QUEENSLAND STATE ARCHIVES' APPRAISAL STATEMENT

A statement on the values guiding the appraisal and identification of permanent public records

Queensland State Archives

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Appraisal Statement

As custodian of the largest and most significant documentary heritage collection in Queensland, Queensland State Archives is dedicated to ensuring the recorded memory of government is preserved for present and future generations.

The appraisal of public records, and the associated identification of records of permanent value, is the cornerstone of determining which public records should form the basis of Queensland's documentary cultural heritage.

Under the *Public Records Act 2002*, Queensland State Archives has a mandate to identify public records of enduring value and require that they be retained. Responsibility for determining which public records are to be retained permanently is vested in the State Archivist, who has statutory independence in making decisions on the retention and disposal of public records.

Queensland State Archives is committed to ensuring professional integrity is maintained in the appraisal of Queensland government public records and aims to provide public authorities with support and guidance in appraising public records with ongoing cultural, social, legal, community and historical value and interest.

Appraisal involves evaluating the business activities of a public authority to determine which public records should be created and captured and how long they are required to be kept to meet business needs, the public authority's accountability requirements, and community expectations¹. Appraisal is a planned process based on documented research and analysis to enable a transparent, consistent and reasoned argument to assess the retention of public records based on evidence. Public records can be in any format and may be appraised as having either a permanent or temporary retention value to the government and people of Queensland.

To be appraised as having permanent retention value, public records of Queensland public authorities would, in the majority of circumstances, fall within one or more of the appraisal characteristics outlined in this statement. Queensland State Archives aims to retain and preserve public records which meet these characteristics for the benefit of all Queenslanders.

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¹ Based on Australian Standard (AS) 4390 - Records Management, Part 1: General, Clause 4.3.

Appraisal characteristics for the identification of permanent public records

Characteristic 1 - Authority, Foundation & Structure of Government

Public records providing evidence of the source of authority, foundation and structure of Queensland government (including all public authorities and local governments). This includes public records that define the functions of government, such as the nature and extent of the government's jurisdiction, obligations and powers.

Characteristic 2 – Primary Functions & Programs of Government

Public records providing evidence of Queensland government deliberations, decisions and actions which influence the administration of government and the people of Queensland. These records relate to primary functions, programs and significant issues faced in governing the state of Queensland. Examples include public records documenting the background, basis, and outcomes of those decisions and actions.

Characteristic 3 – Enduring Rights & Entitlements

Public records providing evidence of the legal status of individuals and groups within the community, as well as their fundamental rights to participate in the affairs of the state, and to lay claim to entitlements and protection provided by the state. This includes public records documenting the significant interaction of individuals with government, which are necessary to protect their rights and entitlements.

Characteristic 4 – Significant Impact on Individuals

Public records providing substantial evidence of the significant impact of Queensland government decisions and actions on individuals and communities, the interaction of people with the government, and the influence of the Queensland community on government decision-making. This includes records that might be required where the government's actions alter or change the lives of individuals or groups of people, particularly the most vulnerable members of Queensland society.

Characteristic 5 - Substantial Contribution to Community Memory

Public records substantially contributing to the knowledge and understanding of aspects of the history, society, culture or people of Queensland. This includes public records relating to events, persons, places and phenomena of social, environmental, cultural, aesthetic, scientific, research or technical significance to the broader community and the state of Queensland and public records that provide a representation of the Queensland way of life including work, education and culture.

Characteristic 6 – Environmental Management & Change

Public records providing evidence of the Queensland government's significant actions in relation to environmental management and change, including the occupation, management and use of the state's natural resources. This also includes records that contain a history of land use which has, or may, impact on the health and well-being of the Queensland community and the natural environment, and records that may contribute to an understanding of climatic change, weather patterns and natural disasters.

All of these characteristics are equally significant to the recorded heritage of Queensland. A public record only needs to meet one of these six characteristics to qualify for retention as a permanent public record.

For an expanded version of the characteristics see <u>Appendix A: Expanded framework of appraisal</u> characteristics for the identification of permanent public records.

1 Appraisal characteristics – overview

The appraisal of public records is primarily based on a series of evaluative judgements. Therefore this statement aims to establish a consistent and transparent framework of characteristics to guide appraisal decisions and aid in the identification of public records with permanent retention value to the government and people of Queensland.

Public authorities should be guided by these characteristics to identify and appropriately manage records in their custody that are, or could, warrant permanent retention as state archives. The characteristics are applicable to records in all and any formats and their arrangement does not reflect any order of priority.

Final responsibility for confirming whether public records meet any of the appraisal characteristics, and approving them for permanent archival retention, remains with the State Archivist in accordance with the provisions of the *Public Records Act 2002*.

Further information on these characteristics can be found in <u>Appendix A: Expanded framework of appraisal characteristics for the identification of permanent public records</u> and <u>Identification of permanent public records using the Queensland State Archives' Appraisal Statement</u>.

2 Appraisal Statement context

2.1 Defining appraisal

Appraisal is the process of identifying, evaluating and documenting needs for records in order to guide recordkeeping activity. It is the cornerstone of determining which records should form the basis of Queensland's cultural heritage and need to be retained as permanent public records.

Queensland State Archives is responsible under the *Public Records Act 2002* for identifying public records that have enduring value as state archives and for authorising finite retention periods for all other public records, thereby ensuring this information is retained as long as it is required. This identification occurs through the appraisal of public records.

The appraisal process involves evaluating the business activities of a public authority to determine which public records should be created and captured and how long they are required to be kept to meet business needs, the public authority's accountability requirements, and community expectations². Appraisal can be applied prospectively for records that do not yet exist and retrospectively for public records which already exist.

While appraisal is relevant to all public records, this Appraisal Statement will focus on the values guiding the appraisal and identification of permanent public records.

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² Based on Australian Standard (AS) 4390 - Records Management, Part 1: General, Clause 4.3.

2.2 Purpose of the Appraisal Statement

The purpose of this Appraisal Statement is to:

- promote the integrity of the appraisal process by providing a transparent framework and characteristics for identifying and selecting records of permanent value, consistent with best practice appraisal throughout Australia
- assist Queensland public authorities comply with their legal obligations under the <u>Public</u> <u>Records Act 2002</u> (the Act), and the <u>Records Governance Policy</u> by providing guidance to enable permanent public records to be identified and appraised
- enhance the importance of legislative and regulatory compliance, protect citizens' fundamental rights and entitlements and take into account community expectations in appraisal decisions
- shape the scope and breadth of Queensland's archival collection.

2.3 Benefits of appraising public records

Public records provide evidence of the decisions and actions of Queensland public authorities, and support transparent and accountable government. However for most public records the evidentiary and accountability value associated with their retention diminishes over time. This means that the majority of public records can be disposed of once the minimum retention requirements, as approved by the State Archivist in a Retention and Disposal Schedule, have been met.

The benefits of appraising public records include:

- identification of public records to be retained as permanent public records and their potential transfer to Queensland State Archives for storage and access
- assessment of agency risks and identification of vital records (i.e. risk mitigation)
- efficient use of resources by not storing records for longer than necessary or migrating electronic records that could otherwise be disposed of prior to migration
- transparent, accountable and consistent legal disposal of public records under the Act.

Appraisal is important as it ensures that public records are created, kept and maintained for as long as they are required. This applies whether the records are temporary or permanent, and requires the reasons for retention decisions to be documented, justified and consistently applied.

2.4 Statutory framework

The State Archivist has issued this statement in accordance with section 25 of the Act and it forms one part of a wider policy framework that aims to promote best practice recordkeeping and information management by Queensland public authorities.

Under section 24(b) of the Act, Queensland State Archives is 'to identify public records of enduring value and require that they be retained'. Public authorities also share this responsibility under the Records Governance Policy.

This statement applies to all Queensland public authorities, as defined in schedule 2 of the Act.

3 Appraisal practices

Queensland State Archives endorses appraisal practices which support best practice appraisal of all records created by public authorities, regardless of whether they are assigned a permanent or temporary retention value. In particular Queensland State Archives affirms that appraisal should be:

- lawful
- support accountability and transparency
- responsive to stakeholders
- planned and consistent
- comprehensive, with documented justifications
- · considerate of resources.

3.1 Lawful

Care must be taken to ensure the appraisal process identifies and complies with any statutory or other legal obligations for the creation, maintenance and disposal of public records. In addition to the Act, these obligations include (but are not limited to) any financial, company or governing laws applicable to the public authority whose records are being appraised. Particular care should also be taken where the public record:

- is or may be needed in evidence in a judicial proceeding, including any reasonably possible judicial proceeding
- may be obtained by a party to litigation under the relevant Rules of Court, whether or not the State is a party to that litigation
- must be retained pursuant to the Evidence Act 1977
- is covered by a current disposal freeze issued by the State Archivist or by the public authority, or
- is covered by any other law or policy requiring that the public record be retained (e.g. Right to Information applications).

When national standards, specific industry codes or codes of practice exist, these should also be taken into consideration in the appraisal process.

3.2 Support accountability and transparency

Public records provide evidence of a public authority's decision-making, performance, achievements and conduct when carrying out its functions on behalf of the government and community. The specific accountability requirements for the public authority should be ascertained and applied to appraisal decisions. Accountability requirements may be formally defined in legislation or be implicit (in standards or codes of best practice).

3.3 Responsive to stakeholders

Appraisal should identify public records that may be required to protect the interests of relevant stakeholders and, as far as can be reasonably expected, ensure that these public records are maintained in an accessible and authentic state until the resolution of any process under which stakeholders may lawfully require or seek access to these records.

The appraisal process includes a determination of whether the public records are eligible for categorisation as permanent public records, as described in the appraisal characteristics within this statement, because of their ongoing cultural, social, community, legal and historical interest.

3.4 Planned and consistent

Appraisal should be undertaken in a planned and systematic manner in accordance with standards and guidelines issued by Queensland State Archives including the <u>Records Governance Policy</u>. The characteristics used to determine which public records are selected for permanent retention should be based on Queensland State Archives' *Appraisal Statement*. This statement provides consistency in the appraisal characteristics used to identify public records with permanent value.

3.5 Comprehensive and documented justifications

The appraisal process should be adequately documented to allow for scrutiny and review. This includes the assessment of retention requirements for public records, the identification of characteristics for permanent retention and their application in Retention and Disposal Schedules. Justifications should be comprehensive, indicating an understanding of the business activities documented in the public records, and demonstrate that the interests of all stakeholders, both internal and external to the public authority, have been given due consideration when determining the retention period.

3.6 Considerate of resources

Queensland public authorities have a responsibility to be prudent in the management of public funds. It is not affordable or sustainable to permanently keep all records created by public authorities within Queensland. Appraisal enables the value of public records to be determined and promotes the implementation of cost efficient records management plans.

Unnecessary storage costs can be reduced through the identification of temporary public records and their appropriate disposal at the expiration of a minimum retention period, as approved by the State Archivist under a Retention and Disposal Schedule. Ongoing maintenance costs can also be reduced through the legal disposal of temporary public records. For instance, a planned disposal program will reduce the volume, and therefore the information technology resources, required to backup and migrate electronic records.

Implementing a planned and systematic disposal program has the added benefit of improving public accessibility to government information. Through the disposal of temporary public records, information retrieval speeds may be improved and the cost of conducting searches for right to information and legal requests can be reduced.

Additionally, hardcopy permanent public records identified through the appraisal process can be transferred to Queensland State Archives' purpose-built facility, further reducing unnecessary storage costs for public authorities.

4 Acknowledgements

Queensland State Archives gratefully acknowledges the work of the Australian Society of Archivists and government archival authorities in other jurisdictions which has been used as a benchmark for consistency and best practice in records' appraisal, in particular:

- Archives New Zealand
- Archives Office of Tasmania
- National Archives of Australia
- Public Records Office Victoria
- State Records Authority of New South Wales
- State Records of South Australia
- State Records Office Western Australia
- Territory Records Office.

Appendix A: Expanded framework of appraisal characteristics for the identification of permanent public records

This appendix expands on the framework of characteristics for the identification of permanent public records which is described in the *Queensland State Archives' Appraisal Statement*:

- Characteristic 1 Authority, Foundation & Structure of Government
- Characteristic 2 Primary Functions & Programs of Government
- Characteristic 3 Enduring Rights & Entitlements
- Characteristic 4 Significant Impact on Individuals
- Characteristic 5 Substantial Contribution to Community Memory
- Characteristic 6 Environmental Management & Change

The following table of appraisal characteristics aims to assist public authorities to identify public records with possible enduring and permanent value to the government and people of Queensland. To assist with implementation, each characteristic includes descriptions of related government activities and possible examples of permanent public records which meet the characteristic.

Public authorities intending to use the characteristics outlined in this appendix should be aware:

- the characteristics are applicable to public records in all formats
- all characteristics are equally significant to the recorded heritage of Queensland
- where public records meet more than one characteristic, all characteristics should be referred to in the public authority's appraisal report along with a description of how the records meet each characteristic
- while no quotas or limits exist on how many records should be retained as permanent public records, generally only a small proportion of records created by government will warrant permanent retention
- not all public records which fall within the definition of a characteristic will be selected for permanent retention. Queensland State Archives will work with public authorities that are developing a Retention and Disposal Schedule to identify records which best represent the characteristics as described
- public records which meet any of the characteristics for the identification of permanent public records should not be exempted from permanent retention because of privacy or security concerns
- examples of records included with each characteristic are not an exhaustive or a definitive list and should not be used as such. These examples are intended to provide the basis for further discussion and analysis of the records between Queensland State Archives and public authorities.

Expanded table of appraisal characteristics for the identification of permanent public records

Appraisal characteristics for the identification of permanent public records Characteristic Evidenced by: Characteristic 1 - Authority, Foundation & Records providing evidence of the following may meet this **Structure of Government** characteristic: Public records providing evidence of the the development, passing, commencement and review of source of authority, establishment and legislation structure of Queensland government - legislation (including all public authorities and local governments). This includes public records subordinate legislation (regulations) that define the function of government, such - development and review files as the nature and extent of the government's jurisdiction, obligations and powers. formal instruments authorising the establishment or dissolution of a public authority, its functions and operations Governor in Council approvals Ministerial duties outside the Minister's current portfolio which are official assignments from the Premier and may lead to the creation of a new agency legal delegations to perform duties and functions of the state Ministerial delegations delegations to a Chief Executive Officer or a statutory office holder judgements or rulings determining the extent of jurisdictions and powers, including: where the Supreme Court determines the validity of legislation made by the legislature where a court determines that the power to charge a person is not within the powers set up by a specific act judgements that a tribunal/lower court does not have the necessary power/jurisdiction to have dealt with a matter. agreements with other state governments and the Commonwealth regarding responsibility for functions, including: - contracts complementary legislation other COAG (Council of Australian Governments) agreements. Characteristic 2 - Primary Functions & Records providing evidence of the following may meet this **Programs of Government** characteristic: Public records providing evidence of

Appraisal characteristics for the identification of permanent public records

Characteristic

Queensland government deliberations, decisions and actions which influence the administration of government and the people of Queensland. These records relate to primary functions, programs and significant issues faced in governing the state of Queensland. Examples include public records documenting the background, basis, and outcomes of those decisions and actions.

Evidenced by:

- Cabinet decisions
 - Cabinet minutes
- the formulation and determination of policy across wholeof-government
 - policy proposals, consultation and evaluation reports
 - endorsed whole-of-government policy
 - Ministerial media statements
- the formulation, determination and implementation of high level policy and strategic management decisions within public authorities and across government sectors and industry
 - policy proposals, consultation and evaluation reports
 - endorsed key functional policy
 - implementation plans and timeframes
- the monitoring, analysis and review of policy affecting primary government functions
 - reports of Commissions of Inquiry or Review
 - policy evaluations
- major reforms of the state's political and administrative structures and institutions
 - research and reports into restructure proposals
 - final, approved versions of restructures and organisational charts
- setting legal precedents and amendments
 - Supreme Court decisions
- implementation of major decisions through the formulation of procedures and strategies
 - Public Service Commission directives
- formulation and delivery of major infrastructure or planning schemes
 - planning scheme and/or town plan
 - specifications for the design and construction of major infrastructure
- local government decision-making
 - Council minutes
- · registration of regulated professions
 - medical registration
- development of, reaction to, and impact of reports on major social issues

Evidenced by:
 response of the Queensland government to reports and recommendations of Commissions of Inquiry or Review.
Records providing evidence of the following may meet this characteristic • evidence of significant life events and rights and entitlements: - births, deaths and marriages registrations - adoption records - official changes of name e.g. deed polls - administration of deceased estates e.g. grants of probate - Aboriginal heritage site registration - native title determinations of land owner rights - land titles, parish plans and easements which
document property rights and entitlements. Records that provide evidence of the following may meet this characteristic: • planning and decision-making in relation to issues significantly affecting the community or the provision of essential services - collections and analyses of data - high-level planning and execution of major public works, e.g. main roads and residential developments - land-use and zoning plans • individual case management where government functions and programs had far reaching impact or influence on the lives of individuals within the community - guardianship records - prison admission and discharge records - mental health service provision - details of the state's care of children removed from their family • identifying the persons, groups or areas affected by the implementation of policy decisions (whether positively or negatively) - representations and appeals against the

Appraisal characteristics for the iden	tification of permanent public records
Characteristic	Evidenced by:
	impact of legal decisions on the lives of individuals and communities and the setting of precedents for community behaviour
	 criminal court decisions
	outcomes of decisions and their implementation, whether successful or unsuccessful
	 statistical analyses
	- reports
	- reviews.
Characteristic 5 - Substantial Contribution to Community Memory	Records that provide evidence of the following may meet this characteristic:
Public records substantially contributing to the knowledge and understanding of aspects of the history, society, culture or people of Queensland. This includes public records relating to events, persons, places and phenomena of social, environmental, cultural, aesthetic, scientific, research or technical significance to the broader community and the state of Queensland and public records that provide a representation of the Queensland way of life including work, education and culture.	sites of conservation, cultural, social, spiritual or heritage significance
	 identification, development and site management records
	individuals or organisations that have significantly contributed to Queensland society
	award recipients
	 titles administration (e.g. conferring the title of "Honourable" to eligible persons")
While public records arise from and document government activity, they may warrant	Queensland's population and its circumstances
retention as permanent public records	statistical data
because of relevance beyond government functionality. For instance, a routine approval of a building's construction may warrant permanent retention as it concerns a building that becomes renowned for its architectural significance.	major social, economic, cultural or scientific discoveries or developments with significance to, or a special relationship with, Queensland
	 planning and management of major infrastructure or development projects
	 planning and management of Queensland's economic resources
	major social, economic, cultural or scientific discoveries or developments with significance to, or having a special relationship with, specific regional or local communities
	 speeches made by the Mayor on occasions of regional and local significance including a local government centenary or a royal visit
	major advances, changes or achievements, in a particular field or area of endeavour, and the key people or organisations contributing to it

Appraisal characteristics for the identification of permanent public records		
Characteristic	Evidenced by:	
	 technical, botanical, scientific, social science, genealogical, medical or other specialist research³ 	
	those which significantly add to an understanding of a particular time for different types of people - how people lived, what they thought, what their major concerns/issues were	
	 planning and management of significant cultural events and celebrations 	
	heritage listings	
	major events, developments or trends in political, social, legal or economic history	
	 Premier's speech notes. 	
Characteristic 6 – Environmental Management & Change	Records that provide evidence of the following may meet this characteristic:	
Public records providing evidence of the Queensland government's significant actions in relation to environmental management and change, including the occupation, management and use of the state's natural resources. This also includes records that contain a history of land use which has, or may, impact on the health and well-being of the Queensland community and the natural environment, and records that may contribute to an understanding of climatic change, weather patterns and natural disasters.	 history of land use and occupation landfill sites town planning collections and analyses of data compiled for planning and decision making in relation to issues significantly affecting the environment or resource management environmental observational research and/or surveillance hydrographic charts and flood maps collections and analyses of data detailing environmental changes which have occurred over time rainfall, temperature and soil feature statistics individual case management where government functions and programs had far reaching impact or influence on the environment or the development of the state and its resources spread and control of diseases or biological agents 	
	major changes to land use, such as the establishment of National Parks	

Queensland State Archives

³ Any potential uses must be fully explained and justified in order for this criterion to be applied.

Appraisal characteristics for the identification of permanent public records	
Characteristic	Evidenced by:
	administration and enforcement of environmentally relevant activities
	 applications environmental monitoring where there is a potential for contaminants to be
	released into the environment - development approvals for coal seam gas extraction and mining
	 identification and monitoring of toxic sites.