shire of Shark Bay	31 May 2023
Shire of Trayning	31 May 2023
Shire of Wandering	24 October 2022
Shire of Waroona	24 October 2022
Shire of Williams	24 October 2022
Shire of Wiluna	24 October 2022
Shire of Woodanilling	24 October 2022
Shire of Wyndham East Kimberley	24 October 2022
State Solicitors Office (including the Solicitor General Office)	23 March 2023
Veterinary Surgeons Board	24 October 2022
Western Australia Sports Centre Trust (Venues West)	24 October 2022
Western Australian Electoral Commission	30 August 2022
Western Australian Land Authority (Landcorp)	24 October 2022

Appendix 4

Changes to Disposal Authorities during 2021-22

Organisation name	Type of Disposal Authority	Status at 30 June 2022
Department of Justice - Corrective Services	Amendment	Approved by the Commission
Corruption and Crime Commission	RDA	Approved by the Commission
COVID-19 Health and Vaccination Information	Ad Hoc	Approved by the Commission
Department of Communities	RDA	In progress
Department of Education	RDA	In progress
Department of Education - School, College, and Campus Records	RDA	In progress
Department of Education and Education Agencies, covering External Assessment records	Amendment	Approved by the Commission
Department of Infrastructure	RDA	In progress
Department of Jobs, Tourism, Science and Innovation	RDA	In progress
Department of Local Government, Sport and Cultural Industries	RDA	In progress
Department of Transport	RDA	Approved by the Commission
Department of Water and Environmental Regulation	RDA	Approved by the Commission
Department of Water and Environmental Regulation - Contaminated Sites Committee	RDA	Approved by the Commission
Energy Policy WA	RDA	Approved by the Commission
Gold Corporation (Perth Mint)	RDA	Approved by the Commission
Legal Practice Board of WA	RDA	In progress
Mental Health Services	RDA	Approved by the Commission

Type of Disposal Authority:

Ad Hoc	Ad Hoc Disposal Authority
DL	Disposal List
RDA	Retention and Disposal Authority
GRDA	General Retention and Disposal Authority
SDA	Sector Disposal Authority

Note:

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



Changes to Disposal Authorities during 2021-22

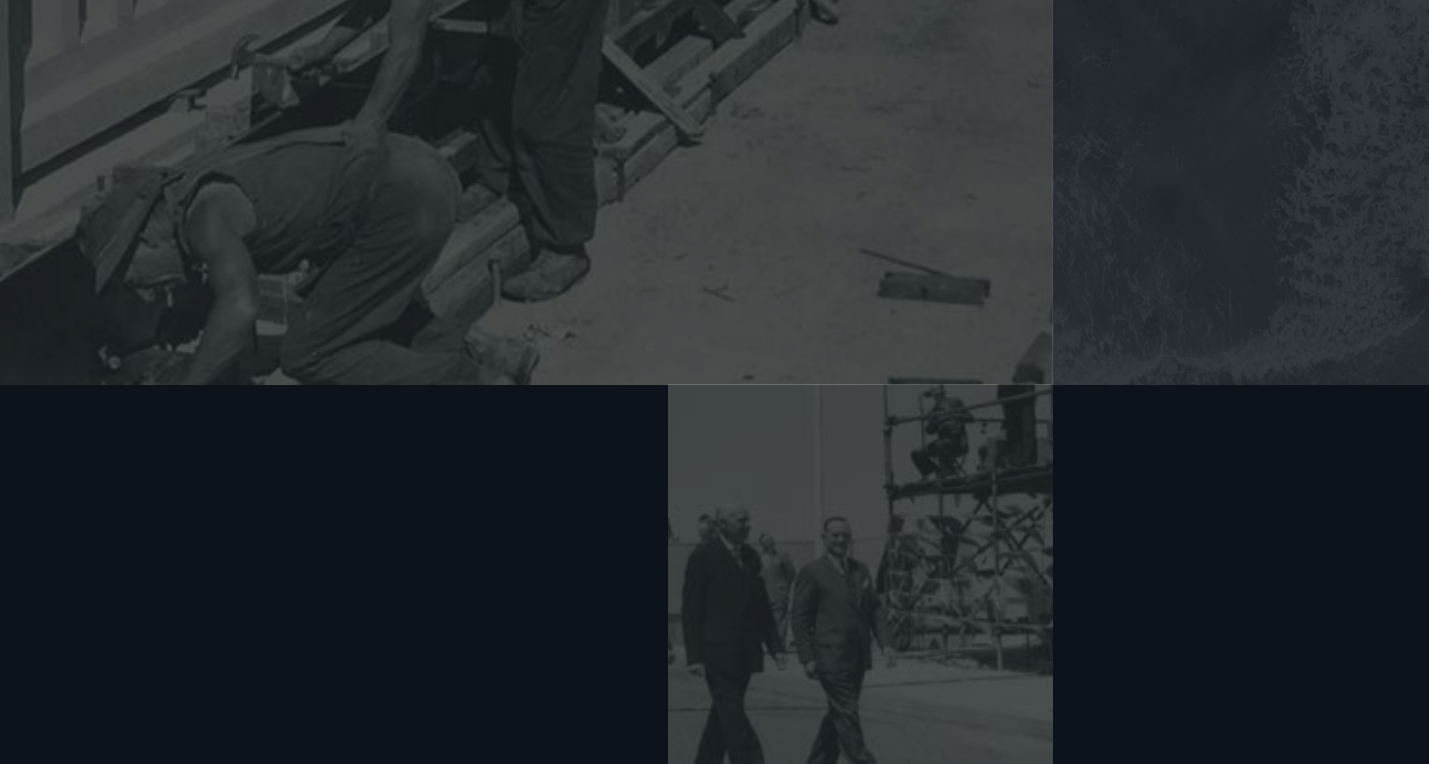
Organisation name	Type of Disposal Authority	Status at 30 June 2022
National Trust of Australia (WA)	RDA	In progress
Parliamentary Commissioner for Administrative Investigations (Ombudsman WA)	RDA	Approved by the Commission
State Records Office & State Records Commission	RDA	Approved by the Commission
State Solicitors Office - Gender Dysphoria Applications and Judicial Instructions	Amendment	Approved by the Commission
TAFE Colleges	RDA	Approved by the Commission
User Data in Government Mobile Device Applications ("Apps")	Ad Hoc	Approved by the Commission
WA Health System	RDA	Approved by the Commission
WA Museum	RDA	Approved by the Commission
Western Australia University Sector Disposal Authority	SDA	In progress
Western Australian Energy Disputes Arbitrator	RDA	Approved by the Commission
Western Australian Greyhound Racing Association (GreyhoundsWA)	RDA	Approved by the Commission
Western Australian Local Government Association (WALGA)	RDA	In progress
Western Power	RDA	Approved by the Commission
WorkCover	Ad Hoc	In progress
WorkCover	RDA	Approved by the Commission

Type of Disposal Authority:

Ad Hoc	Ad Hoc Disposal Authority
DL	Disposal List
RDA	Retention and Disposal Authority
GRDA	General Retention and Disposal Authority
SDA	Sector Disposal Authority

Note:

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



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 2021-22 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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