

LEGISLATIVE COUNCIL
Question On Notice

Tuesday, 12 June 2018

1369. Hon Alison Xamon to the Leader of the House representing the Premier

I refer to records management and archiving, and I ask:

(a) for each of the last five financial years finishing 2016-17, for each Government agency within the Minister's portfolio, could the Minister please provide the cost of records archiving services including:

- (i) collection;
- (ii) storage;
- (iii) retrieval; and
- (iv) destruction;

(b) for each of the last five financial years, finishing 2016-17, for each Government agency within the Minister's portfolio, could the Minister please provide the cost of records management consultancy services provided by:

- (i) the State Records Office; and
- (ii) private consultants and/or consultancy businesses; and

(c) for each Government agency reporting to the Minister, could the Minister please explain the process by which records held offsite by third-party private companies can be searched and accessed by:

- (i) members of the agency;
- (ii) members of other Government agencies;
- (iii) members of academia; and
- (iv) members of the public?

Answer

DEPARTMENT OF PREMIER AND CABINET:

(a)

2012-13: \$56,185.15

2013-14: \$82,605.07

2014-15: \$74,312.52

2015-16: \$47,184.47

2016-17: \$64,671.41

(b)

2012-13: Nil

2013-14: Nil

2014-15: Nil

2015-16: Nil

2016-17: Nil

(c)

(i) Records held in offsite storage are catalogued and searchable in the Department's records system.

(ii) State Government access to records is by written request to the Director General, Department of the Premier and Cabinet (DPC).

(iii)-(iv) The Department's approved Recordkeeping Plan and the Freedom of Information (FOI) processes provide for access to records in the possession of the Department. Requests for restricted materials are made through the FOI process. Access to unrestricted records is by written request to the Director General, Department of the Premier and Cabinet (DPC).

SALARIES AND ALLOWANCES TRIBUNAL:

- a. (i) - (iv) Nil
- b. (i) - (ii) Nil
- c. (i) - (iv) To obtain access to routine government records under the Tribunal's control, written applications can be made to the Tribunal, with sufficient information to enable identification of the records. Application for records not readily available may be made under the *Freedom of Information Act 1992 (FOI)*.

GOLDCORP

(a)

FY13 - \$18,860.39

FY14 - \$33,866.01

FY15 - \$25,317.01

FY16 - \$43,094.53

FY17 - \$66,242.05

(b)

FY13 - \$14,400.00

FY14 - \$12,638.75

FY15 - \$13,570.00

FY16 - \$600.00

FY17 - \$81,850.00

(c)

(i)

The process for searching and retrieving offsite records is detailed in the following controlled documents;

- M 002 Records Management System Manual
- M 356 Records Manager Record Keeping System - Quick Reference Guides
- P 114 Records Retention & Disposal - Archiving & Destruction

(ii) – (iv)

No agency or individual external to Gold Corporation is able to search for or access restricted Gold Corporation records stored offsite.

LOTTERYWEST:

a) for each of the last five financial years finishing 2016-17, for each Government agency within the Minister's portfolio, the cost of records archiving services including collection, storage, retrieval and destruction:

2012/13 \$16,066.73

2013/14 \$16,560.49

2014/15 \$13,715.63

2015/16 \$26,236.03

2016/17 \$13,381.44

(b) for each of the last five financial years, finishing 2016-17, the cost of records management consultancy services provided by:

(i) for the last five financial years, finishing 2016-17, there was no cost for records management consultancy services provided by the State Records Office

(ii) for the last five financial years, finishing 2016-17, there was no cost for records management consultancy services provided by private consultants and/or consultancy businesses.

(c) the process by which records held offsite by third-party private companies can be searched and accessed by:

(i) members of the agency;

All employees can search for records using Lotterywest's records management system. If those records are held offsite, Lotterywest's Information Management Officers use the offsite storage provider's internet portal to request retrieval of those records.

(ii) members of other Government agencies;

Searching and accessing offsite records is undertaken by Lotterywest's Information Management Officers and access by other government agencies only provided in accordance with legislation and Lotterywest information management policies.

(iii) members of academia; and

Searching and accessing offsite records is undertaken by Lotterywest's Information Management Officers and access by member of academia only provided in accordance with legislation and Lotterywest information management policies.

The Public Sector Commission advises:

(a) 2012/13 \$12,630.44

2013/14 \$13,133.83

2014/15 \$10,921.18

2015/16 \$10,429.88

2016/17 \$ 8,255.21

(b) (i) to (ii) Nil

(c) (i) to (iv) Access to all Public Sector Commission records is set out in clause 6.1 – Security and Access, of the Commission’s Record Keeping Plan. Please see tabled paper no. #

The Department of Jobs, Tourism, Science and Innovation advises:

For the previous Department of State Development:

(a) Cost (excl. of GST) of records archiving services for items (i) to (iv) for:

2016-17 = \$7282

2015-16 = \$9320

2014-15 = \$7386

2013-14 = \$10 827

2012-13 = \$4655

(b) Cost of records management consultancy services provided by State Records Office and consultants:

2016-17 (i) and (ii) Nil

2015-16 (i) and (ii) Nil

2014-15 (i) and (ii) Nil

2013-14 (i) and (ii) Nil

2012-13 (i) and (ii) Nil

(c) All external enquiries for records held off-site are managed by the Department’s Records Branch. The processes by which records held off-site by third-party private companies can be searched and accessed are as follows:

(i) internal staff can access records held in off-site storage using the Department’s information systems as these are catalogued and mostly in digital form and can be retrieved upon request;

(ii) other government agencies through the inter-agency agreements;

(iii) members of academia through the Freedom of Information process; and

(iv) members of the public through the Freedom of Information process.

A handwritten signature in black ink, consisting of a stylized 'M' followed by a comma.

6.1 Security and access

In carrying out business activity, Commission employees and contractors receive, create and transfer a considerable amount of information that is of a sensitive nature. The Australian Records Management Standard ISO/AS 15489-2002 and SRC Principles and Standards require records to be protected and access controlled. These controls ensure that records retain their quality over time in respect of their integrity, confidentiality, availability and authenticity.

Records are classified to protect them from unauthorised disclosure to comply with privacy legislation, to protect risks to State security, intellectual property rights or commercial confidentialities. Security and access controls can be predetermined for particular records and are applied at record creation. As security status alters over time, classified records are monitored and amended accordingly.

Routine records

All administrative records will be classified as routine. Routine records are available to authorised public sector employees and contractors. Access rights are based on recognition of routine business information requirements.

Routine records are housed in standard storage facilities and access is monitored via routine audits and tracking. Decisions about community access to routine records are made via the *Freedom of Information Act 1992* and exemptions may apply.

Restricted records

Records classified as 'Restricted' are available to authorised Commission or bureau service provider employees and contractors. Access rights are based on roles and responsibilities. A predetermined authority to access the information is applied at the position level. Where no predetermined authority exists access rights are verified on an individual basis. Records are typically restricted for commercial, legal or privacy reasons.

Restricted information is retained onsite in access controlled storage areas. Access is restricted and monitored via routine audits and tracking. Decisions about community access to restricted information are made via freedom of information and it is likely exemptions will apply.

Public Interest Disclosure records

All files relating to a public interest disclosure, whether paper or electronic, must be secure and accessible only by authorised persons. Files carry clear warnings that there are penalties for unauthorised divulgence of information concerning a disclosure. In accordance with the confidentiality provisions of the *Public Interest Disclosure (PID) Act 2003* and PID guidelines issued by the Public Sector Commission.

Confidential Records

Records classified as 'Confidential' are available to authorised Commission or bureau service provider employees and contractors. Access rights are based on the 'need to know' principle, and an individual's authority to access the information is verified.

Confidential records are clearly marked for easy identification. Watermarks or other restrictive reproduction methodologies may be applied. Confidential records are retained in access controlled storage areas with access recorded in the records system. Decisions about community access to this information are made via freedom of information and it is highly likely exemptions will apply.

6.1.1 Public access to records

To gain access to routine government records under the control of the Commission, applicants must apply in writing providing enough information to enable requested records to be identified.

Application for records not readily available may be made under freedom of information. Details about making application under Freedom of Information (FOI) are located at www.publicsector.wa.gov.au

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