

Queensland State Archives Annual Report 2003-04

TODAY

59 60 61 62 63 64 65 66 67 68 69 70 71 72 73 74 75 76 77 78 79 80 81 82 83 84 85 86 87 88 89 90 91 92 93 94 95 96 97 98 99 00 01 02 03 04

# Contents

- 2 Message from the Chairperson
- 3 Public Records Review Committee
- 5 Our Vision, Mission and Values
- 5 About Us
- 6 Highlights
- 10 Future Directions
- 12 Outputs and Outcomes 2003-04
- 17 Status of Government Recordkeeping
- 22 Queensland State Archives Corporate Profile
- 23 Appendix 1: Queensland State Archives Organisational Structure  
Department of Public Works Organisational Structure
- 24 Appendix 2: Public Records Review Committee

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Queensland State Archives Annual Report 2003-04

# Today

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Director & State Archivist, Ms Janet Prowse  
with the Hon. Robert Swarten, Minister  
for Public Works, Housing and Racing

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 2004. This document represents the second Annual Report presented to Parliament in accordance with the requirements of the Act.*

*Yours sincerely*

Ms Janet Prowse  
Director & State Archivist  
Queensland State Archives

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Mr Mal Grierson, Director-General  
Department of Public Works (left) with  
Mr Brian Herd, Chairperson of the  
Public Records Review Committee

## Message from the Chairperson

Since its inaugural meeting in June 2003, the Public Records Review Committee has had to come to terms with all of the complex issues associated with the management of government information.

As a new Committee, we've spent time assessing how we will operate in order to effectively advise both the Minister for Public Works, Housing and Racing and the State Archivist, and to appropriately determine disputes and review decisions. Interestingly, indications from the State Archivist are that the formation of the Committee may have stimulated public authorities to work more willingly and productively with Queensland State Archives on administrative solutions to difficult situations.

The Committee's formation is a result of the new legislative framework for public records management in Queensland, designed to promote consistency in how government information is managed.

Recent advances in the implementation of the Recordkeeping Policy Framework by Queensland State Archives are commendable given the limited number of key staff who operate at a whole-of-Government level in providing direction and assistance to 600 public authorities on aspects of best practice records management.

Along with advances in government recordkeeping, Queensland State Archives remains committed to enhancing public access to the archival collection through a range of initiatives, as showcased in this report.

More needs to be done however to improve the management of government information, particularly in the area of electronic records management and in planning for the State's Digital Archive.

Fundamental to improved government recordkeeping will be the provision of adequate resources to Queensland State Archives to fulfil its dual roles as the lead agency for government recordkeeping and as the custodian of the State's history.

I congratulate my colleagues on the Committee, the State Archivist and the staff of Queensland State Archives for their high level of advice, dedication and support during the year.

**Mr Brian Herd**  
*Chairperson*  
*Public Records Review Committee*



(inset) Mr Peter Wood

(back left to right) Mr Ken Toogood, Mr Chris Gorry, Dr Jennifer Harrison, Mr Brian Herd, Mr George O'Farrell, Prof Malcolm Thomis. (front left to right) Ms Kay Ryan and Ms Leonie Short

## Public Records Review Committee

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 achieve administrative resolution of potential disputes before issues are referred to the Committee for review or resolution. By June 2004, the Committee had not been called on to perform its review or dispute resolution functions.

The Committee, chaired by Mr Brian Herd, held meetings in November 2003 and March 2004. Members considered a range of issues relevant to the administration of the Act, including:

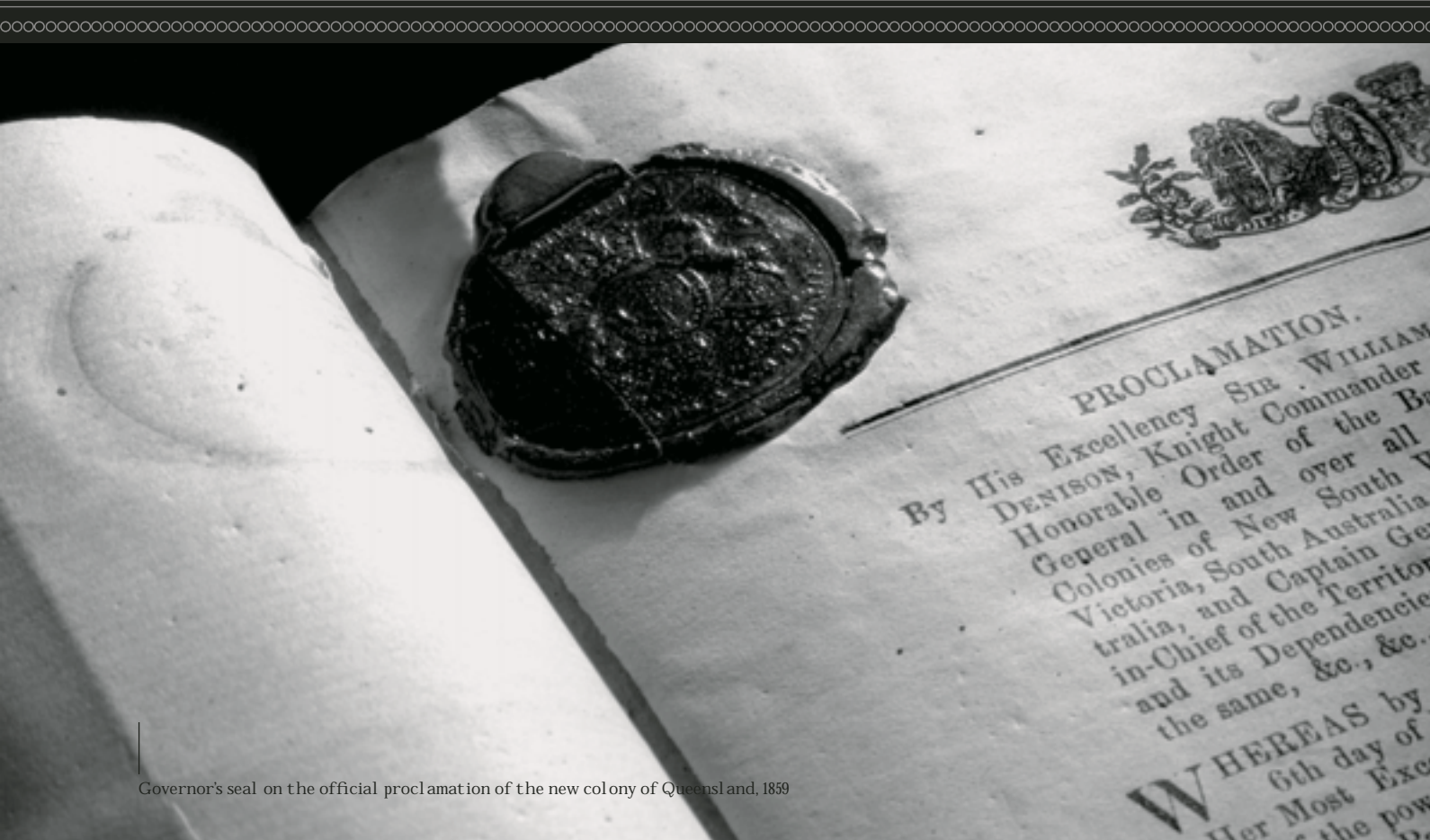
- ~ strategic information management challenges for Government
- ~ management of electronic records and a Digital Archive for Queensland
- ~ the status of government recordkeeping
- ~ the impact of machinery-of-Government changes on the administration of the Act
- ~ public access to a distributed government collection.

Meeting attendance was as follows:

Member	Number of meetings attended
Mr Brian Herd (Chair)	2
Mr Chris Gorry	1
Dr Jennifer Harrison	2
Mr George O'Farrell	2
Ms Kay Ryan	2
Ms Leonie Short	2
Prof Malcolm Thomis	1
Mr Ken Toogood	2
Mr Peter Wood	1

# Today

we are leading the  
management  
of government  
information



Governor's seal on the official proclamation of the new colony of Queensland, 1859

Queensland State Archives offers advice and strategies to public authorities on managing, storing and preserving public records.

## 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

### Queensland State Archives will:

- ~ provide responsive relevant services to meet existing and future needs of all clients
- ~ recognise and value the diversity of our staff, their skills, contributions and development
  - ~ honour our commitments
  - ~ treat people with respect
- ~ sustain professional integrity in everything we do
  - ~ encourage initiative and new ideas
- ~ commit to accountable government and the democratic right to access government information.

## About Us

Queensland State Archives is established under Section 21 of the *Public Records Act 2002* (the Act) as the State's archives and records management authority.

As the custodian of the largest and most significant documentary heritage collection in the State, Queensland State Archives has legislative responsibility to manage and provide public access to archival public records, regardless of their physical location in the State.

Around the world, archival authorities play a fundamental role in connecting people to their stories, communities and government. Through the Act and its accompanying Information Standards, Queensland State Archives has developed and implemented a comprehensive Recordkeeping Policy Framework to ensure a consistent approach by public authorities to the creation, management, disposal, storage, preservation and retrieval of government information. The framework is part of Queensland State Archives' role as the lead agency for recordkeeping.

### Functions

Sections 24 & 25 of the Act provide Queensland State Archives with a range of functions and powers, including the ability to:

- ~ issue standards regulating the creation, management, disposal, storage and preservation of government information
- ~ 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.





Members of the Digital Recordkeeping Initiative at National Archives of Australia in Canberra, March 2004

## Highlights

This section provides an overview of notable achievements undertaken in 2003-04 to improve government recordkeeping and enhance public access to archival collections of public records.

### Recordkeeping Policy Framework

In 2003-04, 44 Strategic Recordkeeping Implementation Plans (SRIP) submitted by Government-Owned Corporations and larger statutory entities were reviewed and endorsed as suitable strategies to achieve compliance with *Information Standard 40: Recordkeeping*. Smaller statutory entities were given the option to complete a recordkeeping questionnaire conducted in partnership with Queensland Treasury's Office of Economic and Statistical Research.

The questionnaire measured the current information management capability of 188 smaller agencies. The main issues arising from these processes are covered under the *Status of Government Recordkeeping* section in this report.

Queensland State Archives continued to implement aspects of the Recordkeeping Policy Framework with major presentations on strategic information management issues delivered to a range of senior executive teams across government.

Research was conducted to support the development of a range of tools to be released in 2004-05 covering the recordkeeping implications of custody and ownership issues, the digitisation of public records, shared service arrangements and public-private partnerships.

Preliminary research was undertaken to help determine the most appropriate audit and compliance model to be developed and delivered across Queensland's public sector agencies. The proposed audit and compliance framework will include the release of in-house auditing guidelines in 2004-05, assisting agencies to monitor their compliance with recordkeeping

polices and practices. These guidelines will form an important bridging strategy to the introduction of a more formal compliance-auditing program expected to be released in 2005-06.

### Digital Recordkeeping Initiative

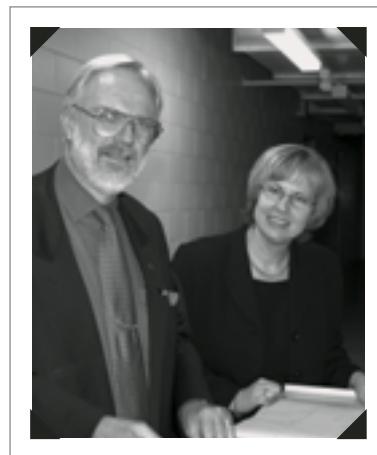
The Queensland Government has made a commitment to the strategic use of information and communications technology to improve service delivery and public administration. A major challenge is the ability of public authorities to improve the management of information in the electronic environment.

In response to this challenge, Queensland State Archives participated in the Digital Recordkeeping Initiative established by the National Archives of Australia and supported by the 10 government archival and public records authorities in Australia and New Zealand. This collaborative approach aims to improve the management and long-term preservation of government information in electronic format by developing a single Australasian approach to digital recordkeeping across these jurisdictions. Queensland's ongoing involvement in this initiative will provide benefits through shared resources in the development of standards, guidelines and practical strategies.





(left to right) Ann Robinson, Naomi Noble, Mike Middleton, Janet Benson, Manager Policy and Research and Andrew Fussell with Anne Cornish (front) at the joint seminar of the Australian Society of Archivists and Queensland State Archives



Ms Karen Friedl, Manager Collections and Access with Judge Marshall Irwin, Chief Magistrate

### Management of ASIO records

Queensland State Archives collaborated with the Australian Security Intelligence Organisation (ASIO) on the development of guidelines for the management of ASIO documents and information that may be found in the public records of Queensland public authorities.

The *Australian Security Intelligence Organisation Act 1979* (Cwlth) imposes on Queensland public authorities certain recordkeeping obligations which cover the disclosure, management and storage of ASIO information. Queensland State Archives was the first State-based archival authority to develop such guidelines, released to chief executive officers of public authorities.

### Assistance to shared service arrangements

Queensland State Archives continued to provide advice on the implementation of a new electronic document and records management system (eDRMS) for State Government departments and the transition of document and records management functions to the shared service providers. Support was also provided to the Shared Service Implementation Office through participation in the development of recordkeeping tools and the eDRMS Implementation Training Strategy.

### Improved management of court records

Established in 2002, the Court Records Working Group continued to improve the management of court records, with the completion of a Retention and Disposal Schedule for the District Court among its achievements in 2003-04.

Queensland State Archives hosted separate visits from Chief Magistrate Judge Marshall Irwin and State Coroner Mr Michael Barnes to discuss the revision of a schedule for the Magistrates Courts by 2005, and the management of coronial records respectively. Queensland is one of the leading jurisdictions in Australia in terms of the development of schedules for court records.

The State Archivist delivered a presentation on issues associated with the management of court records at the inaugural national courts conference in Brisbane in November 2003, an initiative of the Supreme Court and Queensland University of Technology.

### Review of Queensland Health records

In 2003, Queensland Health submitted a request to amend the restricted access periods for health-related records held in Queensland State Archives' custody. In response, Queensland State Archives presented a comprehensive report on all health-related records to Queensland Health. The review process is nearing completion with 70 per cent of matters resolved and actioned to date.



(left to right) Ms Margaret Furber, Valerie Day, His Honour Mr Ted Egan AO Administrator of the Northern Territory, Ms Janet Prowse, Ms Rosie Baird and Ms Heather Shearer

## Highlights CONTINUED

### Capacity Development Strategy

In 2004, Queensland State Archives researched and prepared a Capacity Development Strategy to proactively build the capacity of government employees to achieve consistency in best practice records management, and to assist in strengthening the recordkeeping culture across government. To be launched in late 2004, the strategy will include an information management skills audit aimed at addressing the recordkeeping skills gap across government.

### Improved management of administration records

To assist public authorities to manage administration records common across government, Queensland State Archives published two versions of the *Retention and Disposal Schedule for Administrative Records*; one for local authorities and the other for State Government. These important recordkeeping tools were updated in 2003-04, following extensive consultation with public authorities.

### Improving collection management

The collection management software, Archives One, is being enhanced to accommodate additional requirements for the administration of public access to the archival collection associated with the *Public Records Act 2002*. Resource discovery has been improved through the review and updating of archival descriptions to reflect more accurately the scope of the material held at Queensland State Archives.

### Access to records of Indigenous Australians

In March 2004, the Council of Australasian Archives and Records Authorities (CAARA), of which Queensland State Archives is a member, issued a statement of principle in regards to access to records of Indigenous Australians affected by past government separation policies. Launched in Darwin by the Administrator of the Northern Territory, His Honour Mr Ted Egan AO, the statement will assist Indigenous Australians to access records in government archives by providing a framework for referring inquiries between CAARA institutions.



# Today

we are connecting  
people  
with their stories



Mooloolaba, 1931

At Queensland State Archives, every day Queenslanders connect with the past:

- ~ family historians find missing pieces of family trees
  - ~ writers discover little known historical facts
  - ~ professors find vital links to theories
  - ~ lawyers unearth historical precedents
  - ~ biographers discover new evidence
  - ~ Aboriginal and Torres Strait Islander peoples establish links to their family and country.
- Archival records make a real and lasting difference to people's lives.



## Future Directions

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

### Improvements in electronic records management

The *Public Records Act 2002* gives Queensland State Archives a key role in managing the lifecycle of public records in all formats. While Queensland State Archives will continue to work with the Digital Recordkeeping Initiative on a single Australasian solution to the long-term preservation of electronic records, an increased strategic contribution is needed to address current issues and challenges in managing today's electronic records.

Governance arrangements will be developed and implemented by Queensland State Archives to ensure a coordinated and collaborative approach to this issue. With public authorities and the research and academic sectors involved, a range of standards and guidelines will be developed to address the capture, storage, integrity and authenticity of electronic records.

### Stage two development

Queensland State Archives Runcorn facility is now 11 years old and, with many building services operating 24 hours a day, it is appropriate to examine the maintenance operations of the building infrastructure. In 2004-05 Queensland State Archives will work with the Department of Public Works to monitor and report on the status of the building and its associated infrastructure. This is essential so that the physical environment continues to preserve the permanent public records of Queensland for the future.

With the repositories operating near capacity, Queensland State Archives is in the planning stage for the construction of stage two of the Runcorn facility. To assess the likely requirements of agencies for permanent archival public records storage at Runcorn, Queensland State Archives is currently undertaking a survey of public authorities to determine the volume and location of archival public records in textual format which may be transferred during the next two-to-five years. The result of this survey will underpin a business case for the construction of an expansion to the Runcorn facility.

### Demand for recordkeeping support and advisory services

Since the release of *Information Standard 40: Recordkeeping* in 2002, demand across government for Queensland State Archives support and advisory services has continued to rise. As a result there is a backlog in the development of agency-specific Retention and Disposal Schedules, key tools which govern the lawful disposal of government records.

To partially overcome such demand, Queensland State Archives will encourage the development of a range of sector-based Retention and Disposal Schedules (such as the university sector schedule currently being reviewed and the energy sector schedule currently under development). Queensland State Archives will also facilitate short training courses on the appraisal of public records and publish self-help guidelines for public authorities to assist in the development of these schedules.



Left: Recordkeepers' Forum held at Queensland State Archives

Mr Stephen Hammond,  
Records Manager

Public Search Room,  
Queensland State Archives, Runcorn



### Shared service

In acknowledgement of the Queensland Government's Shared Service Initiative, Queensland State Archives will continue to work with the Shared Service Implementation Office and shared service providers on the development of tools and guidelines to assist in the transition of document and records management functions and the roll-out of the electronic document and records management system to State Government agencies. With limited numbers of qualified records managers currently working in State Government departments, any transition of these key staff to shared service providers will influence a department's enterprise-wide efforts to ensure full compliance with *Information Standard 40: Recordkeeping*.

### Recordkeeping skills shortages

As a result of the research conducted in 2003-04 that highlighted the current skills gap in certain information management areas of the public sector, a discussion paper will be developed in 2004-05 to identify the diverse skills required across all levels of government to improve the management of information, especially electronic records. The paper will be developed in consultation with human resource managers and will assess how well current workforce planning initiatives address the skills shortage in a range of information management areas. Options to be explored include the formation of partnerships with key public sector regulatory agencies and the tertiary and industry training sector to address critical skills shortages.

### Improvements in public access

Key challenges ahead in this area include the development of a sustainable web-based publishing program and virtual exhibitions to enhance regional and remote access to the archival collection. Other initiatives to safeguard the archival collection include the duplication of all master microfilm and its subsequent storage interstate and the appointment by the Department of Public Works of a facilities management officer for the Runcorn facility.



Flood, Fire & Famine exhibition January 2004

right: Archivist Mr Graham Carter inspects a copy of a Matthew Flinders' hydrography chart dating back to 1802

far right: Ms Nola Fulwood, Former Manager of Public Access with the Dutch Ambassador, Dr Hans Sondaal

## Outputs & Outcomes

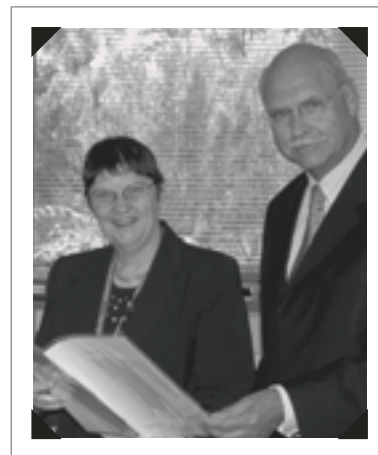
Queensland State Archives has two major outputs that make a contribution to the achievement of the following Government priorities:

<b>Whole-of-Government priority:</b>	<b>More jobs for Queenslanders – skills and innovation – the Smart State</b>
<b>Output:</b>	<b>Policy and regulatory frameworks for the Smart State</b>
<b>Sub Output One:</b>	<b>Government Recordkeeping</b>
<b>Contribution:</b>	<b>Improving the delivery of government services and information to the community</b>

### Outcomes 2003-04

- ~ hosted two meetings of the Public Records Review Committee to advise the Minister for Public Works, Housing and Racing and the State Archivist on the administration and enforcement of the *Public Records Act 2002*
- ~ facilitated three Recordkeepers' Forums attended by an average of 85 government employees representing 42 public sector agencies. These forums provided an opportunity for public sector employees to meet with Queensland State Archives staff to discuss strategic and operational recordkeeping matters at agency, sector and whole-of-Government level.
- ~ assisted the Crime and Misconduct Commission in the development of a publication on the retention and disposal of councillors' records
- ~ developed and delivered a questionnaire to measure the recordkeeping capacity of 188 statutory entities, in partnership with Queensland Treasury's Office of Economic and Statistical Research
- ~ facilitated industry and government sector consultation meetings to assist in establishing mechanisms for input into potential postgraduate archival and recordkeeping courses to be offered by Queensland tertiary institutions
- ~ hosted the 25th meeting of the Records Management Association of Australasia's State Government Chapter attended by 48 members representing 35 agencies
- ~ successfully negotiated with the Australian National Training Association and the Public Service Education and Training Authority to include recordkeeping competencies in the Public Sector Training Package, creating two new specialist qualifications - the Diploma and Advanced Diploma of Government (Recordkeeping)
- ~ undertook a project, in partnership with the Departments of Industrial Relations and Employment and Training, to convert the policy on the management of e-mail to an on-line learning module aimed at raising the awareness of the management of e-mails as public records among government employees. This learning tool will be available on the Government's On-line Learning and Development College portal in 2005
- ~ conducted a State-wide survey of government agencies with the Office of Economic and Statistical Research, to determine their ability to manage e-mail messages as public records with results to be published in late 2004
- ~ developed and launched a consultation framework outlining our commitment to inclusive stakeholder engagement processes to ensure greater understanding and responsiveness to the needs of our clients





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- ~ published a Glossary of Archival and Recordkeeping Terms
  - ~ approved the first comprehensive Retention and Disposal Schedules for the Forestry Division of the Department of Primary Industries and Fisheries, the Department of Tourism, Fair Trading and Wine Industry Development, the Mental Health Review Tribunal and the Non-State Schools Accreditation Board
  - ~ issued disposal authorities for records from the Magistrates Courts in Maryborough and Mt Isa, Queensland Police Service, Treasury Department, Workcover and the Land Court
  - ~ lent 3172 records to agencies for the purposes of research, legal discovery and to address freedom of information requests
  - ~ continued negotiations with Queensland Rail (QR) on the ownership of the proposed transfer of records from its former Railway Historical Centre to the Queensland Museum-controlled Workshops Rail Museum at Ipswich
  - ~ undertook a Client Satisfaction Survey which identified that 74 per cent of government clients were quite satisfied or very satisfied with Queensland State Archives' services, with 47 per cent indicating that services had improved during the past 12 months. Government clients expressed satisfaction with the expertise of staff and their courteous and professional manner, the quality of written information provided to public authorities and the positive contribution that Queensland State Archives makes to recordkeeping reform.





Mr Niles Elvery, Manager Public Access conducts a public seminar in Bundaberg in February 2004

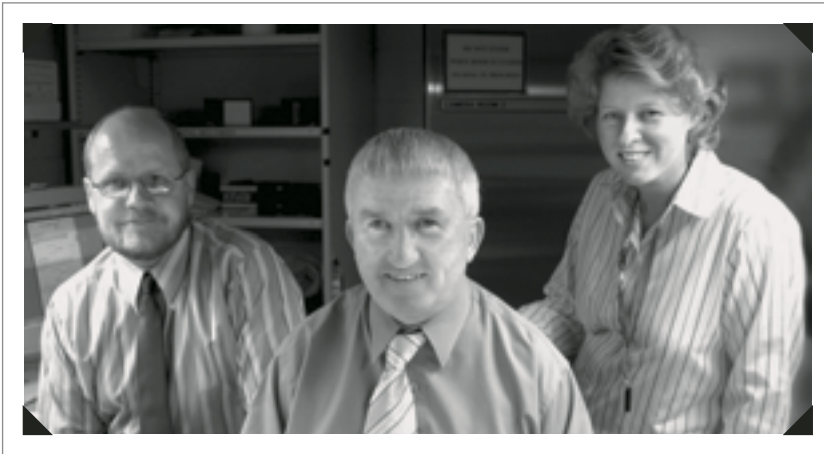
## Outputs & Outcomes CONTINUED

<b>Whole-of-Government priority:</b>	<b>Community engagement and a better quality of life</b>
<b>Output:</b>	<b>Policy and regulatory frameworks for the Smart State</b>
<b>Sub Output Two:</b>	<b>Collection management and public access</b>
<b>Contribution:</b>	<b>Providing the community with access to the State’s historical and cultural records</b>

### Outcomes 2003-04

- ~ transferred 49 consignments of archival records measuring 158.89 linear metres to the Runcorn repositories
- ~ managed major transfers of archival records including photographic albums about the building of Somerset Dam (Department of the Premier and Cabinet), 10,000 hydrographic charts dating from 1802-2000 (Department of Transport) and burial registers for the Toowong cemetery from 1871-1957 (Brisbane City Council)
- ~ other transfers included the minutes of the Executive Council (1983-92), school admission records (Education Queensland), the minutes of the Committee of Direction of Fruit Marketing (1922-99), and minutes, rate and valuation records from various local government councils, including the Gold Coast, Beaudesert, Mackay, Pine Rivers, Caloundra and McKinlay
- ~ repatriated archival public records relating to the Moreton Bay Penal Settlement (1824-39), including a chronological register of convicts, the Medical Officer’s letterbook, half-yearly returns of baptisms and a daily account of public labour performed by Crown prisoners
- ~ repatriated gold and silver award certificates won by the Department of Agriculture and Stock for exhibits of agricultural products at the 1915 Panama-Pacific International Exposition held in San Francisco
- ~ prepared and launched three exhibitions: History in Your Back Yard, Heritage in Your Hands and Flood, Fire, Famine
- ~ hosted over 8800 researchers at the Runcorn facility and counted over 920,000 hits on the Queensland State Archives website
- ~ answered 21,447 reference queries and retrieved 35,483 records for clients in the Public Search Room
- ~ held 12 seminars on the collection for public audiences, three of which were in partnership with the John Oxley Library, State Library of Queensland and the National Archives of Australia
- ~ gave eight presentations to local and family history groups and community organisations and hosted 22 visits by such groups to the Runcorn facility
- ~ conducted field trips to Mackay, Moranbah, Clermont, Emerald, Hervey Bay, Bundaberg and Gayndah to promote the archival collection
- ~ held four Morning Teas with the State Archivist for the public, allowing an opportunity for researchers to provide feedback on services and discuss research objectives
- ~ produced publications to help researchers access the collection, including a *Signpost* for records relating to Chillagoe and district





(left to right) Mr Lauri Korhonen, Reprography supervisor with Mr Michael Hallam, Manager Business Services and Planning and Ms Tania Gausel, Capacity Development Officer.

- ~ publicly released the 1973 Cabinet minutes, following expiry of the 30 year access restriction. Minutes document the discussions on flood prevention in the Brisbane Valley, the outlawing of the slaughter of dolphins, the cessation of sandmining at Currumbin beaches and approval of anti-hijacking equipment for Queensland Police.
- ~ sponsored the Family History Fair organised by the Queensland Association of Local and Family History Societies, held in May 2004 at the Mt Gravatt Showgrounds
- ~ undertook conservation treatments on 931 items, including judgement books, migrant personal files and lands files
- ~ produced 187 rolls of microfilm representing 139,654 frames of archival material including school admission registers, convict era records and cemetery records
- ~ duplicated 38 per cent of the master microfilm prints of historic records for storage interstate as part of Queensland State Archives' risk management strategy
- ~ undertook a Client Satisfaction Survey which identified that 79 per cent of public access clients were quite satisfied or very satisfied with Queensland State Archives' services. Clients expressed satisfaction with the courteous and professional manner of staff, the quality of on-line exhibitions and the role Queensland State Archives plays in preserving the State's public records.

Fostering relations with international staff and delegates, Queensland State Archives has:

- ~ hosted a delegation of officials from the Hubei Province Archives who inspected the purpose-designed building at Runcorn and obtained information on archival management procedures and technology
- ~ met with the Dutch Ambassador, Dr Hans Sondaal, to discuss plans for the 400th anniversary of the *Duyfken* landing at Cape York in 1606, as part of the *Australia on the Map 1606-2006* project, an initiative supported by the Netherlands Embassy in Canberra
- ~ provided an opportunity for two staff from the Sarawak State Library in Malaysia to obtain hands-on experience in archival management through a one-month placement to Queensland State Archives' Runcorn facility.

# Today

we maintain the  
public record  
as evidence of  
accountable government



Official Letters to the Governor

Through the sound administration of the legislative and policy framework for public records management, Queensland State Archives is committed to the integrity of government records.



Archivists Ms Laura Morales and Ms Ingrid MacDonal d appraise a recent transfer of records

## Status of Government Recordkeeping

### Overview

Through the sound administration of the legislative and policy framework for public records management, Queensland State Archives is committed to the integrity of government records.

During the past 12 months, research has shown that two urgent strategies are needed to improve the management of government information: an integrated program for the management and long-term preservation of electronic records, and strategies to address a range of information management skills shortages across Queensland public authorities. Action in these two areas is required to ensure the Queensland Government continues to effectively manage its information holdings.

Improving the management of electronic records across government requires increased recognition of the extent and urgency of the challenge. Investments need to be made in the development of trained information professionals to manage major e-government projects. Public authorities must take collective responsibility to strategically address the shortfall and develop the pool of skills available across government.

This report highlights some of the main research findings undertaken during the past 12 months.

### 1. Background to main findings

Implementation of *Information Standard 40: Recordkeeping* was planned in two stages with State and Local Government agencies responding in 2002-03, followed by statutory bodies, Government-Owned Corporations and other statutory entities in 2003-04.

A key strategy in the stage two implementation process was the development, delivery and analysis of a recordkeeping questionnaire by Queensland State Archives,

in partnership with Queensland Treasury's Office of Economic and Statistical Research. Since it had been recognised that many of the smaller statutory entities did not have the resources to develop full Strategic Recordkeeping Implementation Plans (SRIP) this survey of 188 agencies was used to measure their information management status and capacity.

The analysis of the responses, compared against the SRIPs developed by the State Government agencies, demonstrated that many similar recordkeeping challenges exist across public authorities regardless of size or geographic location. The smaller agencies also identified a range of additional challenges including a lack of dedicated recordkeeping staff and resources, the absence of approved recordkeeping tools and a shortage of documented policies and processes for managing information.

In 2002-03, the four main recordkeeping findings to emerge across public authorities were:

- ~ the need to improve the management of electronic information
- ~ a commitment to fundamental recordkeeping systems and tools
- ~ support for an audit and compliance framework
- ~ the need for capacity development and cultural change.

### 2. Summary of main findings for Government-Owned Corporations and larger statutory entities

Forty-four Government-Owned Corporations and larger statutory entities submitted Strategic Recordkeeping Implementation Plans (SRIP) to Queensland State Archives for endorsement in 2003-04. The common recordkeeping issues to arise from these SRIPs are reflected under the following five areas.





Recordkeepers' Forum held at  
Queensland State Archives

## Status of Government Recordkeeping CONTINUED

### 2.1 Electronic records management

There is widespread acknowledgement that systematic strategies need to be in place for the long-term management and retrieval of electronic records. There are concerns over the complexity, size and scale of integration of electronic recordkeeping systems with existing business systems. In particular, significant volumes of electronic files need to be classified, indexed and sentenced. Agency programs to manage corporate e-mails have been identified.

### 2.2 General recordkeeping practices

There is widespread recognition that corporate recordkeeping policy frameworks need to be developed and implemented within agencies. To improve the management of public records, there is support for the development of business classification schemes, data entry standards, retention and disposal schedules and the enterprise-wide availability of recordkeeping software. There are concerns that Freedom of Information and privacy requirements may divert resources from records management responsibilities.

### 2.3 Issues with records capture and access

There is widespread support to ensure that all public records (in particular e-mails, faxes and correspondence) are captured into corporate recordkeeping systems and that oral decisions are documented. There are concerns that the lack of single access points for searching information makes it difficult to retrieve and locate complete sets of records. There is a desire to embed information management requirements into business processes.

### 2.4 Ownership of public records

There is widespread agreement that strategies need to be in place within agencies to ensure staff understand what public records are and that these records are regarded as corporate and not personal assets.

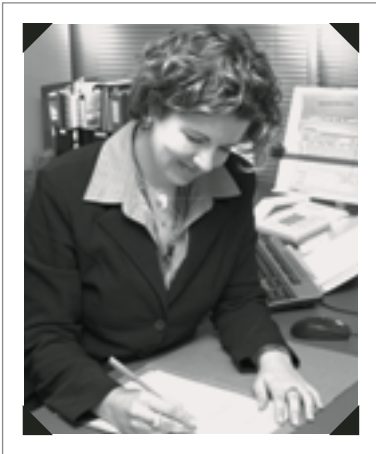
### 2.5 Capacity development & cultural change

There is acknowledgement that public authority staff need to be made fully aware of their recordkeeping responsibilities and of the value of recordkeeping. In some agencies, internal strategies may need to be implemented to promote interest in recordkeeping practices. There is acceptance that position descriptions and induction programs for all staff should reflect recordkeeping responsibilities.

## 3. Summary of main findings of smaller statutory entities

Common recordkeeping issues raised by 188 smaller statutory entities are detailed in this section. Of concern is the number of smaller agencies that indicated they have no processes in place to regulate the appropriate disposal of public records, resulting in the long-term maintenance and storage of non-essential or temporary records. Nearly 45 per cent of respondents identified that no public records had been destroyed.

Over half of these entities surveyed identified that they did have a formal recordkeeping system, that records were captured into that formal system and that they could accurately identify the records in their custody. One-third of entities use a manual or paper-based recordkeeping system. However 20 per cent indicated they had no system or procedures in place to manage records.



Ms Nicole Hat herly, Executive Assistant

Ms Sharon Austin and Mr Russell Wood,  
Senior Appraisal Archivists, discuss  
a recent transfer

Appropriate access restrictions for records are in place in 73 per cent of these entities and of those 56 per cent have incorporated security mechanisms, policies and procedures for their recordkeeping systems. Only 14 per cent have a Records Disaster Preparedness and Recovery Plan.

#### 4. Recordkeeping implications from other reports

A range of reports released during the past 12 months highlighted a number of recordkeeping inadequacies across government.

In January 2004, the Crime and Misconduct Commission's (CMC) *Protecting Children* report identified systemic recordkeeping issues affecting the ability of the then Department of Families to adequately protect children in care. The CMC reported that accessing the relevant data for the inquiry was difficult due to poor data systems. The department's information technology system did not allow for State-wide access to data and there was no centralised or unified recordkeeping system. Adequate control measures could not be identified to ensure that records were protected from unauthorised use, alteration or access.

Queensland State Archives has since met with the senior executive teams of the Departments of Child Safety and Communities to provide advice on the legislative and policy framework for public records management in Queensland.

In March 2004, the Queensland Audit Office released a report on audits performed in 2002-03 on Local Government. Among recordkeeping issues were the lack of suitably qualified and experienced recordkeeping staff for small remote councils, lack of business continuity management and issues surrounding security and access within information systems.

In May and June 2004, the Queensland Audit Office released two reports on Aboriginal Councils and Torres Strait Islander Councils which highlighted the inadequate recordkeeping and maintenance of various registers, and the inadequate recording of Council meetings to accurately reflect decision-making processes.

#### 5. Information management capacity

Arising from concerns about Queensland public authorities' information management capacity, in 2003-04 Queensland State Archives undertook a preliminary skills audit to determine the extent of the gap between the current skills level and the duties required to competently manage current and future recordkeeping processes. Information was obtained through a literature review of current industry practices in Australia and New Zealand and through a targeted survey of recordkeeping staff.

This research provided an analysis of the current skills level within the recordkeeping industry including qualifications, experience and training undertaken by records managers. Information was also provided on employers' expectations about the types of skills needed by such staff at present and in the future.

The research demonstrated that skill levels within the recordkeeping industry are below the expectations and future needs of employers. Also identified were the lack of structured recordkeeping training programs and a trend which showed dedicated recordkeeping staff moving away from the pursuit of formal training and qualifications. This information will be used to identify priority areas to be addressed in Queensland State Archives' whole-of-Government Capacity Development Framework and Strategy.





## Status of Government Recordkeeping CONTINUED

### 6. Sustaining interest in recordkeeping reform

Over the past two years, the requirement of public authorities to produce Strategic Recordkeeping Implementation Plans (SRIP) has elevated recordkeeping issues on the agendas of senior executive teams across government. However, having a SRIP endorsed by Queensland State Archives is no guarantee of success unless routine efforts are made to ensure key strategies are implemented across each public authority.

Improvements to recordkeeping need to remain on public authorities' strategic and operational agendas. Public authorities need active strategies to ensure that their records are created, captured, organised, shared, protected and preserved.

In some agencies, a renewed interest in knowledge management as a discipline must not overtake the efforts required to develop and sustain an essential records management program. Sound recordkeeping practices underpin knowledge management and directly contribute to good corporate governance.

Research has shown that any negative attitudes and disinterest in recordkeeping among senior executive teams will filter down to poor organisational practices and culture. Clearly more, not less, information management skills and awareness are needed at senior executive levels to ensure recordkeeping is regarded as an essential part of business operations.

Senior executive teams also need to take an active interest in the management of public records of business partners, such as non-government organisations and contractors. They also have a responsibility to proactively inform Queensland State Archives of any privatisation arrangements so that the custody and ownership of the State's information assets can be protected.

While over the past several years chief executive officers have shown a commitment to the appointment of Freedom of Information and privacy officers, consideration could be given to the appointment of public records officers who could assist chief information officers and records management personnel to promulgate throughout their organisations the legislative and policy requirements for public records management in Queensland.

In 2004-05, Queensland State Archives will continue to work productively with public authorities to provide high level advice and recordkeeping policies and tools to assist in promoting best practice records management.





# Today

we preserve  
the state's  
public records  
for future generations



Queensland gold miners, circa 1890

The preservation of the State's public records is essential  
so that future generations can connect with the past.



(left to right) Ms Janet Benson, Manager Policy and Research, Mr Michael Rogers, Acting Manager Agency Services with Ms Karen Friedl, Manager Collections and Access.



Queensland State Archives' volunteers Marianne Eastgate and Jackie Croker work on indexing the collection

## Queensland State Archives Corporate Profile

### Organisational capacity

Queensland State Archives' integrated planning framework is supported by Departmental corporate governance plans for:

- ~ Equal Employment Opportunity
- ~ Workforce Management.

We achieve this through:

- ~ treating employees with courtesy, fairness and respect
- ~ a proactive, responsive and positive leadership team.

### Equal Employment Opportunity

Queensland State Archives supports an Australian society in which the human rights of all are respected, protected and promoted. This is achieved through Equal Employment Opportunity (EEO) for all people from Non-English Speaking Backgrounds (NESB), People With Disabilities (PWD) and women.

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 2004, Queensland State Archives had 42 full-time equivalent employees.

#### EEO profile as of 30 June 2004

ATSI	0
PWD	6
NESB	6
Women Ao6 plus	6
Women SO plus	1

### Volunteers

Volunteers provide an important contribution to the indexing of Queensland State Archives' collections. In 2003-04 six volunteers provided assistance in this regard.

### Services to Indigenous people

Support to the Queensland Indigenous community continued in 2003-04 with the provision of access to historical records relating to Aboriginal and Torres Strait Islander people, Native Title and community histories.

The Department of Aboriginal and Torres Strait Islander Policy's Community and Personal Histories branch continued to operate a research service from Queensland State Archives' Runcorn facility.

### Workplace health and safety

During the reporting period, Queensland State Archives conducted a number of activities to promote workplace health and safety. This included an audit of fire and safety procedures and the development of a Business Continuity Plan. The Workplace Health and Safety Committee meets regularly to address relevant issues.

### Workforce management

In 2004, Queensland State Archives began the development of a Workforce Plan to ensure the capacity of its own workforce in meeting its legislative roles and functions.

### Financial statements

The 2003-04 Annual Report of the Department of Public Works incorporates Queensland State Archives' financial statements for 2003-04. 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

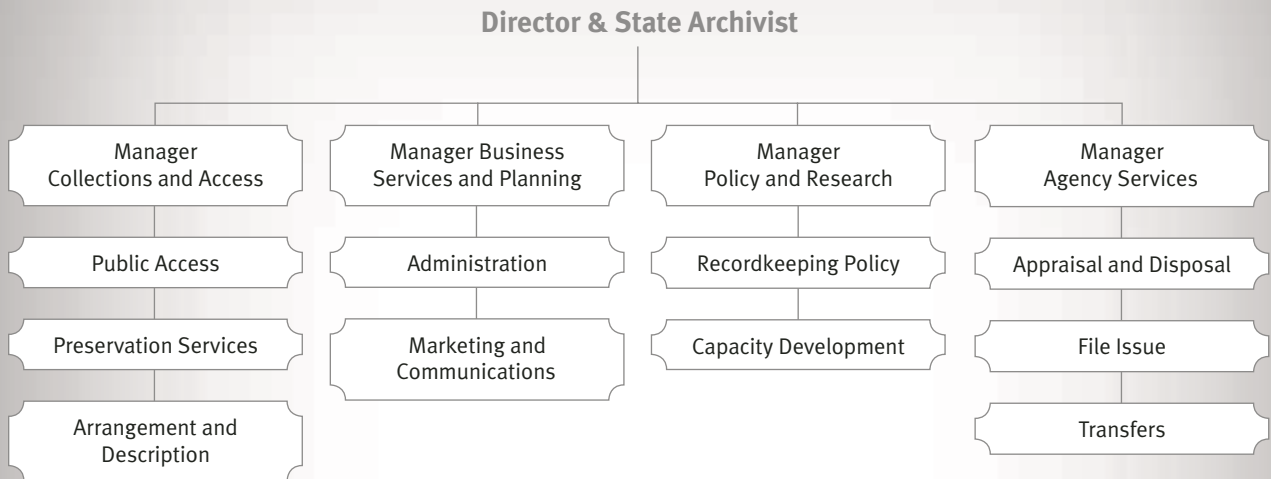
Phone: (07) 3404 3701 Fax: (07) 3227 6413

Web: [www.publicworks.qld.gov.au](http://www.publicworks.qld.gov.au)

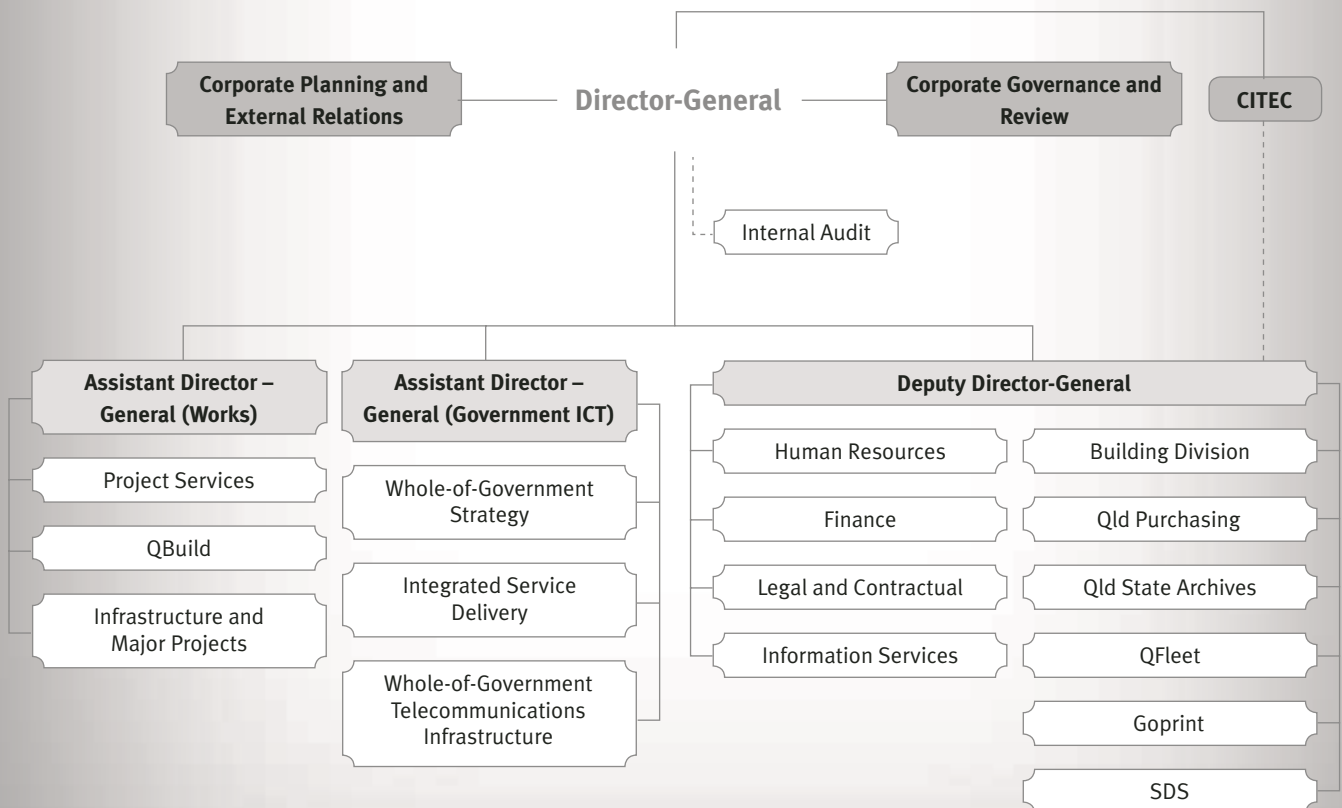
Email: [dpw@publicworks.qld.gov.au](mailto:dpw@publicworks.qld.gov.au)



## 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. He is well versed in equity issues through his contributions toward ensuring the legal rights of family elders and the aged are upheld.



**Prof. Malcolm Thomis**

**Prof Emeritus and Honorary Research Consultant, University of Queensland.**

Prof Thomis' 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.



**Dr Jennifer Harrison**

**Internationally renowned research historian and academic.**

Dr Harrison is a research advisor with the University of Queensland and is associated with the postgraduate program. As the Queensland researcher for the Australian Dictionary of Biography, she undertakes research for the Australian National University and also Macquarie University in Sydney. 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 is a widely published author.



**Mr Chris Gorry**

**Chief Executive Officer, Advanced Data Integration (ADI).**

Mr Gorry co-founded ADI in 1994 after spending many years working in software development roles for state and federal governments, and in senior positions in the IT services market. He has overseen ADI's emergence as the leading supplier of electronic document management solutions for local government and is spearheading the company's expansion into other growth areas. Mr Gorry has over 20 years' experience in the IT industry and he was a member of the Queensland State Government's Small to Medium Enterprises Taskforce.



**Ms Leonie Short**

**Senior Lecturer in Oral Health Therapy, School of Dentistry and Oral Health, Faculty of Health Science, 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.



**Ms Kay Ryan**

**Associate 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 13 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.



**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. 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.



**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.



**Mr Ken Toogood**

**Principal Registrar, 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.





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