

Queensland State Archives

# *Moving forward*

Annual Report 2004/05



**Queensland** Government  
Queensland State Archives

Department of Public Works



(L-R) Hon. Robert Swarten, Minister for Public Works, Housing and Racing, Hon. Peter Beattie, Premier and Treasurer and Ms Janet Prowse, Director and State Archivist at the launch of discovery of the Letters Patent 1859, on 8 June 2005

The Honourable Robert Swarten MP  
Minister for Public Works, Housing and Racing  
Level 7  
80 George Street  
Brisbane Qld 4001

*Dear Minister*

*I am pleased to present to you Queensland State Archives' Annual Report on the administration of the Public Records Act 2002 for the financial year ended 30 June 2005. This document represents the third Annual Report presented to Parliament in accordance with the Act.*

*Yours sincerely*

**Ms Janet Prowse**  
Director & State Archivist  
Queensland State Archives

Queensland State Archives  
***Moving forward***

Annual Report 2004/05

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## Message from the Chairperson



(L-R) Mr Kerry Shine, Member for Toowoomba North, Mr Brian Herd, Chairperson for the Public Records Review Committee and Cr Dianne Thorley, Mayor of Toowoomba, at the welcome reception for the Public Records Review Committee held in Toowoomba on 24 November 2004

The Public Records Review Committee has completed its second year of operation, after being established in March 2003 under the *Public Records Act 2002*.

During the past year members have continued to consider and address a range of contemporary information management and recordkeeping issues as well as provide advice to both the Minister for Public Works, Housing and Racing and the State Archivist as appropriate.

The existence of the committee has continued to spur public authorities to seek administrative resolution with Queensland State Archives when differences of opinion or issues of potential dispute arise. It's to the credit of Queensland State Archives that such a cooperative environment has been fostered.

Queensland State Archives' accomplishments over the past year, highlighted in this report, are commendable. It has taken on a lead agency role for a range of issues and, at the same time, continues to deliver its ongoing work programs.

Consistent with one of the main objectives of the *Public Records Act 2002* — that public records are made, managed, kept and preserved for the benefit of present and future generations — Queensland State Archives remains committed to improving access to archival public records through a range of initiatives.

Queensland State Archives continues to engage in the information management challenges presented by electronic records and is planning for a future Digital Archive. The allocation of funding for a range of initiatives in the 2005-06 State Budget affirms the important lead agency role it plays in these areas.

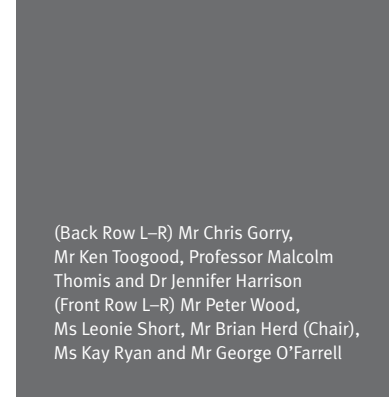
It is reassuring to know the challenges faced by Queensland State Archives are shared by other archival institutions, in Australia and worldwide, and that it continues to be an active participant in the international archival community.

I would like to express gratitude to fellow committee members for their commitment and contributions over the past year, which saw five members reappointed to the committee for further three-year terms. Thank you also to other archival authorities and to representatives of government agencies, the university sector, peak bodies and professional associations which have partnered with, or supported, Queensland State Archives in the past 12 months.

I acknowledge the State Archivist's excellent leadership and thank Queensland State Archives' staff for their professionalism and for the support provided to the committee throughout the year.

**Brian Herd**  
Chairperson

## Public Records Review Committee



(Back Row L-R) Mr Chris Gorry, Mr Ken Toogood, Professor Malcolm Thomis and Dr Jennifer Harrison  
(Front Row L-R) Mr Peter Wood, Ms Leonie Short, Mr Brian Herd (Chair), Ms Kay Ryan and Mr George O'Farrell



The Public Records Review Committee, established in March 2003 under the *Public Records Act 2002* (the Act), advises both the Minister for Public Works, Housing and Racing and the State Archivist on the administration and enforcement of the Act.

The committee can also, if requested by a public authority, review decisions of the State Archivist not to authorise the disposal of particular public records. In addition, the committee can be requested to resolve disputes between the State Archivist and a public authority about how a public record is classified with respect to setting a restricted access period for that record.

Public authorities, in cooperation with the State Archivist, aim to resolve potential disputes before issues are referred to the committee for review or resolution. As at 30 June 2005, the committee had not been called on to perform its dispute resolution or decision review functions.

The committee, chaired by Mr Brian Herd, held three meetings in July and November 2004 and in April 2005. The committee plans to hold one meeting each year outside of the metropolitan area and the November 2004 meeting was held in Toowoomba.

Examples of issues relevant to the administration of the Act, which members considered during the year, include:

- the status of recordkeeping in Queensland's public sector, including Indigenous councils
- the impact of the State Government's Shared Services Initiative on information management and recordkeeping in public sector agencies
- the whole-of-Government policy framework for electronic records management
- planning for a Digital Archive for Queensland
- the recordkeeping implications contained in a number of public reports
- enhancing access to public records in Queensland
- the expansion of Queensland State Archives' facilities under the Runcorn Stage 2 project.

Meetings attendance for 2004-2005 was as follows:

Member	Number of meetings
Mr Brian Herd (Chair)	3
Mr Chris Gorry	3
Dr Jennifer Harrison	3
Mr George O'Farrell	2
Ms Kay Ryan	3
Ms Leonie Short	3
Prof Malcolm Thomis	3
Mr Ken Toogood	2
Mr Peter Wood	3



Queensland State Archives' staff value professional integrity  
*Immigrant Education, 1989. QSA Reference: SRS 189/2 Item 17*

## About Us

### OUR VISION

Connecting people to the recorded memory of government.

### OUR MISSION

To provide leadership in the management of public records for present and future generations.

### OUR VALUES

In May 2005 Queensland State Archives staff identified the following values to be adopted in addition to the values of the Department of Public Works:

- our connection with the recorded memory of Government
- the democratic right to access government information
- professional integrity
- collaboration, cooperation and mutual support.

#### About Us

Queensland State Archives is established under the *Public Records Act 2002* (the Act) as the State's archives and records management authority.

As well as storing and preserving Queensland's largest collection of permanent archival records and managing access to that collection, Queensland State Archives is also the State's lead agency for recordkeeping. In this role, Queensland State Archives has developed key policies and frameworks to assist in improving the standards of recordkeeping across Queensland's 600 public authorities.

#### Functions

Under sections 24 & 25 of the Act, Queensland State Archives has a range of functions and powers including the ability to:

- issue standards regulating the creation, management, disposal, storage and preservation of government records
- conduct research and provide advice to public authorities about making, managing and preserving public records
- issue policies, standards and guidelines to achieve compliance with the legislative and policy frameworks for best practice records management
- ensure the archival collections are accessible to government and to the people of Queensland
- identify and preserve public records of permanent value as the State's archives
- provide climate-controlled storage facilities for permanent archival records.

#### Department of Public Works' Values

In December 2004 seven new organisational values were adopted.

The values **REFLECT** the philosophy and behaviour being sought from all levels of the organisation.

**Respect** – for each other, our clients, the diversity of skills in the workforce and the diversity of cultural backgrounds.

**Efficiency** – in the way business is conducted and in dealing with clients.

**Flexibility** – in working arrangements, dealing with clients and dealing with problems.

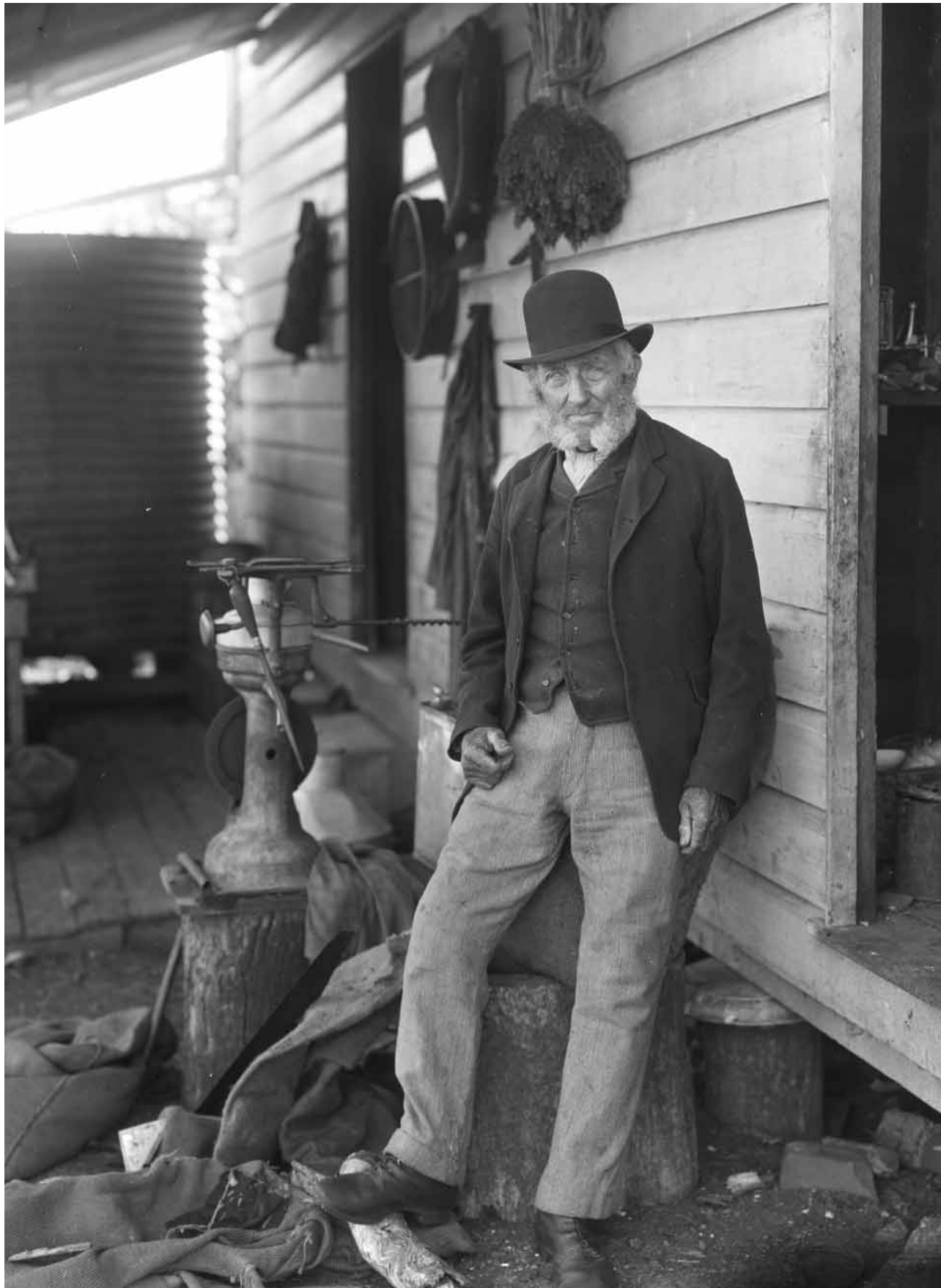
**Leadership** – that provides clear organisational strategic direction; that encourages teamwork to achieve the strategic direction; that is visible and consistent; that leads by example; and that allows management and employees to be partners.

**Encouragement** – in career progression, in personal development and to think of innovative ways of doing business.

**Communication** – that is open, consistent and two-way.

**Trust** – between management and employees, and between Public Works and its clients.

“Connecting people  
to the recorded memory  
of government.”



Queensland State Archives' staff value the demographic right to access government information  
 Mr Gillim Senior, Spring Creek, 1897. QSA Reference: SRS 167 Item 5, Image No 332

## Highlights



Mr Michael Kraus, Senior Research Analyst at launch of the *Guidelines for the Digitisation of Paper Records* at a Recordkeepers' Forum, May 2005

This section provides an overview of notable achievements undertaken in 2004-05 to improve government recordkeeping and enhance public access to archival collections of public records.

### Smart Directions

In December 2004 the Queensland Government released the *Smart Directions Statement for Information and Communications Technology*. The statement establishes a Strategic Information and ICT Governance Framework for effective whole-of-Government decision-making that recognises the strong relationship between strategic information and information and communications technology.

Queensland State Archives is represented on the Strategic Information and ICT Board, which meets monthly to consider whole-of-Government strategic information and ICT issues. The Governance Framework will enable Queensland State Archives to make a contribution, along with other board members, to improving whole-of-Government decision-making on these issues.

### Developing the recordkeeping policy framework

Queensland State Archives' Recordkeeping Policy Framework is a whole-of-Government program designed to help public authorities establish and maintain recordkeeping as a systematic part of business operations so that records are identified, captured, managed and retained in accessible and usable formats that preserve the integrity of those records over time. Queensland State Archives continued to review and enhance this framework in 2004-05.

Released in May 2005 the *Guideline for the Digitisation of Paper Records* provides comprehensive advice on aspects of implementing and managing digitisation programs. The guideline covers the recordkeeping and technical aspects of digitisation and provides an overview of the metadata and storage requirements to be considered. It is the first of its kind to be released in Australia and was developed in consultation with government agencies and other archival authorities.

Recent advances to web-based technologies prompted the review of an existing policy, *Managing Records of Webpages and Websites*, with the updated guideline due for release in early 2005-06.



(L-R) Ms Karen Friedl, Manager Collections and Access, Mr Michael Hallam, Manager Business Services and Planning with Mr Misha Jovanovic, Project Manager Archives One

#### Support for electronic document and records management systems

Queensland State Archives continued to support CorpTech's implementation of a new Electronic Document and Records Management System (eDRMS) for State Government departments through its membership of management and working groups, the provision of expert advice and by peer reviewing training materials and issues papers. Queensland State Archives also negotiated a whole-of-Government licence agreement for the modification and use of Keyword AAA, and supported the development of information management tools. Queensland State Archives will continue to offer support to this important program in 2005-06.

#### Expansion of the Runcorn Facility

In the 2005-06 State Budget the Queensland Government announced a commitment of \$52 million for a major expansion to Queensland State Archives' facilities at Runcorn, Brisbane. Due to open by early 2008, the expansion will double the current storage capacity which is expected to satisfy the known storage requirements for the paper-based archival public records of the Queensland Government for the next 10 to 15 years. Provision will also be made in the facility for the State's first Digital Archive.

#### Racing inquiries

Queensland State Archives provided recordkeeping advice and assistance to the Commission of Inquiry into the Integrity Management Structures within the Three Codes of Racing and the Queensland Thoroughbred Racing Inquiry. Retention and Disposal Schedules were developed for both Commissions and the first regulations to be developed under the *Public Records Act 2002* were approved to designate ownership of these public records after the Inquiries.

#### University sector

The first comprehensive Retention and Disposal Schedule for the Queensland University sector was approved by the State Archivist in June 2005 after extensive research and consultation. The schedule, which represents a joint initiative between Queensland State Archives and the University sector, won a prestigious 2004 Records Management Association of Australasia award for Outstanding Group Achievement.

#### Capacity development framework and strategy

In November 2004 Queensland State Archives released its *Capacity Development Framework and Strategy*, which aims to build the capacity of government employees to improve how public records are managed over time. The framework identifies three areas for action in building information management and recordkeeping capacity across government: awareness, skills and attitude.

To improve the management of emails as public records, Queensland State Archives partnered the Centre for Innovation and Development at TAFE Queensland to develop an online training module. Released in March 2005 under the Government Online Learning Delivery Program, the training module promotes the essential features of best practice email management and is available for downloading free from Queensland State Archives' web site.

Three Recordkeepers' Forums were held in 2004-05 to raise awareness of contemporary information management and recordkeeping best practice issues. To accelerate capacity in certain areas, Queensland State Archives organised fee-based masterclasses for government employees on recordkeeping metadata and on how to develop Retention and Disposal Schedules.

## "Improving Government recordkeeping"



Ms Katrin Hurlimann-Graham, Acting Senior Archivist and Ms Fiona Gaske, Assistant Manager Collections and Access, have developed a Small Archives Seminar Program aimed at helping regional cultural institutions

#### Survey program

To gain information on the status of government recordkeeping, Queensland State Archives conducts surveys in partnership with the Office of Economic and Statistical Research.

One of the three surveys undertaken in 2004-05 covered the extent and nature of archival public records still held in the physical custody of public authorities across the State. Survey results informed the business case for the development of an expanded government archival facility at Runcorn. Chief executive officers of public authorities were surveyed on their awareness of various obligations under Queensland's legislative and policy frameworks for recordkeeping, and public authorities were surveyed on aspects of email management.

#### Sugar industry

With the privatisation of the sugar industry, Queensland State Archives has been working with the Department of Primary Industries and Fisheries to recover public records into the custody of the State. Requests to regional cane production boards for the return of public records resulted in several transfers of sugar industry records to Queensland State Archives, which is developing a Retention and Disposal Schedule for the industry.

#### Improving collection management

In 2004-05 work began to improve the collection management system and database known as *Archives One*. The enhancements to the system and database comply with international archival standards and will position Queensland State Archives to take advantage of initiatives in the global online heritage sector.

Both *Archives One* and *ArchivesSearch*, the online public access catalogue, are being redesigned to facilitate more sophisticated search options for members of the public. Keyword searching will be improved through

the addition of subject entry points to collection information. Work continued on the development of high quality item level descriptions and on the creation of digital surrogates of collection items, as Queensland State Archives prepares to advance its efforts in making aspects of the archival collection available to researchers online.

#### Outreach services

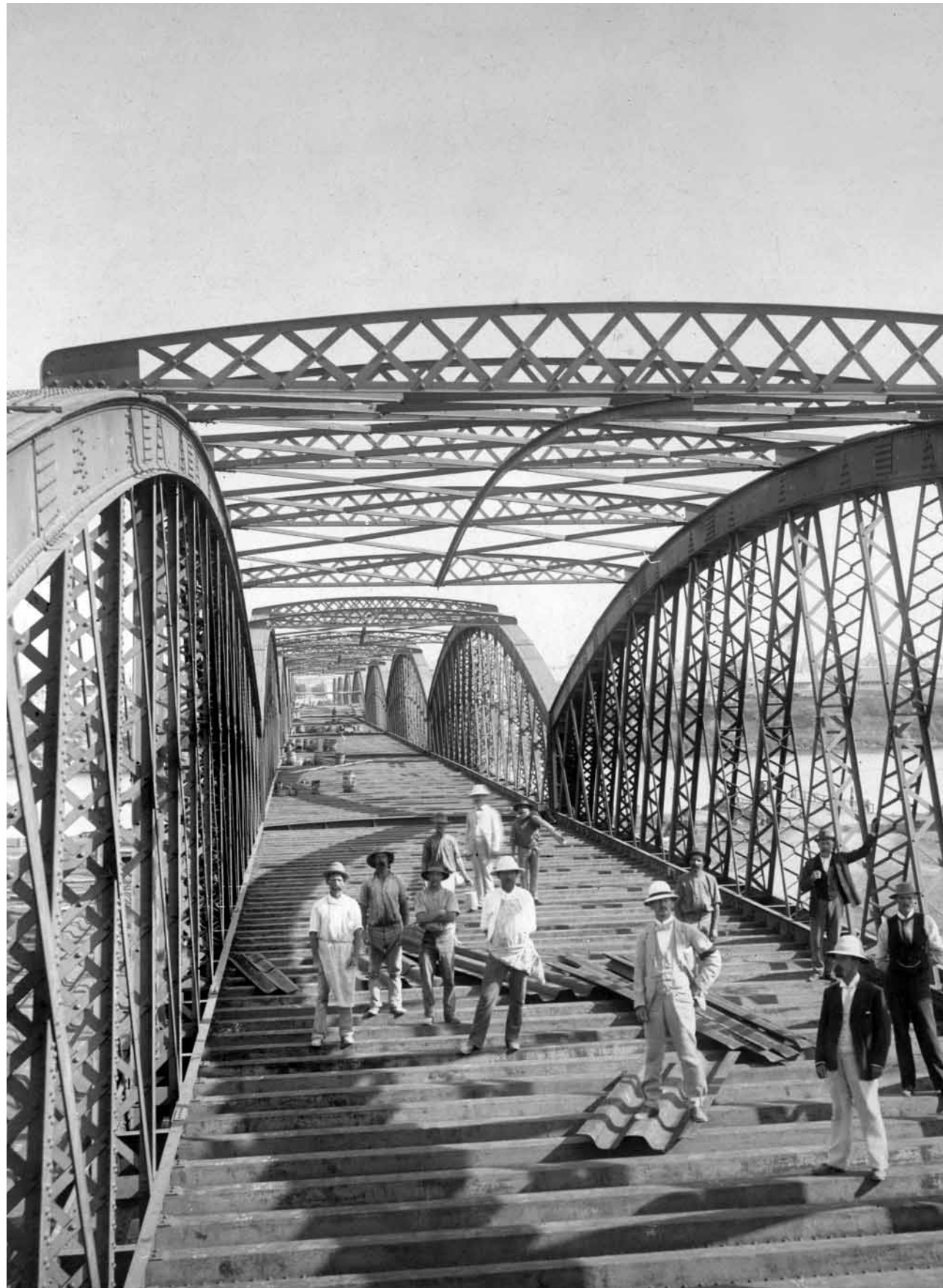
Queensland State Archives developed a *Small Archives Seminar Program* to provide regional archives, libraries, schools, historical societies, museums and galleries with an overview of collection management issues. This year's seminar was held in Bundaberg, with information provided to participants on collection development, donation and copyright agreements, digitisation and grants, describing collections, preservation and storage.

Queensland State Archives has continued a program of regional field trips to provide information on collections and access and to raise awareness of recent developments, including online services. Highlights included participation in the annual Australian-Italian Festival in Ingham, where an information stand on Italian Documentary Heritage attracted thousands of visitors.

#### Multicultural initiatives

Queensland State Archives is a member of the Department of Public Works' Multicultural Committee, formed in May 2005. The committee is responsible for implementing key strategies of the government's multicultural policy. Queensland State Archives will develop a range of activities including online and touring exhibitions, seminars and publications utilising multicultural records from its collection. Information will be made available through participation in multicultural festivals. Queensland State Archives will partner with organisations across the cultural heritage sector and Multicultural Affairs Queensland.

## "enhancing public access"



Queensland State Archives' staff value their connection with the recorded memory of government  
*The Burnett River bridge, Bundaberg, 1900. QSA Reference: PRV 14402/1 Item 12*

## Future Directions



Ms Rowena Loo, Senior Research Analyst

This section highlights key challenges ahead for Queensland State Archives in improving government recordkeeping and enhancing public access to archival collections.

### **Governance arrangements for the expanded Runcorn facility**

As mentioned in the highlights section of this report, planning is underway to design and construct an expanded archival facility at Runcorn. Collection management reforms to be introduced in the lead up to the opening of the expanded facility include a focus on preservation strategies for the film, microfilm and photographic collections. With the new facility to double the current storage capacity, a warehouse management review will be undertaken. The transfers program will be expanded, with additional guidelines produced for agencies to assist them in appraising archival collections in their custody and to prepare permanent records for transfer. A security review will be undertaken in 2006 to examine if any additional measures are needed to safeguard the integrity and long-term preservation of the archival collections and associated infrastructure.

### **Planning for the State's first Digital Archive**

Planning is underway on the development of a major business case to seek funding for the State's first Digital Archive. Space for the Digital Archive will be made available in the expanded Runcorn facility. Integral to the successful operation of a Digital Archive will be the proposed expanded policy framework for electronic records management (see below), including the identification of long-term preservation formats and the development over the next few years, with other government archival authorities in Australia, of a suite of internal operating policies, guidelines and procedures.

### **E-Government policy framework for electronic records management**

In response to research findings, Queensland State Archives will prepare an *e-Government Policy Framework for Electronic Records Management*. The framework will be an integrated program to help public authorities manage records in the electronic environment. A discussion paper will be developed as part of a consultation program seeking agreement on the suite of policies, standards and guidelines in this area. It is anticipated that the framework will address issues such as strategies for long term preservation, recordkeeping metadata and recordkeeping implications of specific types of electronic records.



(L-R) Members of Department of Public Works' Project Services team responsible for the Stage Two construction, Mr John Lennon, Fire Engineer, Mr Bretton Watson, Architect and Mr Greg O'Brien Structural Engineer, inspect the site

The framework will complement the programming for the Digital Archive, to ensure public authorities consistently manage electronic records for as long as they are required. Challenges for Queensland State Archives as the lead agency for government recordkeeping include the ability to dedicate adequate resources to research and develop a whole-of-Government integrated program for electronic records management, rather than respond via an ad hoc, piecemeal approach.

**Advice on the disposal of public records**

To comply with *Information Standard 40: Recordkeeping* agencies must have a comprehensive Retention and Disposal Schedule identifying core business records and appropriate retention periods.

Queensland State Archives will publish a guideline in early 2005-06 on how to develop such schedules, including advice on the processes involved, on seeking approval from the State Archivist, and on maintaining and reviewing existing schedules. Another guideline will be developed for agencies to provide advice on the implementation of Retention and Disposal Schedules at an enterprise level. Such guidelines support public authorities in meeting their obligations under the *Public Records Act 2002 and Information Standard 31: Retention and Disposal of Public Records*.

An emerging issue is the disposal of original paper records once these have been digitised. Public authorities need the permission of the State Archivist before records can be disposed of. In 2005-06 Queensland State Archives will develop a discussion paper and consult with public authorities to determine if, and under what conditions, the State Archivist should authorise the disposal of paper records after digitisation. Queensland State Archives does not intend to consider the disposal of public

records which are identified as having a permanent retention status. Following the consultation process a policy position will be determined and an accompanying checklist will be developed for agencies to seek authorisation, ensuring that systems and strategies are in place to maintain the authenticity and integrity of electronic records over time.

**Contribution to whole-of-Government policy frameworks**

In 2005-06 Queensland State Archives will continue to offer high level recordkeeping policy advice on a range of government priority areas, initiatives and forums, such as Smart Directions, the Shared Services initiative and through membership of the Strategic Information and ICT Board.

Queensland State Archives will also continue to provide advice on the recordkeeping functionality of major new information management systems being developed and implemented by public authorities.

**Improvements in public access**

Queensland State Archives has acknowledged the need for a sustainable web-based publishing program to enhance regional and rural access to the archival collections.

With the largest and most significant documentary heritage collection in the State, Queensland State Archives plans to examine ways to increase access to the collection by offering further online services and exhibitions. In 2005-06 Queensland State Archives will research creative ways to introduce these additional services.



Queensland State Archives' staff value collaboration, cooperation and mutual support  
Caloundra, 1959. QSA Reference: QS 189/A Item 12 Photo ID 2081



# Outputs & Outcomes



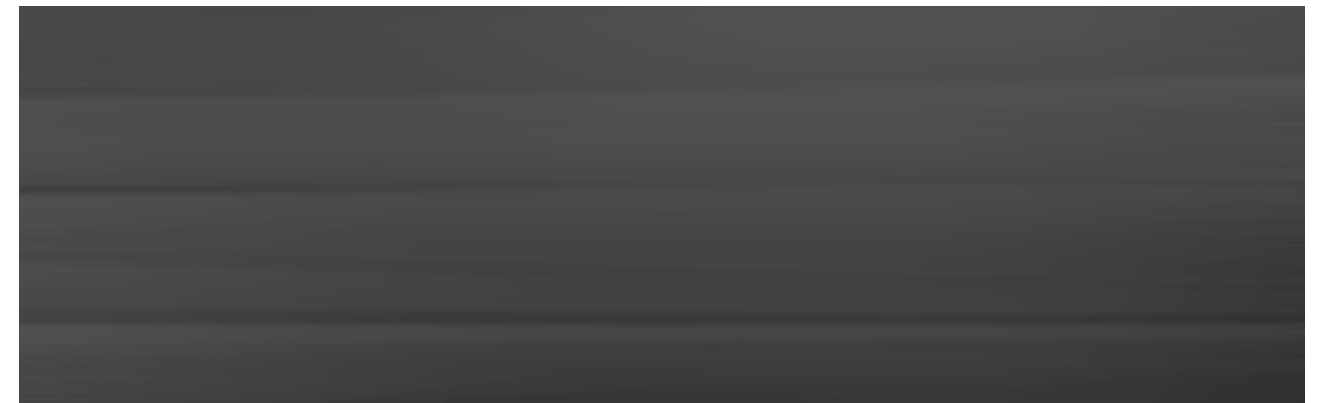
In 2004-05 Queensland State Archives held three Recordkeepers' Forums

Queensland State Archives has two major outputs that make a contribution to the achievement of the following Government priorities:

Whole-of-Government priority:	Delivering responsive government
Output:	Support a responsive public sector focussed on improving government service delivery
Sub Output One:	Government Recordkeeping
Contribution:	Improving the delivery of government services and information to the community

## Outcomes 2004-05

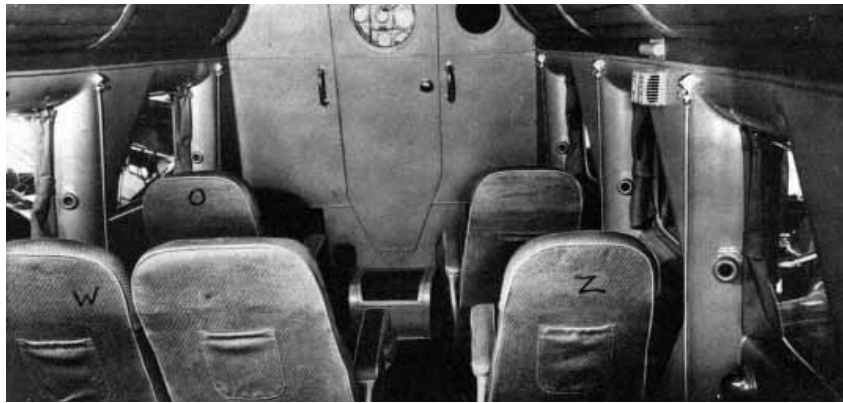
- hosted two meetings of the Public Records Review Committee in Brisbane to advise both the Minister for Public Works, Housing and Racing and the State Archivist on the administration and enforcement of the *Public Records Act 2002*
- hosted one meeting of the Public Records Review Committee in Toowoomba, complemented by a meeting with representatives of public authorities in the region, a visit to the University of Southern Queensland and a lunch with representatives of family and local history groups in the area.
- facilitated three Recordkeepers' Forums attended by an average of 86 people from 42 agencies. These forums provided a valuable networking and educational opportunity for public sector employees.
- developed and delivered a survey, with the Office of Economic and Statistical Research, to measure the awareness of public authority chief executives to determine their awareness of a range of requirements under Queensland's legislative and policy framework for recordkeeping
- developed and delivered a survey, with the Office of Economic and Statistical Research, to measure the quantity and condition of older public records held by public authorities
- analysed results of an email management survey



(L-R) Ms Josephine Horner, Queensland State Archives, Mr Michael Rogers, Queensland State Archives, Ms Marguerite Stringer, University of Queensland, Livia Kovach-Vigh, Queensland University of Technology and Ingrid MacDonald, Queensland State Archives

“Developed and released 15 Public Records Alerts, providing brief advice on different aspects of recordkeeping and information management.”

- launched the *Managing Electronic Messages as Records* online training module under the Government Online Learning Delivery program
- launched the *Capacity Development Framework and Strategy* to improve aspects of information management across government
- researched and released the *Guideline for the Digitisation of Paper Records*
- held masterclasses on developing retention and disposal schedules and creating and managing recordkeeping metadata, each attended by an average of 75 people from 32 agencies.
- developed and released 15 Public Records Alerts, providing brief advice on different aspects of recordkeeping and information management including training opportunities, understanding recordkeeping metadata and identifying public records in the electronic environment
- approved the first comprehensive Retention and Disposal Schedules for the University Sector, the Queensland Rural Adjustment Authority and the Queensland Ambulance Service
- issued disposal authorities for records from the Department of Corrective Services, the Surveyors Board of Queensland, the Queensland Police Service, the Commissions of Inquiry into the Racing Industry, the Queensland Department of Health and the Department of Primary Industries and Fisheries.



The inside of a Stinson plane used as evidence in the Stinson Air crash Inquest of 1937. QSA Reference: JUS/N 1026 244 37



(L-R) Ms Elizabeth Hawkins Reference Archivist, Mr Niles Elvery Manager Public Access and Ms Shiranthi Siyambalapatiya, Reference Archivist, plan a future exhibition



Whole-of-Government priority: Delivering responsive government  
 Output: Engage communities in government decisions and processes  
 Sub output Two: Collection management and public access  
 Contribution: Providing the community with access to the State's historical and cultural records

**Outcomes 2004-05**

- transferred 37 consignments of archival records measuring 341 linear metres to the Runcorn repositories, including 4,429 plans
- managed significant transfers of archival records including permanent investigation files from the Crime and Misconduct Commission (1990-2002), records of the Commission of Inquiry into the Integrity Management Structures within the Three Codes of Racing (2004) and ecclesiastical files from the Supreme Court, Townsville (1875-1984)
- other transfers included plans and drawings of Harbours and Marine Infrastructure (1882-1996), records from the Proserpine and Mulgrave Cane Production Boards, matrimonial petitions from the Supreme Court, Townsville (1961-1976), the executive minutes of the Local Government Association of Queensland (1896-2003), some 700 school admission registers from various state schools, and a series of correspondence from the Office of the Governor, (1977 – 1984)
- revised descriptions of several records series to provide high quality item level descriptions, including Chief Secretary's batch files (1871-1972), Murray Island court records (1908-1983), Torres Strait Islander personal files (1945-1999), ecclesiastical files, staff files, intestacy files and files on government buildings
- surveyed the motion picture film collection (10,797 films) to determine preservation issues
- identified the Deed Poll under Letters Patent, 22 Aug 1872, to transfer to Queensland from New South Wales all islands within 60 miles of the coast, located in Chief Secretary's batch files
- media announcement by the Premier during Queensland Week 2005 of the discovery in England of two of Queensland's founding documents, copies of which are available from the Queensland State Archives' website
- provided public access to archival records for over 8,255 researchers at the Runcorn public search room and recorded 4,284,437 hits on the Queensland State Archives website
- provided assistance with 22,782 reference queries and retrieved 28,285 archival records for researchers in the public search room
- presented 11 seminars on collections and services for the general public
- presented three seminars in partnership with the State Library of Queensland and the National Archives of Australia, Brisbane Office

- provided tours of the Runcorn repositories to 543 members of 31 local and family history groups and community organisations
- launched the exhibition *Our Built Heritage* in recognition of the Year of the Built Environment 2004
- developed and produced a promotional DVD, *Our Built Heritage*, for daily screening at the Government Theatre at the Royal Queensland Show
- delivered presentations at meetings of four local and family history groups
- provided information on collections and services to regional Queensland through field trips to Townsville, Charters Towers, Bowen, Warwick, Stanthorpe, Goondiwindi, St. George and Ingham
- hosted two morning teas for the public with the State Archivist to discuss research activities and issues
- hosted an education visit by Clara Budnik, Director National Library, Archives and Museums, Chile
- participated in the Queensland Multicultural Documentary Heritage Workshop
- presented a Small Archives Seminar to regional collecting institutions in Bundaberg
- revised eight Brief Guides and Search Procedures
- produced four Runcorn Record newsletters to public clients
- reviewed and publicly released the 1974 Cabinet minutes
- planned and delivered an annual event for Local Studies librarians at Queensland State Archives
- conducted a business process review of archival collection management to provide essential data for the Collection Management Project
- performed 1,509 preservation treatments on archival records, including digitising the Stinson Air crash Inquest file of 1937 to protect it from further deterioration from overuse
- produced 161 rolls of microfilm of archival records, comprising 100,210 frames
- created 29,931 digital images of archival records
- took 1,907 photographs for preservation purposes
- answered 139 detailed queries for conservation information from clients, including regional clients.



Queensland State Archives' staff value the demographic right to access government information  
 Hon Gough Whitlam, Prime Minister calls on Hon Joh Bjelke-Petersen, Premier of Queensland March 1973. QSA Reference: QSA 189/1 Item 16

## Status of Government Recordkeeping



Energy Sector reference group meeting,  
 July 2005

### Overview

Queensland State Archives provides leadership in the management of public records, offering advice and strategies to public authorities to ensure records are created and maintained for business needs, accountability and the benefit of future generations.

In accordance with this leadership role, Queensland State Archives annually reports on the status of government recordkeeping under Section 56 of the *Public Records Act 2002*.

During the past year Queensland State Archives continued to provide high level policy advice to public authorities on best practice recordkeeping and aspects of information management.

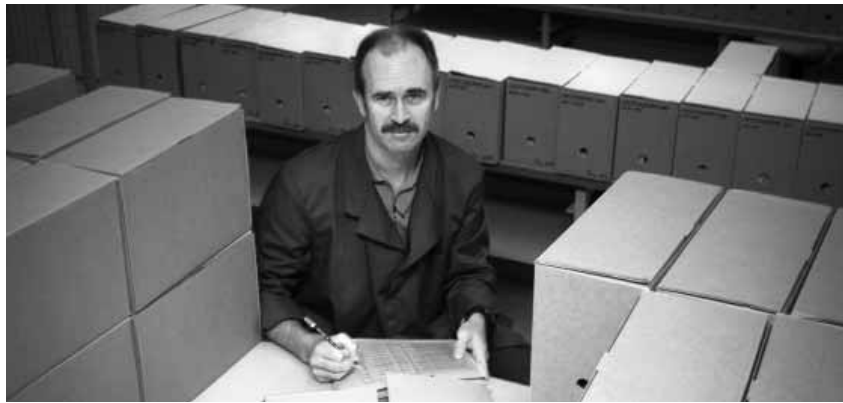
Information on the status of government recordkeeping in Queensland is gathered from a number of sources including feedback on progress of public authorities' Strategic Recordkeeping Implementation Plans, whole-of-Government surveys, analysis of various government reporting requirements and interactions with public authorities on major information management issues and projects.

Under amended annual report guidelines for Queensland Government agencies, chief executive officers must now provide details of their compliance with the *Public Records Act 2002* and *Information Standard 40: Recordkeeping*. Annual reports will soon provide another avenue to assess recordkeeping reforms.

### 1. Agency findings

To comply with *Information Standard 40: Recordkeeping* public authorities were required to submit Strategic Recordkeeping Implementation Plans (SRIPs) or complete SRIP questionnaires by June 2004. However in 2005, 11 additional plans were submitted for review, mostly from local governments.

An analysis of these plans revealed similar challenges to those reported in previous years. Capacity issues, including raising awareness of recordkeeping requirements and the lack of trained staff, were the most common challenges identified. Other issues included the need to improve the management of electronic records, monitoring and auditing recordkeeping systems and processes, documenting recordkeeping requirements and procedures and adequate storage facilities for temporary records.



Mr Greg Dobeli, Transfers Officer, sorts through Road and Bridge job files recently transferred from Main Roads Department

Queensland State Archives continues to develop and introduce initiatives to address issues identified through the SRIP process. Key initiatives under development include:

- an *e-Government Policy Framework for Electronic Records Management*
- a Capacity Development Strategy to raise awareness of recordkeeping issues, address cultural change and enhance information management skills across public authorities
- a self-assessment tool for agencies as part of a broader audit and compliance framework
- guidelines and tools to assist agencies address a range of contemporary information management and recordkeeping challenges.

## 2. Survey program

In partnership with the Office of Economic and Statistical Research (OESR), Queensland State Archives undertakes regular surveys to assess public authorities' progression towards best practice recordkeeping and information management. As the SRIP process is largely complete, surveys will be a key tool used for Queensland State Archives to gather information on the status of government recordkeeping. Survey results will provide a valuable benchmark for future assessments and are used to guide priorities for Queensland State Archives' policy program.

### 2.1 Email management

In mid 2004 Queensland State Archives and OESR surveyed 217 public authorities (including State Government departments, local governments, Government-owned corporations and large statutory entities) to determine the level of recordkeeping applied to emails. Analysis of the survey results revealed that while a majority of agencies recognised that emails can be public records, many reported difficulties in capturing and managing these records. Other findings include:

- a large number of local governments (53%) and statutory entities (42%) do not have policies, procedures, standards or guidelines for managing emails or electronic records
- 24% of agencies do not have a means of assessing how many e-mails they receive each day
- 50% of agencies reported that business emails are generally not captured within their recordkeeping system
- 43% of agencies agree that staff outside their recordkeeping area have only limited understanding of how to capture e-mails as public records
- while 80% of agencies had conducted some training in e-mail management for their staff, only 30% routinely include it in induction programs
- 46% of agencies with procedures for managing email accounts after staff leave reported that abandoned e-mail accounts are often deleted with little thought given to preserving the business e-mails contained within.

Queensland State Archives secured funding from the Department of Employment and Training and worked with TAFE to develop the online learning module, *Managing Electronic Messages as Records*, to help raise awareness of recordkeeping obligations regarding email. The module is designed for all staff who send and receive emails and is available at [www.onlinelearning.qld.gov.au](http://www.onlinelearning.qld.gov.au)

### 2.2 Awareness levels of Chief Executive Officers

The *Public Records Act 2002* places certain obligations on chief executive officers of public authorities. A survey of 226 State Government departments, local governments, Government-owned corporations and large statutory entities was undertaken to determine their awareness of statutory obligations under the Act and its supporting recordkeeping Information Standards.

Overall the survey results were positive, with high levels of awareness (over 90%) of recordkeeping responsibilities, including obligations to:

- keep full and accurate records
- have regard to any relevant policy, standards and guidelines issued by the State Archivist
- have an identified senior officer responsible for the recordkeeping program
- only dispose of records under an authority given by the State Archivist.



Ms Nicole Hatherly, Executive Assistant with Mrs Cathy Mahoney, Acting Manager Policy and Research Unit

The survey identified some weaknesses, including the absence of strategies to manage electronic records over time, the need for further consideration of recordkeeping functionality in business systems and the lack of internal audits of recordkeeping compliance.

Key responses for Queensland State Archives arising from this survey include the development of:

- an *e-Government Policy Framework for Electronic Records Management*, as an integrated program to improve the management of electronic records across 600 public authorities
- a business case for a Digital Archive, in order to address the Queensland Government's strategic needs for the long-term preservation of records in electronic formats
- a compliance and audit framework for agencies to self-assess their progress towards recordkeeping obligations.

### 3. Recordkeeping implications from other reports

A range of government reports released in 2004-05 highlighted the importance of recordkeeping. Where appropriate, Queensland State Archives offers advice to agencies identified in such public reports to support their progress towards improved recordkeeping systems and practices.

In June 2005 the Queensland Ombudsman released the *Workplace Electrocution Project* report which, among other findings, emphasised the importance of good records to facilitate investigations. The report also noted steps taken by the Department of Industrial Relations to improve recordkeeping training for its investigators.



In a report on his meeting with the Parliamentary Legal, Constitutional and Administrative Review Committee, the Queensland Ombudsman noted that many agencies have inadequate or nonexistent policies and procedures for complaint handling and a lack of centralised electronic databases for recording, managing and tracking client complaints.

The Queensland Audit Office released a report on Indigenous councils that highlighted basic recordkeeping inadequacies such as the failure by some of these entities to keep minutes of council meetings and decision-making processes. Queensland State Archives is working with the Department of Local Government, Planning, Sport and Recreation to include information on recordkeeping obligations in the Corporate Governance Improvement Strategy being implemented by this department in partnership with Indigenous councils.

### 4. Recordkeeping implications for Shared Services

Queensland State Archives continued to provide advice on the transition of agencies' document and records management functions to Shared Service Providers (SSPs). Recordkeeping tools and advice on training strategies were among the support provided to CorpTech's Electronic Document and Records Management System project.

Queensland State Archives has adopted a watching brief on the Shared Services Initiative. Issues under review include:

- concern over the need for consistent recordkeeping practices across agencies and SSPs
- further clarification on whether SSPs will develop recordkeeping policies for all the agencies in their cluster
- concern over the impact of the transition of key recordkeeping staff from agencies to SSPs. Qualified staff within agencies are still required to drive internal recordkeeping reforms, monitor SSP performance in accordance with agreed standards and ensure compliance with obligations under the *Public Records Act 2002*.

### 5. Sustaining recordkeeping reform

Sustained recordkeeping reforms and improvements require ongoing support and commitment from chief executives of public authorities.

Queensland State Archives has been encouraged by the response to the CEO Awareness Survey which confirmed that significant recordkeeping issues are being considered on executive agendas. The new requirements for chief executive officers to report annually on their recordkeeping reforms will be a significant driver in ensuring ongoing momentum towards best practice recordkeeping across government.

In 2005-06 Queensland State Archives will continue to work productively with public authorities to provide high-level policy advice and recordkeeping policies and tools to assist in promoting best practice records management. A focus for 2005-06 will be improving communication with chief executives to encourage further reforms in this area.

# Queensland State Archives Corporate Profile



Mr Mal Grierson, Director-General of the Department of Public Works, addresses Queensland State Archives staff

## Organisational Capacity

Queensland State Archives works within an integrated planning framework to ensure that the Government's priorities and policies, and the department's strategic directions are reflected in its corporate governance plans and performance.

We achieve this through:

- a clear mission for the organisation which delivers strategic priorities
- a culture which treats employees with courtesy, fairness and respect
- a proactive, responsive and positive leadership team.

## Equal Employment Opportunity

Queensland State Archives is committed to complying with the requirements of the *Anti-Discrimination Act 1991* and the *Equal Opportunity in Public Employment Act 1992*.

## Employment Profile

As of 30 June 2005 Queensland State Archives had 43 full-time equivalent employees.

### EEO profile as of 30 June 2005

Aboriginal & Torres Strait Islanders	0
People With Disability	1
Non English Speaking Background	7
Women Ao6 plus	8
Women SO plus	1

## Volunteers

Queensland State Archives acknowledges and appreciates the support provided by these volunteers. In 2004-05 eight volunteers provided assistance in indexing the Queensland State Archives' collection.

## Services to Indigenous people

In 2004 Loris Williams from the Department of Aboriginal and Torres Strait Islander Policy's Community and Personal Histories branch became the first Indigenous archivist in Queensland and the second in Australia.

It was with great sadness that we acknowledge Loris passed away on 28 August 2005 after a short illness.

The Community and Personal Histories branch of that department continues to operate a research service for the Indigenous community from the Queensland State Archives facility at Runcorn.

## Recordkeeping

Queensland State Archives is progressively implementing its Strategic Recordkeeping Implementation Plan which was approved in 2004. During 2004-05 Queensland State Archives also commenced preparations for an Electronic Document and Records Management System by redeveloping shared drives and an improved business classification scheme.

## Workplace Health and Safety

The Workplace Health and Safety Committee meets regularly to address relevant issues.

## Workforce Management

In 2005 Queensland State Archives continued the development of a Workforce Plan to ensure the capacity of its own workforce in meeting its legislative roles and functions.

## Financial Statements

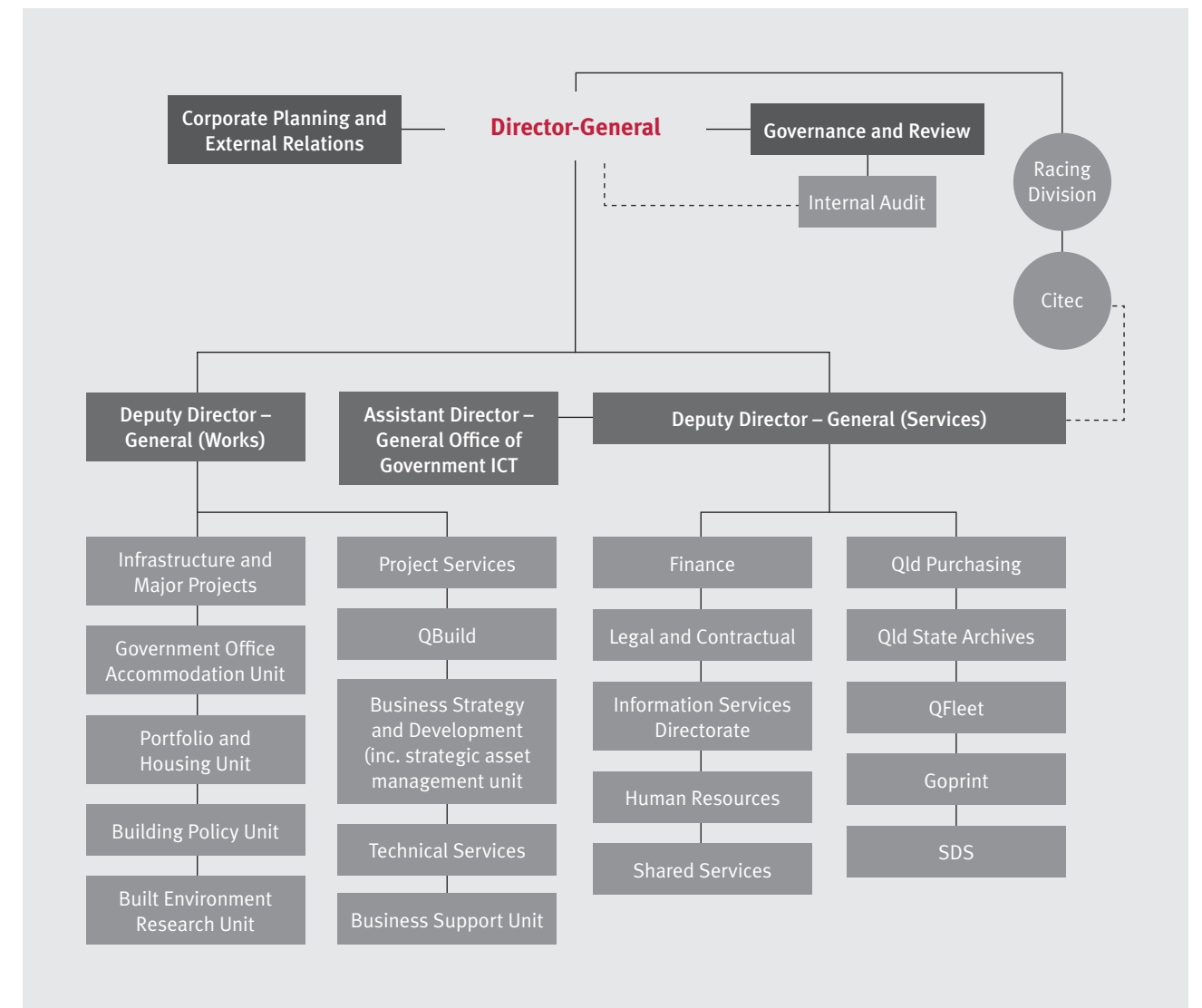
The 2004-05 Annual Report of the Department of Public Works incorporates Queensland State Archives' financial statements for 2004-05. Copies of the Departmental Annual Report can be obtained by contacting:

**Corporate Planning & External Relations Unit**  
 Department of Public Works  
 GPO Box 2457  
 Brisbane Queensland 4001  
 Phone: (07) 3404 3701  
 Fax: (07) 3227 6413  
 Web: [www.publicworks.qld.gov.au](http://www.publicworks.qld.gov.au)  
 Email: [dpw@publicworks.qld.gov.au](mailto:dpw@publicworks.qld.gov.au)

## Appendix 1: Queensland State Archives Organisational Structure



## Department of Public Works Organisational Structure



## Appendix 2: Public Records Review Committee



### Mr Brian Herd (Chairperson)

Partner at Carne Reidy Herd Lawyers, Brisbane.

Mr Herd, who has been practising law for over 20 years, is highly qualified in the area of legal compliance and corporate governance. He is also well versed in equity issues through his expertise in Elder Law and his contributions toward ensuring and upholding the legal rights of family elders and the aged.



### Dr Jennifer Harrison

Internationally experienced Research Historian and Academic

Dr Harrison is a research adviser with the University of Queensland and is associated with the post-graduate program. As the Queensland researcher for the Australian Dictionary of Biography, she undertakes research for the Australian National University. Dr Harrison lectures in Australia and internationally on family, local and applied history, particularly convict origins and migration trends. Dr Harrison is involved with numerous family history groups and historical associations, and is a widely published author.



### Mr Chris Gorry

Chief Executive Officer, Advanced Data Integration

Mr Gorry co-founded Advanced Data Integration in 1994 and he has overseen the company's emergence as the leading supplier of electronic document management solutions (EDMS) for local government in Australia, and is spearheading Advanced Data Integration's expansion into other growth areas with its DataWorks EDMS. Mr Gorry was a member of the Queensland State Government's Small to Medium Enterprises Taskforce, and a founding member and interim secretary of Software Queensland Inc – an incorporated association representing the Queensland software development industry. He has more than 20 years' experience in the IT industry.



### Ms Leonie Short

Senior Lecturer in Oral Health Therapy, School of Dentistry and Oral Health, Faculty of Health, Griffith University (Gold Coast Campus).

Ms Short, an experienced researcher and lecturer, has travelled widely to conduct international research on a range of issues. Ms Short also holds positions on a range of other health and social sector organisations.



### Mr George O'Farrell

Public Service Commissioner, Office of Public Service Merit and Equity.

Mr O'Farrell represents the interests of State Government agencies on the committee. He has over 20 years' experience in the public sector including parliamentary, Cabinet and policy development work and has held senior executive roles in a number of state public sector agencies in Australia.



### Ms Kay Ryan

Partner at Shannon Donaldson Province Lawyers, Toowoomba.

Ms Ryan is an accomplished and experienced lawyer with a strong interest in applied history and family history. Apart from pursuing a legal career for the past 14 years, she has also studied local and applied history and has been heavily involved in a number of family history organisations, representing Queensland on the council of the Australasian Federation of Family History Organisations.



### Prof. Malcolm Thomis

Prof Emeritus and Honorary Research Consultant, University of Queensland.

Prof Thomis's more than 40 years experience as an academic historian culminated in his six years as Pro-Vice-Chancellor (Humanities) at the University of Queensland. He has been a Fellow of the Royal Historical Society for more than 30 years and is a widely published author of history books, essays and articles.



### Mr Ken Toogood PSM

Principal Registrar & Administrator, Supreme Court of Queensland.

Mr Toogood, who represents the interests of the judiciary on the committee, is also Registrar of the Court of Appeal, District Court, Planning and Environment Court, Children's Court and Health Practitioners' Tribunal.



### Mr Peter Wood

Former Deputy Mayor, Toowoomba City Council

Mr Wood has extensive experience in the public and university sectors and represents the interests of local government on the committee. He was a member of Toowoomba City Council from 1980 until 2004 and Deputy Mayor from 1992. He was an Executive Member of the Urban Local Government Association for 10 years. His involvement in public life has resulted in a strong focus on the provision of services to the public, while his interests include local government planning.



### Queensland State Archives

435 Compton Road, Runcorn, Queensland 4113  
PO Box 1397, Sunnybank Hills, Queensland 4109

Phone (07) 3131 7777  
Fax (07) 3131 7764

Web [www.archives.qld.gov.au](http://www.archives.qld.gov.au)  
Email [info@archives.qld.gov.au](mailto:info@archives.qld.gov.au)

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**Queensland** Government  
Queensland **State Archives**

Department of **Public Works**