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Annual report 2009-10

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Images with a Digital ID number are available to order online and through Photo Investigator.

Overview 2009-10

Our charter, direction and services

Director's review

Message from the Chairperson

Performance summary

Our charter, direction and services

Our charter – who we are, why we exist

Who we are

The State Records Authority of New South Wales (State Records) is the NSW Government's archives and records management authority. Its purposes are to:

- Preserve the State archives and enable and promote their use; and
- Set standards and provide guidance and services to improve records management across the NSW public sector including local government, the universities and the public health system.

State Records is a non-Budget dependent agency within the Department of Services, Technology and Administration and a statutory body under Schedule 2 of the *Public Finance and Audit Act 1983*. Our core regulatory, archival collection and service delivery functions are Budget-funded through a grant from the Department of Services, Technology and Administration. The Government Records Repository (GRR) operates off-Budget to provide records storage services to the sector.

State Records is committed to the following principles, which inform its service delivery strategies:

- Maintaining and enhancing services to Government and the public;
 - Maintaining essential services in an environment of fiscal constraint;
 - Maximising the value obtained from available resources and focussing effort where the greatest impact can be made;
 - Developing partnerships and sharing resources; and
 - Protection of privacy.
- We administer the *State Records Act 1998*.

Links to State Plan

The NSW State Plan, *A New Direction for NSW*, sets out the Government's key priorities for the next ten years.

State Records contributes to the NSW State Plan by:

- Storing non-current records;
- Regulation, guidance and promoting best practice;
- Documenting, storing and preserving the archives; and
- Reference services and outreach.

The State Plan activities which State Records contributes to are:

- Growing Prosperity across NSW;
- Environment for Living;
- Delivering Better Services; and
- Fairness and opportunity.

Legislation and functions

We are a statutory body constituted by the *State Records Act 1998*. The Act was amended in 2005 following a review.

Our History

>1821

Colonial Secretary and Registrar of the Records appointed

>1879

Keeper of Archives position proposed but not established

>1887

Archivist appointed to transcribe records for *History of New South Wales from the Records*

>1910

Trustees of Public Library prepare report on neglect of government records

>1911

Departments advised to transfer historical records to the Mitchell Library

>1953

Archives Department established within Public Library of NSW

>1955

Government Records Repository established

>1960

Archives Act 1960 passed

>1961

Archives Authority of NSW and Archives Office established

>1976

Records Management Office established

>1998

State Records Act 1998 passed

>1999

State Records Authority and its Board established

Our direction – where we are heading, how we work

Vision

That people and Government in NSW have ready access to records which illuminate history, enrich the life of the community and support good and accountable government.

Aims

As the State Government's archives and records management authority, State Records exists to ensure that:

- The business of the NSW public sector is properly documented and the resulting records are managed efficiently and effectively for as long as they are needed; and that
- The State archives collection is developed, preserved and used.

Values

We are committed to:

- The highest possible professional standards
- Our customers and their needs in our decision-making and business directions
- Integrity and accountability in our dealings with stakeholders, customers and the records
- Innovation, creativity and openness to ideas in our work
- Respect for our customers and their diverse backgrounds and interests, and respect for each other.

Our services – what we do, clients and stakeholders

What we do

- Setting and monitoring standards for the creation, management and disposal of State records;
- Providing practical advice, guidance and training to NSW public sector bodies in all aspects of records management;
- Providing centralised and cost effective storage and retrieval services for the semi active records of public sector agencies;
- Identifying those State Records which should be retained as State archives and authorising the disposal of those which should not;
- Documenting State archives in their functional and administrative context;
- Storing State archives in appropriate environments and ensuring that those stored elsewhere are also stored to the necessary standards;
- Using micro and macro preservation techniques to preserve the State's archives;
- Making State records more than 30 years old available for public access and use;
- Interpreting, promoting and enhancing public awareness of the State archives collection; and
- Making the best use of information technology and communications to improve our services and business.

Our clients and stakeholders

Public, external

- The people of NSW
- Communities with particular needs, including the Indigenous community, culturally and linguistically diverse communities, and people in regional NSW
- Researchers around Australia and the world
- Australian governments
- Australian and New Zealand public records authorities
- Governments and private companies around the world

NSW public sector

- Central agencies
- Departments, agencies, and statutory bodies
- Ministers' offices
- State owned corporations
- Local councils
- The public health system



Director's review

State Records NSW had a very challenging year in 2009-10, however, many significant achievements were made.

Considerable time and effort was put into the development of a roadmap for digital records in the NSW government and further submissions were made in relation to the development of a Digital State Archive. It is anticipated that this priority project will come to fruition during 2011-12. The Future Proof blog proved to be most useful to agencies dealing with the complexity of digital recordkeeping, with postings on a wide range of topics from keeping records of Web 2 business to controlling the growth and costs of unstructured information in organisations.

The Government Records Repository (GRR) had successful year with an overall operating surplus of \$2.9 million. Funds from the Government Records Repository continue to support many key programs but particularly the tour of State Records' most successful exhibition ever 'In Living Memory'. The exhibition, which has now been running for four years continues to highlight the archives of the Aboriginal Welfare Board around NSW. The tour of In 'Living Memory' to regional centres continued in 2009/10 and was a focal point for Aboriginal communities throughout New South Wales. During the year In Living Memory visited Newcastle, Moruya, Bega, Wagga Wagga, Cootamundra and Griffith.

Work on comprehensive retention and disposal authority coverage continued during the year with the achievement of 84% coverage for agencies, local government, area health services and universities. This work will continue during 2010-11 with the aim of 90% coverage by mid 2011.

State Records continued to reduce agency storage costs through the implementation of its strategy for the destruction of time expired records or their transfer as State archives. During the year 1290 linear metres of archives and 1086 maps and plans were transferred to State Records as State archives. The transfer of non-current records identified as archives to archival storage removes the burden and cost of storage from the agency to State Records as the lasting responsibility for the archives belongs to

State Records.

During the year 15,177 linear metres of time expired non-current records were destroyed creating considerable savings for agencies. At the end of June 2010 there were a total of 434,000 linear metres of public sector records stored at the Western Sydney Records Centre at Kingswood.

In 2009-10 a major review and audit of collection documentation was completed. The review focussed on the period between 2000, when the series system was introduced, and 2010. The series system is used by many Australian archival institutions and involves detailed research which leads to registrations of archival series and contextual information about how the NSW government has been organised since 1788.

The findings of the collection documentation review will shape our priorities in coming years; in particular the need to keep up with cataloguing and documenting new archives as they are transferred to our custody, to make inroads into the substantial backlog of uncatalogued archives, and to increase the number of record items discoverable through our online catalogue.

While the modest additional staffing resources being made available will help to alleviate the situation, substantial progress (particularly in relation to long-term backlogs) will require dedicated funding over a number of years, and the priority and resources allocated to this task will need to be one of the key issues considered as part of future corporate planning. Our volunteers are also important to our success in the area of item-level documentation, and we would like to develop the capacity to support a more active volunteer program.

The take up of GRRWeb was very strong during the year. This system has provided clients of the Government Records Repository with the ability to query the database relating to their holdings, provides greater control of non current records to agencies and allows them to manage their records far more effectively.

In line with our mandate to ensure good recordkeeping in the NSW Public Sector, in

2009-10 there were a large variety of events to improve recordkeeping awareness and skills across the sector with a total of 1112 participants in Records Manager's Forums, training and specifically targeted presentations. During the year an online records training package was also developed which will be widely publicised to the NSW Public Sector in the coming months. In addition many presentations were made available as podcasts through the website which has broadened and increased our audience reach.

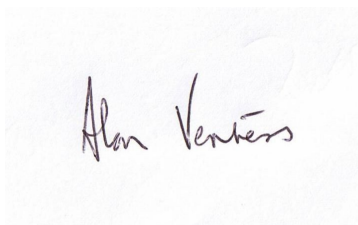
During the year 1,422 items were treated by our paper conservators, this represents a 28% increase over the previous year. However, with such a large collection of over 8 million individual items conservation work must be approached at the macro level in the provision of good storage conditions for the collection rather than at the micro level of individual treatments.

State Records' web site is now the first point of call for those requiring information about the archives collection, the Government Records Repository or recordkeeping for the wider public sector. During the year there were over 1.5 million unique visitors to the web site which has been developed to include links to Web 2 applications such as You Tube, Twitter, Facebook and Flickr, this has enabled State Records to access previously untapped audiences. Currently there are 8 videos about State Records on You Tube and during the year they were accessed by over 15,000 people. In addition the 'Archives Outside' blog providing information to small archives in regional New South Wales has proved to be very popular with over 10,000 visits.

State Records has around fifty committed volunteers who are a very productive group who provide support to areas of the collection which would otherwise be neglected. One of their major tasks is indexing of records. These indexes have been of great assistance to the large numbers of family historians all over the world who access State Records' web site.

In conclusion I would once again like to express my heartfelt thanks to all the staff, volunteers and to the Board of State Records for their

continuing dedication and service to the State during 2009-10.



ALAN VENTRESS
Director



Message from the Chairperson

It gives me great pleasure to write my fourth annual message as Chairperson of the Board. I would like to pay tribute to the work of the Board and to express my personal appreciation to them as volunteers, for their commitment to fulfilling their responsibilities under the NSW State Records Act. A major responsibility for the Board is the assessment of New South Wales Government records for designation as State archives. Effective decision-making in relation to the disposal or retention of government records is extremely serious business. By identifying records to be retained as State Archives, the members of the Board ensure that current and future generations have a capacity to learn about government processes and procedures as these evolve over time. Not only is this critical to the maintenance of good governance but also of democracy itself.

Accordingly, I would like to thank Stephen Davies (Director Heritage, Urbis jhd), Zoe DeSaram (Director, Climate Change Policy, Department of Environment Climate Change and Water), Robyn Foster (General Manager, Internal Customer Services, NSW Police), The Honorable Don Harwin MLC, His Honour Justice Henric Nicholas (Supreme Court of NSW) and Councillor Karen McKeown (Penrith City Council). I would like to take this opportunity to express particular gratitude to, John O'Hearn (General Manager, Strategy and Communication, Hunter Water Corporation) whose second term on the Board came to an end on 31 December 2009 and to welcome Denise Dawson (General Manager Corporate Services) who was appointed to replace John O'Hearn as the State Owned Corporations representative on the Board.

During the past year the Board examined and approved 24 appraisal reports. To enhance the special expertise of each member and the validity of its recommendations the Board sought the assistance of external experts on various occasions. This allowed for further verification and the provision of additional information prior to decision-making on the destruction of records.

I would particularly like to thank Professor Peter Phibbs, Co-ordinator of Academic Programs, Urban Research Centre, University of Western Sydney, Bruce Kercher, Emeritus Professor of

Law, Macquarie University, Dr Michael Bennett, Historian, Native Title Services Corporation (NTSCORP), Professor Ann McGrath, Director, Australian Centre for Indigenous History, Australian National University, NSW Aboriginal Land Council, Australian Institute of Aboriginal and Torres Strait Islander Studies and The Law Society of NSW

On behalf of the Board I would also like to sincerely thank all State Records' volunteers who continue to make a significant contribution in the area of indexing archival materials. Without their assistance many of the State's archives would remain inaccessible. The time given by the volunteers is greatly appreciated by the staff and management of State Records and the work the volunteers ensures that State Records' web site is extremely content rich and very popular with family historians. State Records' Volunteers Coordinator, Annette Finch, regularly organised outings and lectures for volunteers throughout the year. A most popular event was a 'show and tell' called 'Your Favourite Heirloom, Antique or Artefact' which was very well attended and caused a great deal of discussion.

I would like to again commend the commitment of all State Records' volunteers for the time they give to the organisation and to the State of NSW. As I said in my last annual report message they provide the invisible glue that helps to connect people and services. Without them State Records would struggle to provide the level of service that has become expected by the general public. I am especially pleased that State Records volunteers have developed long-lasting ties with the organisation, which reflects well on State Records as much as on the volunteers.

During 2009-10 the Board reviewed a number of significant reports; however I would like to draw attention to one report on Collection Documentation, which has serious ramifications for the future of State Records. Documentation is an essential cog in the archival process, however, over the last 50 years insufficient resources have been available to ensure the timely documentation of the State's archival collections. For example the Colonial Secretary's papers 1826 onwards are still being processed

and are not yet adequately arranged and described. More recently massive transfers of archives from agencies – over 6 linear kilometres last year – has meant that the processing and arrangement and description of archives has fallen far behind acceptable levels, despite the employment of three additional archivists. Clearly more help is required in this area to ensure archives are accessible within a reasonable time of their transfer.

The Government Records Repository (GRR) had a fair year with an operational surplus of \$2.9 million. It must be remembered that the GRR supports the Treasury funded side of the organisation to a significant degree which means that money transferred is opportunity forgone for the development of the GRR as a business entity. Funds from the Government Records Repository continue to support a variety of essential programs particularly digitisation and the continuing tour of 'In Living Memory', now in its fourth year. This exhibition has built very close and lasting relationships with the Aboriginal community in NSW.

The Government Records Repository now holds 434,000 linear metres of non current records and during 2009-10 over 36,000 linear metres of records were accessioned. 316,037 file retrieval operations took place and a total of 624,452 different activities were managed through the GRR's electronic inventory system RS-SQL which represented a 2% drop in activity over the year. Operational efficiency continues to be boosted through the use of GRRweb which has given agencies increased control over their holdings.

During the year work continued on State Records' 'Future Proof' strategy. This strategy has two major aims, to improve digital recordkeeping across the NSW government and to implement a Digital State Archive. A pilot project to test hardware and software continued during 2009-10, in preparation for a whole of government digital archiving solution. Yet we continue to wait for financial commitment to this project by the NSW State Government. As I pointed out in my message last year the importance of a Digital State Archive for New South Wales cannot be overstated. More and more agencies are

expecting and demanding that State Records accept archival digital data and at present State Records is not in a position to do so. The danger of important digital data being lost is becoming extreme without a system in place to capture digital archives and make them available to the government, general public and research community.

Meanwhile, State Records has fully embraced Web 2 technologies with a presence on YouTube, Flickr, and Twitter that has become very popular with younger users of the archives. Additionally State Records has developed two Blogs: 'Archives Outside' and 'Future Proof' both cater for niche markets relating to small archives around NSW and digital recordkeeping respectively.

State Records' 'In Living Memory' exhibition has created a very strong link between the Aboriginal community in New South Wales and State Records. The educative impact of the exhibition cannot be quantified however it has been viewed by thousands of Australians and has provided an insight into aspects of Aboriginal history in NSW that were previously unexplored and to many quite unknown. The exhibition has travelled the length and breadth of the State since 2006 and many Aboriginal communities have assisted State Records in its organisation and set up. I would like to thank those communities for their support and to pay a special tribute to the State Records 'In Living Memory' team.

As in the past, I wish to commend all State Records staff for providing an exceptional service to the Government and the people of NSW. Their efforts and activities ensure the preservation of a critically important element of our State's tangible and intangible cultural heritage for future generations.



PROFESSOR LUCY TAKSA, PhD
Chairperson of the Board

Performance summary

Introduction

In this annual report we report on our performance according to five key result areas we aim for that benefit the community, either directly, or indirectly through improved public sector recordkeeping. These key result areas are:

- Consistent, cost effective retention and disposal of records by public sector agencies.
- Quality recordkeeping and records management by public offices and public officials.
- Protection, transfer and cataloguing of State Archives.
- Government and public use and benefit from records and archives.
- Compliance with corporate governance requirements.

Details of specific activities carried out over the year are reported on in a separate *Activity report 2009-10* available on our website www.records.nsw.gov.au.

Consistent, cost effective retention and disposal of records by public sector agencies

Outcomes

State Records aims to:

- Maximise benefits and savings to Government by assisting agencies to retain and dispose of records efficiently;
- Ensure that there is a comprehensive retention/disposal authority coverage of the public sector.

Achievements

We estimate that 84% of public offices have comprehensive functional records retention policies (also known as disposal authorities). This continuing improvement is largely due to our strategy to develop general retention and disposal policies to cover common business functions as well as assist NSW Government agencies to develop retention and disposal policies for their unique activities. We approved 12 functional policies submitted by public offices. In addition 4 general policies were developed by State Records.

We accessioned over 36,000 linear metres of non-current records into the Government Records Repository, bringing the total holdings in the GRR to 434,000 linear metres. This level

of accessioning is nearly double our estimate of 20,000 metres. Net growth in holdings was just under 21,000 linear metres for the year. The 15,000 metres difference between incoming records and growth in net holdings reflects the large quantities of records destroyed, transferred to the State Archives or permanently recalled by clients during the year.

We performed 316,037 file retrieval operations at the request of clients, which is slightly below our estimate. Efficiency in file retrieval, transport and other operational areas continues to be boosted by the roll-out of further enhancements to our electronic inventory system, RS-SQL. In total, 624,452 different activities were managed through RS-SQL during the year, compared with 637,557 activities in 2008-09.

Outlook

Over the next year State Records will continue implementing the *Strategy to achieve comprehensive disposal coverage of NSW Government agencies by retention and disposal authorities*. We expect this strategy to continue to be a focus of State Records resources and priorities as we assist agencies working towards developing, implementing and reviewing disposal policies. Additional demands on our resources are also expected from agencies needing to review existing functional retention and disposal policies to ensure they are current and appropriate. There will also be demands on our resources as we develop further general retention policies and review existing general retention policies. We also expect that the increased disposal coverage will lead to significant additional demand to transfer State archives to our care. However, overall it is expected that continued improvements in disposal policy coverage and implementation across agencies will result in more efficient management and cost effective storage of records.

We are anticipating continued strong demand for our records storage and associated services in 2010-11. Our estimate of only 3% net growth in holdings for the year reflects the continued emphasis we and our clients are placing on the destruction, culling and transfer to archives of previously unsentenced records.

Quality recordkeeping and records management by public offices and public officials

Outcomes

- Chief Executive Officers and public officials are aware of their obligations, committed and skilled.
- Effective records management programs, systems and practices are in place.
- There are comprehensive access directions made by public offices for records over 30 years of age.

In 2009-10 we sought improvements in public sector recordkeeping and records management systems and practices. We continued to implement our *Chief executives strategy*, providing information to new CEOs on records management obligations. We also continued our *Better skills strategy*, providing records management training to public officials. Finally, we continued to seek improvements in digital recordkeeping in the public sector through the implementation of our *Digital records strategy*.

Achievements

As we became aware of new public sector CEOs we sent them information about recordkeeping obligations and assistance available. During 2009-10 28 information packs were sent to new CEOs.

We offered 29 courses attended by 325 public officials in our annual records management training program. This was achieved in partnership with private sector training providers. A further 1,112 NSW public officials attended presentations on recordkeeping and records management, including forums and briefings on particular products.

We worked closely with others on digital recordkeeping and archiving strategy and tools. This included working closely with the Department of Services, Technology and Administration's Government Chief Information Office (GCIO) on the overall information management framework and ensuring an integrated approach to records management and information management strategies across the sector.

We also developed and improved digital recordkeeping products, including practical tools and guidance on digital recordkeeping.

Outlook

We will continue to work on raising the awareness and commitment of CEOs to improving official recordkeeping and increasing the skills of public sector officials in the creation and management of official records.

'Future Proof', our digital records strategy, will continue as a central focal point in 2010-11.

Work will continue on developing digital recordkeeping tools, guidance and training. We will also continue to work closely with the Government Chief Information Office on the whole of government information management strategy and on assisting public offices to procure and implement suitable and cost-effective Information Asset Management Systems.



Edwin Yang and Andrew Delves shelving incoming State archives

Protection, transfer and cataloguing of State Archives

Outcomes

State Records aims to ensure that:

- Archives are protected by public offices and transferred when no longer in use;
- Archives in all formats are stored and preserved;
- Archives and their context are documented and catalogued.

Achievements

We worked closely with agencies (particularly the Land and Property Management Authority) to transfer into our custody a large quantity (1,320 metres) of State archives. A major review of collection documentation was undertaken during 2009-2010, which revealed significant discrepancies between the scale of State Records' archival documentation task and the resources available. Modest numbers of record items were catalogued (36,561), bringing the total discoverable through our online catalogue to 306,393.

Outlook

We expect to continue to receive large quantities of State archives in traditional formats over the next 5-10 years. The absence of resources and facilities to manage born-digital archives appropriately or to preserve records requiring specialised cold storage are becoming matters of increasing concern. The findings of the collection documentation review will shape our priorities in coming years; in particular the need to address large and growing backlogs of series and item cataloguing.



Government Records Repository's Customer Service unit handles all incoming requests for service

Government and public use and benefit from records and archives

Outcomes

State Records aims to ensure that:

- Archives and records are widely accessible through a variety of channels;
- The community knows about and values archives and records.

Achievements

Our online ordering and payment service for copies of State archives continued to prove very popular. We added 158,363 entries (including names) to online indexes, another popular service. Enhancements to Archives Investigator went live on 14 May 2010.

Public outreach events which we ran or participated in were attended by 4,278 people.

The touring version of the *In Living Memory* exhibition of photographs from the records of the Aborigines Welfare Board entered its second year, travelling to communities around NSW, including Hurstville, Newcastle, Moruya, Bega, Wagga Wagga, Cootamundra and Dubbo.

Outlook

As the *In Living Memory NSW* tour has begun to draw to a close, there has been increasing interest within Aboriginal communities about the future of the exhibition. The exhibition team has begun a consultation process with families, Elders and communities connected to the photos and the tour venues, to develop approaches to keeping the exhibition process alive for future generations.

As a result of increased public demand, we expect that our online services will continue to grow. We will also continue to provide services through our two reading rooms and other traditional service channels.

Compliance with corporate governance requirements

Outcomes

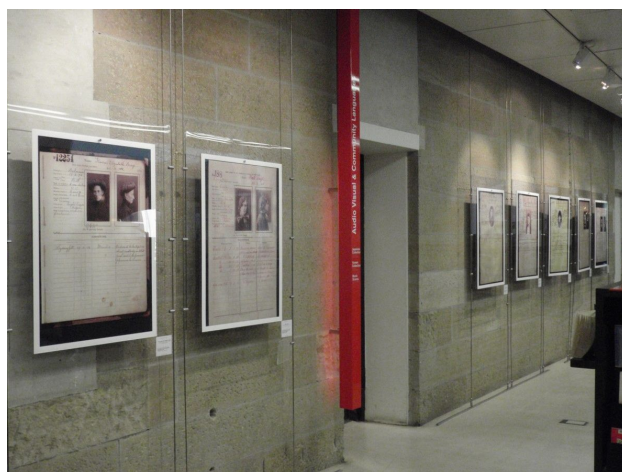
State Records aims to ensure that:

- Board mandatory responsibilities are fulfilled;
- Director's Performance agreement targets are achieved;
- Director's mandatory responsibilities are fulfilled;

- Workforce capacity and planning objectives are achieved;
- Continuous improvement of OHS systems and procedures occurs.

Indicators, targets and results

Indicator	Result 2009-10	Target
No. of participants in records management program events	1,437	900
Percent of public offices with comprehensive access directions	43%	44%
Percent of public offices with comprehensive records retention policies	84%	95%
No. of records retention policies approved	16	20
Metres of non-current records in storage	434,232	425,000
Metres of non-current records accessioned	36,088	20,000
No. of file retrieval operations	316,037	320,000
Metres of standard format records in archival custody	67,239	67,400
Metres of records transferred to archival custody	1,320	1,500
No. of catalogued record items discoverable online	306,393	300,000
No. of record items catalogued	36,561	30,000
No. of archives information access points	42	42
No. of website visits	1,594,946	1,100,000
No. of original record items used by readers	26,620	26,000
No. of public program participants	4,278	3,600



Display of Gaol photos at Customs House for History Week 2009

Facts 2009-10

1,594,946 website visits

***52,586 reading
room visitors***

***26,620 original
archives used***

***42 community access
points to State archives
collection across NSW***

***434 kilometres of non-
current records stored
at Western Sydney***

***67.239 kilometres of
standard format
archives in custody***

***306,393 record items
discoverable
online***

***10,543 unique visits to the
Future Proof blog***

***38,900 unique visits to the
Archives Outside blog***

NRS4481 Government
Printing Office Glass
Negatives - 'George
Street, looking north
from Martin Place, n.d.'
Digital ID
4481_a026_00405

Services and Operations

Records storage services

Non-current records stored efficiently

Services for the public sector

Efficient retention of public sector records

Records retention policies cover whole public sector

Quality recordkeeping across the public sector

CEOs and public officials aware, committed and skilled

Effective records management programs, systems and practices across the NSW public sector

State of public sector recordkeeping

Meeting digital recordkeeping training needs in the NSW public sector

Records retention policies

Records management programs, systems and practices

The State archives collection

Public offices protect or transfer archives

The State Archives collection is appropriately stored and preserved

The State Archives Collection is catalogued and documented

Services for the public

Sensitive public sector information is appropriately protected

Use of the State Archives Collection

Archives reaching a broader audience

Communities know about and value the State Archives Collection

Corporate information and communications

Records storage services

Non-current records stored efficiently

In 2009-10, State Records’ off-budget records storage business, the Government Records Repository (GRR) had another successful year, continuing to grow steadily as it provided secure and efficient records storage and related services to the public sector.

We aim through the GRR to keep the cost to Government of records storage low, while providing a model of best practice for services and facilities. While primarily servicing inner-budget agencies, clients also include local councils, public hospitals and universities.

File storage and retrieval service demand met

The GRR accessioned 36,088 linear metres of non-current records during the year compared to 33,630 in 2008-09. This brought the total holdings to around 434,000 linear metres of public sector records. There are now over 2,200,000 individual boxes of records in storage with the GRR. We accessioned considerably more records than our estimate of 20,000 linear metres, although this was offset by the destruction, transfer and permanent recall of 15,177 linear metres. This compares to the 15,787 linear metres removed from storage in 2008-09, and indicates our ongoing commitment to assisting clients to make savings through the implementation of retention policies, the destruction of records which are no longer required and the transfer of designated State archives to State Records.

Achievements and highlights

- 5% net growth, with \$2.9 million operating surplus
- Continued successful roll-out of GRRWeb
- High levels of activity in the health sector

The number of file retrieval operations (comprising mainly pulling files requested from storage and returning files after use) decreased slightly on the previous year to 316,037. This is below our estimate of 320,000 operations, although file retrieval operations are not something we control since they reflect levels of client activity.

File retrieval operations

	2008-09	2009-10	Variation (%)
No. of files requested	186,030	176,357	-5%
No. of files returned	128,602	125,750	-2%
Total file retrieval operations	327,122	316,037	-3%

Net growth of holdings

Result 2008-09	Result 2009-10	Target 2009-10
4.6%	5.0%	3.0%

Total includes adding files to boxes and attaching documents to files. No charge is made for the return of items to storage.

GRR Web

The GRR launched a major new service, GRRWeb, in late 2008 and take up of this service has been extremely strong in 2009-10. GRRWeb, part of the GRR's RS-SQL application, is a powerful and convenient way for its clients to view and manage their records stored off-site at the GRR. It is an automated, web-based application that gives the GRR's clients real-time access to the RS-SQL database.

GRR clients utilising GRRWeb can perform their own data entry of file data, conduct custom searches, build their own queries, and make service requests in real time. GRRWeb allows them to easily order record storage services and supplies; schedule pickups and deliveries; check on the status of work orders and service requests; define and update item descriptions in selected records; and get round-the-clock access to reports on their record activities, printable from their desktop.

GRRWeb is a fully secure system which gives the client complete control over their individual users. Access to specific features of the system can be individually defined and managed - individual user accounts are set up which limit access to all or part of a client's holdings in the GRR. This means that agency users can only view those storage and retrieval accounts which they have permission to access by their Records Manager. The GRR works closely with its clients to define the level of access each user will be given.

GRR goes wireless

The GRR is constantly evaluating the technology that supports our repository management system, RS-SQL. As part of our move towards offering a range of more sophisticated electronic services to our clients the GRR is now upgrading to the next generation of hardware using wireless handheld scanners for our repository operations.

The use of 2 dimension barcodes (standard barcodes are 1 dimension) enables a single scan to capture up to the equivalent of 80 barcodes of embedded data, which brings increased efficiency to a wide range of activities. One

obvious application of this technology will be in our Transport area where the advantages of 2-D technology, combined with other features such as electronic signature capture, real time tracking of items and instant receipt printing, will enhance services to the clients, particularly as they take up GRR Web, our client web interface.

These next generation scanners function as mobile computers and incorporate many features that are enabling us to change and improve the way we operate internally. For example, 90% of staff will no longer need to access a desktop computer in their activities as all relevant functions will be available in the scanner. The wireless capabilities also mean that inside the WSRC there is no longer a need to return to central areas to update data into RS-SQL, since this can now be done using Wi-Fi connections. This will significantly reduce non productive time and staff fatigue.

The GRR's satellite repositories will essentially be able to function as if they were 'inside' the walls of WSRC, with the ability to wirelessly receive picking requests and instant updating of RS-SQL with box movements as they occur.

These enhanced wireless scanners are already being used by the GRR when staff are working at client locations. Using the new scanners for a recent relocation project for Westmead hospital, GRR staff were able to upload the data of 100,000 patient files to our database directly from the client's site using the scanners' built-in GPRS (mobile phone) functionality. This gave the client real-time access to the files over GRRWeb as we captured the data and the ability to locate any patient's medical file at any moment, even while in transit.

Financial viability remains strong

The GRR has operated as an off-budget service unit since 1 July 1990, relying primarily on storage fees to generate its operating revenue. In 2009-10 the GRR's revenue and expenditure were both slightly below target, leading to an operational surplus of \$2.9 million on revenue of \$11.4 million, which is over 33% of earnings and represents an increase of 3.6% in revenue on the previous financial year.

Non-current records stored efficiently

There was a noticeable slowing in the GRR's business in the middle of the financial year however the second half of the year was remarkably strong, indicating that 2010-11 should continue on trend.

Revenue targets and results before contribution

	Result 2009-10 \$'000	Target 2009-10 \$'000
Revenue	11,489	11,656
Expenditure	8,584	8,567
Surplus	2,904	3,089

Environmental impact lessened

Our records storage and retrieval business has limited impact on the environment. Nevertheless, we are vigilant to ensure we reduce our impact where possible.

Of the 15,177 linear metres of records removed from storage in 2009-10, 10,057 linear metres were pulped and recycled, compared to 9,667 linear metres in 2008-09.

As well as the ongoing monitoring of our fleet to ensure that it remains appropriate to our needs and that we meet our agreed greenhouse gas reduction targets, the GRR is dedicated to the use of E10 fuel wherever possible.

Our close attention to the energy efficiency of our fleet continues to produce tangible savings for us. A recent audit has shown fuel consumption by the fleet has dropped by more than 25% since 2005-06, even as the GRR's business has grown 25% in the same time.

The development in-house of an application called Work Order Master (WOM) by the GRR's Senior Technology Officer, Joseph Jones, has produced an unexpected benefit by assisting the reduction of fuel and fleet running costs.

WOM was developed as an enhancement to our repository management system, RS-SQL, and

repository management system, RS-SQL, and allows live scheduling and tracking of items throughout the GRR, including by our Transport Supervisor, David Phipps. This enhancement is now being used in Transport to match loads for delivery or collection accurately and quickly to vehicle capacity. As a result of this more efficient use of the fleet the GRR has seen a very real drop in kilometres travelled since WOM was introduced. The number of kilometres travelled in 2009-10 was 592,793, compared to 621,210 in 2008-09 when WOM was introduced, 648,518 in 2007-08 and 651,510 in 2006-07 before its introduction. This is the equivalent of taking two fleet vehicles off the road.



Government Records Repository staff Mathew Thompson and Vaseem Mohammed scanning medical files directly to the Government Records Repository's control system from Westmead hospital

Records storage and retrieval service at a glance:

- ⇒ 535 linear kilometres of secure, clean, storage available in western Sydney.
- ⇒ Efficient and reliable same day delivery of files in secure, unmarked vehicles.
- ⇒ Guaranteed express delivery (within 90 minutes) for an additional fee.
- ⇒ After hours file retrieval possible. File listing, boxing and culling services available.

Case Study**GRR working with the public health sector.**

Much of the GRR's activity in the year has centred around servicing our public health sector clients. In particular the GRR's Consultancy staff, supported by other sections of the GRR, have been working with a number of area health services to reduce their records accumulations and dispose of records that otherwise can not legally be destroyed.

Consulting Archivists have been culling administrative records of the South Eastern Sydney and Illawarra Area Health Service (SESAHS) at the same time as a team of data-entry staff under the supervision of the GRR's Customer Service Manager, Patricia Proctor, has been utilising our custom-designed software to sentence the patient files of a number of hospitals from SESAHS and other area health services.

The GRR's automated health patient records sentencing application, which was designed and built in-house, performs destroy date calculations automatically, allowing sentencing of patient files to be carried out with a greater degree of accuracy in a shorter time-frame.

This application was first used to sentence nearly 200,000 patient files for Westmead hospital in 2008-09. Currently the GRR is using wireless technology to uplift another 100,000 patient files from Westmead and provide real-time tracking of the files. GRR staff scan the file from the medical records area in the hospital directly to our system so the file location is always available.

Outlook and capability

The Western Sydney Records Centre has total storage space of 485,000 linear metres for non-current records and archives, with the GRR utilizing an additional 49,000 linear metres in six leased satellite repositories.

The GRR will run out of space for the storage of paper records in 2010-11. While we can continue to lease and equip off-site warehousing cheaply, not all GRR needs can be effectively met by leasing off-site, which is of a lower standard and is less efficient to service.

Because of this, endorsement was sought from State Records' Board at its June 2010 meeting for the GRR to begin planning for a proposed Stage 7 building on-site at the Western Sydney Record Centre. Construction is not anticipated to commence before the GRR pays out the current loan on Stage 6 - \$4m due by 1 May 2012 - which is expected to have been paid a year earlier in May 2011.

The strategy is to have the GRR entirely debt free before the start of the 2011-12 financial year so that a request for loan funding could then be formalised. In the meantime, until Stage 7 is constructed, the GRR will maintain its business by leasing space as required. It is expected the GRR will lease another large off-site repository before the end of 2010.

We expect that demand for our records storage and associated services will continue to be strong in the coming year with 3% net growth of holdings. In 2009-10 we anticipated a lower rate of net growth as we focused on working with clients to schedule their non-current records in the GRR so that more can be destroyed or transferred into the State archives collection. While the quantity of records de-accessioned in 2009-10 was as high as expected, our net growth for the year was nearly double our estimated figure. Therefore we are anticipating continued strong growth in 2010-11.

Services for the Public Sector

Efficient retention of public sector records

Official records are kept to support frontline customer service delivery, facilitate public sector governance and accountability, and minimise business risk to Government. A small number of the total records generated are kept indefinitely as part of the State archives collection.

Public sector records cannot generally be destroyed without the approval of State Records and its Board. The minimum periods for which the records must be kept are identified in records retention policies, known in NSW as retention and disposal authorities. Significantly, records retention policies also identify records to be kept as State archives. Routine implementation of the policies enables the timely transfer of permanently valuable records to State Records' care.

Records retention policies are fundamental to effective and efficient management and disposal of official records. By identifying how long records need to be kept from a regulatory, business or archival perspective, retention policies underpin records storage and management strategies. Prompt destruction of records that are no longer needed can reduce storage costs and minimise risk exposure.

State Records approves and issues all records retention policies for the NSW public sector. Where possible, we develop general policies that can apply across a number of public offices. This has been an effective strategy for achieving broad coverage of the public sector. In addition, State Records' on-going *Strategy to achieve comprehensive disposal coverage of NSW Government agencies by retention and disposal authorities* aims to ensure that there are comprehensive retention policies in place covering the functional records of all NSW Government agencies. There remain, however, a number of government agencies that do not have records retention policies.

Our off-budget arm, the Government Records Repository (GRR), stores non-current records for NSW Government agencies, hospitals and local Government bodies until they can be destroyed or added to the State archives collection. The records are stored in clean and secure conditions at low cost to Government and are easily retrieved if needed.

Goals:

In partnership with public sector organisations:

- to put in place records retention policies that systematically cover all official records, and
- to encourage routine application of these policies by public offices.

Records retention policies cover whole public sector

State Records' Strategy to achieve comprehensive disposal coverage of NSW Government agencies by retention and disposal authorities supports and builds on key decisions made in 2006 by the Budget Committee of Cabinet. The primary aim of the Strategy is to ensure that, by 2009-10, there are comprehensive retention policies in place covering the functional records of all NSW Government agencies.

Records retention policies are fundamental to effective and efficient management and disposal of official records. By identifying how long records need to be kept from a regulatory, business or archival perspective, retention policies underpin records storage and management strategies. Prompt destruction of records that are no longer needed can reduce storage costs and minimise risk exposure.

State Records approves and issues all records retention policies for the NSW public sector. Where possible, we develop general policies that can apply across a number of public offices. This has been an effective strategy for achieving broad coverage of the public sector. There remain, however, a number of government departments and agencies that do not have records retention policies.

Online access to retention policies

We continued to add full text versions of all newly approved general and functional retention policies to our website. This strategy of having on-line policies available ensures that public offices and any other interested parties or stakeholders always have access to the current retention policies.

Objectives for 2009-10

- Increase the percentage of public offices that have comprehensive records retention policies.
- Develop a general retention policy for records relating to the retailing of energy and associated products.
- Finalise review of general retention policy for local government records.

Achievements and highlights

- 84% of public offices have comprehensive records retention policies.
- Review completed for general retention policy for local government records.
- Review and issue of general retention policy for imaged records.
- Issue of a general retention policy for records relating to the retailing of energy and associated products.

Product developed

In late 2008 State Records commenced a project to trial the use of an XML format for developing and managing retention policies. During the year, as part of this project, State Records issued an XML schema supported by an editing program for drafting policies in XML format.

A number of benefits for both State Records and public offices are anticipated from the use of XML, including:

- greater linking and integration of policies with other recordkeeping processes and with electronic recordkeeping systems;
- greater flexibility for public offices in how they develop policies, whilst still conforming to standard requirements; and
- better searching across approved policies to identify and ensure consistency in decision making.

State Records staff have been trialling the editing program throughout the year and it has been distributed to a number of public offices and to other jurisdictions for use.

Existing records retention policy coverage a good baseline

We estimate that 84% of the current baseline of 421 NSW public offices monitored have all or most of their records covered by records retention policies. This is a good result given the size and complexity of the public sector and the limited resources we are able to allocate to this work.

Many public offices have all of their records covered by records retention policies as a result of our strategy over many years of developing general policies that apply to like organisations. General policies exist that cover all or most of the records of local councils, health services, universities, ministers' offices, rural lands protection boards and catchment management authorities. These organisations account for approximately 53% of the organisations in the NSW public sector.

Of the remaining government agencies and state owned corporations (which account for approximately 47% of the NSW public sector), general retention policies cover all common types of records they create or hold, such as administrative, financial and personnel records. These public offices must develop retention policies covering the records of their unique functions. At the end of 2009-10 65% had done this. This is an improvement on the figure for 2008-09, where an estimated 63% of these agencies had comprehensive disposal policies in place.

Increase in retention policies covering government agencies

Public offices are encouraged to develop records retention policies to ensure their records are kept long enough to satisfy customer service and operational needs, as well as support good governance and accountability. The development of retention policies requires resources both on the part of the agency and State Records. Each agency is responsible for the development of the retention policy covering its unique records, including digital records. Until their retention policy is approved by State Records, agencies are prohibited from destroying many records.

We require records retention policies to be developed using a methodology based on standard archival practice in Australia. Records or information management skills are required to develop them. This can be particularly challenging for small agencies and State Records staff provide a high level of

assistance to these organisations. This can involve assisting with the drafting of the policies as well as providing supporting guidance.

We review the policies developed by each organisation before they are submitted to our Board for approval, and then issued. Whilst we aim to do this as efficiently as possible, it is complex analytical work and often requires consultation with experts in many areas. The number of policies approved is not indicative of the complexity of work in reviewing them or the quantity of records they cover. The number approved also depends on the number submitted by agencies, the quality of the draft policies submitted, and whether the Board approves the policies.

During the year there was a continued increase in retention policies covering records of NSW Government agencies and State owned corporations. Sixteen retention policies (12 functional retention policies and 4 general retention policies) were approved with 8 public offices achieving comprehensive disposal coverage through the issue of whole of agency disposal policies. These agencies included Aboriginal Affairs NSW and the Office of the Registrar, Aboriginal Land Rights, the Judicial Commission of NSW, the State Transit Authority, the Sydney World Masters Games Organising Committee and the NSW Food Authority.

One of the records retention policies approved during the year was a review of an existing policy for the Consumer, Trader and Tenancy Tribunal. Other retention policies approved during the year provided additional coverage for a further 7 public offices. Amendments to 2 current policies for Juvenile Justice were also approved to confirm their application to records created as a result of the introduction of new business practices.

Retention policies approved

	Result 05/06	Result 06/07	Result 07/08	Result 08/09	Result 09/10	Target 09/10
Whole of agency	8	11	17	9	9	N/A
Partial	9	14	9	14	3	N/A
Total	17	25	26	23	12	20

General retention policies issued

During the year 4 general records retention policies were approved and issued. These authorities will assist NSW public offices to improve records management practices and implement consistent decisions.

One of these policies was a review of the general policy for imaged records. This policy establishes requirements and quality management practices that public offices must observe prior to destroying the originals of records that have been copied using microfilming or digital imaging processes.

Another of these policies establishes the conditions that must be met by public offices when storing or transferring records outside of NSW. Both of these policies are key tools for assisting public offices to manage their digital records as well as records in paper or other formats.

The other general retention policies issued during the year included a retention policy for records relating to the retailing of energy and associated products. This retention policy establishes consistent records retention and disposal decisions applying to the State Owned Corporations (EnergyAustralia, Integral Energy and Country Energy) licensed to retail electricity and other energy supplies.

A policy was also issued to establish consistent retention requirements for records of applications received by the Supreme, District or Local Courts or Department of Justice and Attorney General for orders or warrants to permit the exercise of certain powers for law enforcement purposes.

During the year substantial work was also undertaken as part of the review of the policy for local government records. This policy is now nearly 10 years old and a review is timely to ensure it continues to reflect current business and regulatory requirements and community expectations. The revised policy is expected to be completed before the end of 2010

Case Study**Department of Services, Technology and Administration case study**

In the 2008 survey of records storage and disposal, the Department of Services Technology and Administration (then known as the Department of Commerce) identified that it had significant quantities of un-sentenced records in storage. Department of Services, Technology and Administration (DSTA) is a very large 'cluster' agency of government which undertakes a range of activities in government such as procurement, advertising, industrial relations, consumer protection, public works, information technology policy etc.

A growing awareness of the need to tackle the issue of significant quantities of unsentenced records has resulted in a series of projects to dispose of records or to improve the department's capacity to carry out sentencing and culling operations. The department's Records Disposal Partnership Program is a partnership between the clients and the records disposal team and is based on combining the knowledge and expertise of

Case study Cont.

the client (e.g. knowledge of their business) and Information Services (e.g. knowledge of *State Records Act*, disposal procedures etc). One of the critical issues for the department has been the lack of disposal coverage for all functions of the department.

Since 2008, the department has undertaken a range of major projects including:

- developing functional retention and disposal authorities for all functions of the department
- identifying record series relating to functions no longer performed by the department and thus prioritising records for disposal
- providing advice to divisions of the department in sentencing and culling records
- identifying records held in commercial storage that could be sentenced under retention and disposal authorities
- undertaking sentencing and disposal of records (include transfer of archives to State Records) of records covered by approved authorities, and
- consolidating two regional offices records storage

As certain functions of the department are not yet covered by approved functional retention and disposal authorities, culling of these records often involves boxing records in series and date order to facilitate system-based sentencing once the functional authority is approved. Wherever possible, records are transferred out of office space to a records storage facility. In some cases, hardcopy records are converted to other formats to improve accessibility and save on-going storage costs.

A number of projects are planned up to 2012 including developing access directions for all records covered by functional retention and disposal authorities, further reductions of inhouse storage of records, and the introduction of sentencing at the point of creation, where this is practical.

The department has estimated that just one project of sentencing and disposing of records held in offsite storage will result in the destruction of 9,000 boxes with the saving of potentially \$140,000 in storage costs over five years.

Interestingly, DSTA has found that the benefits that flow from good storage and disposal practices not only include financial savings, but also include the better management of office spaces, the better control and management of records, quicker and more accurate retrieval of records from storage as time expired records have been removed, and more confidence in records management strategies and plans.

Disposal Implementation Improvement Strategy

State Records' *Strategy to improve retention and disposal authority implementation and reduce Government storage costs* aims to achieve improvements in the implementation of records retention policies by NSW Government agencies. The strategy aims to assist agencies in:

- reducing the costs of records storage;
- reducing the time and cost associated with finding specific records when they are needed; and
- minimising the risks arising from illegal or unmanaged destruction of records and from inadvertently keeping records that should be destroyed.

Work continued on implementing the strategy with an information survey of 12 public offices to learn if they had made savings/benefits in reducing storage costs through the disposal of records or consolidation of storage, what progress had been made on implementation of retention and disposal authorities and whether they had implemented improved disposal practices. This intelligence will be useful in understanding the challenges and barriers that continue to be encountered in implementing retention and disposal authorities across NSW Government.

To ensure that digital records are destroyed correctly, Recordkeeping In Brief 51 *Destroying digital records: When delete is not enough* was issued. This new publication should assist public offices to ensure that appropriate disposal processes are carried out for digital records.

Since 2008 State Records has required all NSW Government agencies and State Owned Corporations submitting draft functional retention and disposal authorities for approval to submit a disposal implementation plan. This plan will advise State Records of plans for implementing the new functional retention and disposal authority with current and future records. It will also reduce accumulations of unsentenced records in storage. During this year, a further 9 disposal implementation plans have been received. State Records will follow up on these implementations to ensure that disposal authorities are implemented.

Outlook and capability

Increasing records retention policy coverage is a strategic priority for State Records in coming years. We will continue to focus on encouraging inner budget agencies to develop and implement retention policies to achieve the benefits of more efficient and accountable management of records, including potential reductions in records storage costs. In addition, we will work with agencies to review existing retention policies to ensure their currency. We will continue to review general records retention policies to ensure they meet current needs of public offices.



Christine Yeats and Alan Ventress receive an estray from Caroline Homer, Archives Office of Tasmania

Quality recordkeeping across the public sector

State Records sets and promotes standards for the creation and management of official records across the NSW public sector, and provides assistance to public offices implementing quality recordkeeping. We believe quality recordkeeping underpins efficient government frontline service delivery to the community, and supports good governance and accountability. Quality recordkeeping is an integral part of effective and efficient public administration.

Our success in this area depends on all public sector officials, chief executives and their staff being aware of how records should be managed, having appropriate knowledge and skills, and implementing good practices.

Goals:

- To increase awareness, commitment and skills of CEOs and public sector officials in the creation and management of official records.
- To encourage public offices to put in place effective records management programs, systems and practices applicable to their business.
- To help public offices to make and keep authentic and accessible digital records.

Our report on the state of public sector recordkeeping as at 30 June 2009 is contained elsewhere in this annual report.

CEOs and public officials aware, committed and skilled

State Records has limited powers to compel NSW public offices to implement quality recordkeeping. We prefer to encourage good practice by raising awareness of records management standards and obligations, and by providing records management training and educational opportunities for public officials. Our annual training program is well known and continues to meet demand across the State. Promoting good recordkeeping across the NSW public sector, and getting chief executives to commit to it, is the greater challenge for us.

Demand for records management training continues

In collaboration with our training partners, 29 short courses were delivered to a total of 325 participants, indicating there is still demand for records management training. Courses were held at locations around NSW: 20 in the Sydney CBD or Western Sydney and 4 in regional centres (Coffs Harbour and Newcastle).

While demand for training continued during 2009-10, there were a large number of course cancellations due to insufficient a numbers. Our training partners require a minimum number of enrolments to run a course. Course numbers in regional centres still continue to be low in comparison to Sydney courses. Overall the lower demand reflects the tighter financial environment.

Some of our training partners have taken the initiative to arrange and deliver in-house courses for particular public offices, and these have included conducting tailored courses on 5 occasions for 4 clients in Port Kembla, Sydney and Wollongong.

Our commitment to improving the level of records management skills across the NSW public sector is long standing: we have provided short course training for over 25 years. Thanks are due to our training partners: Recordkeeping Innovation, Siller Systems Administration, State Library of NSW, Synercon Management Consulting, and Corporate Information Management Services.

Objectives for 2009-10

- Continue *Chief executives strategy*, particularly sending information on recordkeeping obligations to new public sector CEOs.
- Continue records management short course training program, in partnership with private sector providers.

Achievements and highlights

- 1,437 participants in records management events, including 325 records management practitioners trained across NSW.

Increasing CEO awareness and commitment to recordkeeping

During 2009-10 we promoted good recordkeeping to CEOs by:

- Sending 28 information packs to new CEOs; and
- Issuing the *Future Proof* newsletter to all CEOs.

Training course participants

Result 05/06	Result 06/07	Result 07/08	Result 08/09	Result 09/10
321	463	597	391	325

Quality recordkeeping across the public sector

Improving records management training and learning opportunities

To better understand the training needs of NSW public offices, we conducted a small survey during September/October 2009 to ascertain what training needs exist, preferences for course delivery, and to gauge interest in potential new courses. 138 individuals completed the survey and provided valuable feedback:

- 76% of respondents had attended a State Records' training course;
- 51% were keen to attend a course in 2010; and
- 56% were intending to send staff to a course in 2010.

Respondents indicated a high preference for attending training courses in either Sydney CBD or at a regional location and nominated a range of topics that they were interested in for future learning needs. The survey revealed a high demand for training which dealt with digital recordkeeping topics. There was high interest (81%) in undertaking training delivered through online learning packages. The survey also highlighted the challenges in attending training courses due to financial constraints and difficulties in covering staff absences while attending training.

We have responded to this feedback by commencing a program to update our training courses with digital recordkeeping content. Our *Records Management Fundamentals* course has been revised and updated. We have also added a new course to our regular Calendar of courses; *Managing Digital Records: An introduction*. *Managing Digital Records* is an introductory course designed to provide an understanding of the frameworks and tools required to manage digital records.

Additionally, we have developed six new online training modules covering a range of topics: email management and responsibilities, recordkeeping concepts, frameworks for records management, and the role of the nominated senior officer for records management. These modules will be released during July 2010. During the year, minor revisions were made to a number of training courses to ensure that up-to-date information was delivered during training sessions.

Recordkeeping events improve awareness and skills

State Records undertakes a number of initiatives aimed at raising recordkeeping awareness and the skills of public officials and ultimately building a strong recordkeeping culture within the NSW public sector. During the year:

- 278 NSW public officials attended our Records Managers Forums (three held in Sydney);
- 115 attended a Recordkeeping and Conservation Qualifications Showcase providing information on the wide range of recordkeeping and conservation qualifications available and opportunities to discuss educational needs with providers;
- 85 attended a briefing specifically on the review of the General Retention and Disposal Authority 10 for Local Government records at the Records Management Association of Australasia's Local Government Chapter meeting in Foster;
- 110 attended a presentations on web recordkeeping at the Local Government Web Network meeting and Local Government Managers Association; and
- 524 attended presentations and talks given to specific public offices or at records and archives management events.

Outlook and capability

State Records will continue to promote the benefits of good recordkeeping to chief executives of NSW public sector organisations. Promotion will focus on strategic areas such as improving digital recordkeeping and developing and implementing records retention policies. We will continue to provide, with the support of training partners, a range of short course records management training to records practitioners around NSW. During 2010-11, we will seek to raise awareness and understanding of digital recordkeeping requirements and tools amongst ICT professionals, to enable better cooperation with recordkeeping professionals in the design of compliant systems that support business. In addition, we will seek to use other opportunities to improve skills across the sector, such as developing on-line training modules.

Effective records management programs, systems and practices across NSW public sector

Quality recordkeeping depends on public offices having effective programs, systems and practices in place so that public officials know what records to create, what to file and where records are kept. Business information is an essential asset in a knowledge economy. Failures to document decisions, failures to make accurate records, or failures to locate information can cost the NSW Government financially or can cause embarrassment and result in loss of public trust. State Records believes that effective records management programs, systems and practices ultimately support good outcomes for the community as well as minimising business risk across the public sector.

State Records aims to influence how records are managed in hundreds of NSW public sector organisations and across thousands of workplaces. We have direct contact with, and provide advice to, about 500 organisations, a high proportion of which are in regional and rural NSW. We expect parent departments to take a leadership role with those branches and units we do not have regular contact with. Monitoring public sector performance and compliance is a challenge for us.

Instances where we followed up on reports of recordkeeping failure are described in 'State of public sector recordkeeping.'

Objectives for 2009-10

- Meet continued demand for expert advice on recordkeeping from public officials.
- Obtain intelligence on current digital recordkeeping practices and extent of challenges facing the NSW Government.
- Develop new standard and guidance to assist public offices to manage digital records.

Achievements and highlights

- Effective use of the Future Proof blog and Twitter account to communicate widely
- Four new guidelines on recordkeeping developed
- New topic page on website on managing disasters affecting records

Advice and guidance provided in response to demand

State Records provided an advisory service to public offices on a range of records management issues via mail, email and telephone. Four new guidelines were added to our manual for records management practitioners. The guidelines addressed specific issues facing public offices, providing guidance on issues such recordkeeping and the *Government Information (Public Access) Act 2009*, storage of records with service providers outside NSW and cloud computing and recordkeeping considerations. In addition, guidance on destruction of records, assessing business systems and education and training opportunities were substantially revised.

Records management standards and guidance at a glance:

- ⇒ Online *Government recordkeeping manual* provides one place to go for all standards, policies and guidance.
- ⇒ Six mandatory records management standards currently issued.
- ⇒ Over 60 separate guidelines on all aspects of recordkeeping and records management.
- ⇒ Surveys of public sector records management practice and compliance conducted from 1996 to 2008.

Quality recordkeeping across the public sector

We continued to communicate regularly with records management contacts and others in public offices via our online newsletter *For the Record*. It is produced six times a year and provides updates on developments and products and, from time to time, guidance on particular issues.

A new topic page was added to State Records' website to provide advice to public offices experiencing a disaster affecting records. While the website page is not intended to replace the necessity of a well thought through Counter Disaster Plan, information provided on the web page will assist public offices seeking quick information and contacts.

Keyword thesaurus products

State Records has offered keyword thesaurus products for over 20 years and has good market penetration in Australia, both in the public and private sector. The products are designed to be adapted by organisations for use in classifying and indexing their records. Our two records management thesaurus products continued to sell well, particularly outside the NSW public sector, where they are widely used.

Digital records strategy, Future Proof

'Future Proof' is State Records' continuing strategy for ensuring that:

- the New South Wales public sector is making, keeping and using digital records that document high risk government business processes;
- the State's digital State archives are protected and preserved; and
- digital records of NSW government business are available and usable to government and the public where access restrictions permit.

The Future Proof strategy was launched in 2008 by the Government Chief Information Officer Emmanuel Rodriguez. In July 2009 the strategy was updated with new projects and measures, including piloting the use of digital archives technologies, developing and rolling out digital recordkeeping training and working with selected agencies to develop sites of best practice.

Keyword licenses sold and revenue

	Result 05/06	Result 06/07	Result 07/08	Result 08/09	Result 09/10
Keyword AAA	19	23	11	21	12
Keyword for Councils	27	18	25	17	19
Revenue	\$38,663	\$33,085	\$22,860	\$30,970	\$25,805

Quality recordkeeping across the public sector

Digital recordkeeping standards

The *Standard on digital recordkeeping* was issued in September 2008, and was the subject of a Premier's Memorandum in May 2009. The first milestone from the Standard's compliance timetable passed on 30 June 2009, from which date public offices must ensure that any new systems acquired or built are assessed for recordkeeping requirements, and any requirements are incorporated into the system's design and implementation process.

The focus for public offices is now on the second milestone, 30 June 2011, by which they should have identified those digital records that are needed to support high risk business processes using existing systems, either dedicated records systems or other business systems. State Records has already started to deliver guidance and advice on how to go about the identification and assessment of these 'high risk' systems, as detailed in the sections below.

Industry Involvement

State Records participates in industry research and standards-setting where the outcomes have direct relevance to recordkeeping in the NSW public sector. During 2009-10 we participated in the following ways:

- as a member of the Standards Australia IT/21 Records Management Committee; and
- as members of Standards Australia IT/21 subcommittees IT21/5 Recordkeeping Compliance, IT21/7 Recordkeeping Metadata, IT21/9 Records Classification, IT21/10 Records Storage and IT21/11 Integration of Digitisation.

Digital recordkeeping guidance, advice and tools

One of the goals of the Future Proof strategy during this period was to work more closely with selected public offices on addressing digital recordkeeping issues, in order to develop and promote a number of sites of best practice. To

this end we worked with agencies such as the Department of Services, Technology and Administration (NSW Fair Trading) on the assessment of a key business system, and with Housing NSW on the use of directory network structures within a comprehensive digital recordkeeping solution.

Additions to the suite of digital recordkeeping guidance from State Records during 2009-10 included a revised version of Recordkeeping in brief – *Checklist for assessing business systems*, and two short guides: *How to avoid information loss in the digital age* and *Managing recordkeeping risk in the cloud*.

The Future Proof blog, launched in September 2008, continues to serve as an important means of communicating up to date information and case studies to government. In 2009-10, we had a total of 10,543 visits to the Future Proof blog. As of July 1 2010, we had 91 RSS subscribers to the blog.



The Future Proof blog:
<http://futureproof.records.nsw.gov.au/>

Outlook and capability

State Records will continue to develop and provide records management advice, guidance and tools to assist public offices. We will continue to work with stakeholders, industry partners and others to ensure that we provide the most relevant advice and the right tools.

Quality recordkeeping across the public sector

Postings on the Future Proof blog during 2009-10 included:

- 'Keeping records of your web 2.0 business';
- 'Selecting software for managing records';
- 'Technology and the changing nature of records management';
- 'Is your digital information at risk?';
- 'Controlling the growth (and costs!) of unstructured information in your organisation';
- 'Putting out fires with better metadata';
- 'Digital recordkeeping at the University of Sydney';
- 'Traces of Nathan';
- 'How to avoid information loss in the digital age'; and
- 'Achieving digital continuity'

We also added to our podcast series with recordings of talks by State Records, the Government Chief Information Office and Housing NSW, and we have started a Future Proof Twitter account a means to send out information and news from the online digital recordkeeping and digital preservation community. As of July 1, we had 89 followers of the FutureProofNSW Twitter account.

Digital State archives

In 2009-10 the securing of funding for the digital State archive project continued to be a top priority for State Records. The digital State archive will enable us to take in, preserve and make available digital records as State archives alongside the continuing processing of paper records. The project to build it involves the implementation of technology, physical data storage and process reengineering to integrate digital archiving with normal State Records processes.

State Records will continue to seek funding for the Digital State Archive in 2010-11. In preparation for the implementation of the digital State archive we continued with testing of digital archiving technologies and processes, including the 'Xena' and 'DPR' tools developed by the National Archives of Australia. In addition, a three day National Archives course on digital preservation was delivered for 16 State Records staff from various program areas as a way to build knowledge and confidence with this area of archival practice.

Digital recordkeeping awareness, knowledge and skills

During 2009-10, we conducted or participated in a number of events to raise awareness and understanding of digital recordkeeping challenges and solutions in government organisations, including presentations for the Powerhouse Museum, the Department of Services, Technology and Administration, NSW Health, Housing NSW, the Local Government Managers Association's IT Group and the NSW SAP User Group. We also gave talks for the broader community including for the Royal Australian Historical Society, the Australian Society of Archivists NSW Branch, the NSW Public Sphere event at NSW Parliament and at the *Future Perfect: Digital continuity* conference in Wellington, New Zealand.



Future Proof on Twitter:
<http://twitter.com/FutureProofNSW>

During this period State Records was a member of a working group established by the Government Chief Information Office to advise on the development of an online knowledge sharing community for those working in the

Quality recordkeeping across the public sector

Information Asset Management field, IAMS ASK (Advanced Skills and Knowledge). IAMS ASK is an online collaboration site for discussion, document sharing and building networks for the effective and efficient delivery of Information Asset Management Solutions.

Digital Records Advisory Group

In order to ensure that the Future Proof strategy takes account of current issues and the needs of the public sector, a Digital Records Advisory Group was established in August 2007. The group:

- advises State Records on real world examples of digital records issues and challenges;
- provides feedback on products developed as part of the digital records and archives strategy; and
- will be invited to test digital records and archives solutions.

The Government Chief Information Office and State Records are both represented in the group.

The Digital Records Advisory Group is currently comprised of representatives from:

- City of Sydney
- Department of Services, Technology and Administration
- Corrective Services NSW
- Community Services NSW
- Government Chief Information Office
- Hunter New England Area Health Service
- Ministry of Transport
- NSW Ambulance Service
- ServiceFirst
- Transgrid
- The University of Sydney

Australasian Digital Recordkeeping Initiative (ADRI) partnership

We worked closely with others on digital recordkeeping and archiving strategy and tools. The Australasian Digital Recordkeeping Initiative (ADRI) is an undertaking of the Council of Australasian Archives and Records Authorities, the peak body of government archives and records institutions in Australia and New Zealand. The primary objective of ADRI is to pool resources and expertise to find better ways to ensure that digital records are preserved and made accessible for the future.

In 2009-10 State Records took a lead role on two ADRI projects; a statement on the recordkeeping risks associated with the use of cloud computing and a project to define the common elements of retention and disposal authorities issued by ADRI members.



Dr. Louise Trott, Convenor NSW Branch, Australian Society of Archivists, at the Information Awareness Month Seminar held on 12 May 2010

Case study **Digital records bring significant benefits to Housing NSW**

In June 2009, Housing NSW replaced its paper client records systems with TRIM, a digital records system. The new system has improved recordkeeping practices as well as reduced paper use and minimised storage costs.

Housing NSW uses over 80 different forms to manage housing applications and tenancies and around 65 offices across the state receive over 30,000 pages of documentation each day from clients. By going digital, there are significant business benefits including cost savings, environmental benefits, and efficiencies in client services.

The new digital records system means a client's documents can be scanned into TRIM and returned to the client on the spot. If documents are received by post they are scanned and destroyed. All offices have been equipped with high quality scanners which can scan large quantities of paper quickly. Paper files have been closed and existing files are scanned as required.

Staff are now creating over 4,000 digital client documents per day. Benefits of the new system include:

- Storage space for over 30,000 pages a day is no longer required.
- Paper files no longer restrict where business is done. Applications can be assessed where client service and business efficiency is best served.
- Files can be instantly retrieved when speaking to a client on the phone.
- There is no need to transport client documents between offices, saving on mail and courier costs. There are no delays in retrieving files.
- Sensitive documents can be accessed digitally with appropriate access controls.
- Record storage processes and record movement can be monitored and managed more easily.
- There is better security as digital recordkeeping leaves comprehensive audit trails. Documents cannot be damaged, removed or lost.

The Housing Appeals Committee has gone digital and records are now available to members via a secure website. Housing NSW will complete the introduction of digital records across the organisation by June 2011.

Outlook and capability

In 2010-11 the focus for NSW public offices will be on satisfying the *Standard on digital recordkeeping* compliance timetable relating to defining digital records required of high risk business processes. We will continue to offer workshops and publish case studies relating to recordkeeping in business systems. We will also continue to develop a range of tools, training and guidance and will work closely with the Government Chief Information Office on ensuring that we offer an integrated approach to digital recordkeeping and information management across the sector.

It is critical that our efforts to secure funding for the Digital State Archive are maintained. Without a facility to accept, preserve and make available State archives in digital formats, New South Wales faces the prospect of a 'digital dark age', with the loss of important digital records. Such a loss of official records would adversely affect citizens' rights and entitlements, government efficiency and our ability to reconstruct our past.

State of public sector recordkeeping

State Records' statutory responsibility to promote effective and efficient recordkeeping across the NSW public sector commenced in 1999 with the *State Records Act 1998*. We undertake this responsibility by setting standards, providing guidance, promoting good practice, and monitoring public office performance and compliance.

The state of public sector recordkeeping is an indicator of our performance, although it is mostly outside our direct control. We have limited power to enforce compliance, preferring to promote and encourage the benefits of good recordkeeping.

State Records started conducting records management surveys in 1996 and has conducted several compliance and information surveys since then. A general survey of records management compliance was not conducted in 2009-10.

We also gathered information from NSW public offices on those interested in transferring digital images to State Records and we surveyed public offices on their training needs.

In this report we:

- describe some key issues in managing digital records, including transferring digital archives and training needs for digital recordkeeping;
- comment on the number of public offices with comprehensive records retention policies;
- look at a case study of good practice; and
- describe how we identify cases of poor practice, and note some cases that were addressed.

Digital recordkeeping in the NSW public sector

The creation and management of digital records outside of traditional EDRMS environments continues to be a significant challenge for NSW public offices. To assist organisations to start to address the recordkeeping requirements of high risk business conducted using business systems, State Records has developed a suite of tools and training. The *Checklist for assessing business systems* (RIB 42) contains a step by step process for considering the records that may be required of a business systems supported process, and the extent to which the current implementation of the system meets the minimum requirements of the *Standard on digital recordkeeping*. This checklist also includes a downloadable spreadsheet for recording a system assessment. In June 2010 State Records piloted a half day free workshop on using the checklist, which will be delivered periodically throughout 2010-11.

To address the need for digital recordkeeping training identified in last year's training needs survey, State Records developed and launched *Managing digital records: An introduction*. Designed for records management officers who want to build on experience in the paper records environment, this new training course provides participants with an understanding of some of the frameworks and tools required to manage digital records appropriately. It also helps participants to understand and implement the requirements in the *Standard on digital recordkeeping*. Delivered by a new training partner with particular digital recordkeeping experience and expertise, this course has proved very popular to date.

Additionally, we have commenced a program to update our training courses with digital recordkeeping content. Our *Records Management Fundamentals* course is the first course to be revised and updated. We have developed six new online training modules which include topics on email management and responsibilities and key digital recordkeeping concepts. These modules will be released during July 2010.

Digital State archives at risk

State Records is aware that there are many public offices ready to transfer digital records to us for preservation in the State archives. However without a digital State archives, State Records cannot take, preserve and make these records available to Government and the public in accordance with its mandate under the *State Records Act 1998*.

Often digital records are put at risk when there is a sudden change to administrative or other arrangements, a recent case in point being the departure of the former Premier, Nathan Rees. As the State's recordkeeping regulator and archive, it was then necessary for State Records to investigate how the official records of Rees's Premiership would be protected and preserved. A key group of digital records created by the former Premier that were at risk were contained within the former Premier's website. Significantly, Nathan Rees was the first New South Wales Premier to have his own, separate website. The website contained a full set of media releases, all the videos of the Premier that had been uploaded to YouTube

and elsewhere, biographical information and details of his policy objectives and Cabinet. In addition, he was the first Tweeting NSW Premier. While the subject matter of the Tweets was not always perhaps of State significance (Go Eels! 12:04 AM Sep 25th) these records were important by virtue of the fact that they demonstrated the first use of social networking / web 2.0 technologies at the highest level of government.

State Records has also initiated a project to identify classes of digital records that are identified as State archives that require urgent preservation action. Using selected records retention and disposal authorities to identify records that are required as State archives and seeking further advice from the responsible public offices on those classes that are now kept in digital formats, we will be able to identify a variety of archival records which may be currently at risk, including infrastructure and building records and classes of long term value records converted from paper to digital format. When finalised, this information will be used to assist us in seeking funding for the digital State archives, as well as to provide advice to agencies.

Records retention policies

Analysis of retention policy coverage

A total of 421 public offices were analysed for the extent of the disposal coverage of their functional records. Of these, 224 public offices (53%) are covered by general retention policies.

Three ratings were applied to the remaining 197 (47%) public offices:

- Green light (65%) – these public offices have comprehensive coverage of their functional records.
- Amber light (10%) – these public offices have some functional records covered.
- Red light (25%) – these public offices have no or few functional records covered.

The following public offices obtained comprehensive retention policy coverage during the year:

- NSW Food Authority
- Office of the Board of Studies
- Sydney World Masters Games Organising Committee
- Internal Audit Bureau
- Independent Transport Safety and Reliability Regulator
- State Transit Authority of NSW
- Aboriginal Affairs NSW
- Office of the Registrar, Aboriginal Land Rights
- Judicial Commission of NSW

In addition, the following organisations achieved additional partial coverage:

- Integral Energy (energy retailing)
- Department of Services, Technology and Administration (Government advertising and publishing)

State Records encourages public offices to review their retention policies as appropriate. During the year one organisation already classified as having comprehensive coverage, the Consumer, Trade and Tenancy Tribunal, sought and obtained approval for a full review of its retention policies. The review was timely and will ensure the policy continues to provide comprehensive coverage that meets the operational and business requirements of the Tribunal.

Targeted monitoring undertaken

State Records monitors public office recordkeeping performance and compliance through surveys and by reviewing reports of the Audit Office, Ombudsman and ICAC. In addition, we respond to recordkeeping performance issues raised by the public and the media.

A general survey of records management compliance was not conducted during 2009-10.

The revised Monitoring Framework came into effect on 1 July 2009. Included in the revised Framework are:

- State Records' plans for undertaking assessment of the requirements of the Standard on digital recordkeeping in 2010 and 2012;
- targeted follow-up on storage and disposal in 2010; and
- information on how State Records undertakes recordkeeping assessments.

To assist public offices we researched self-assessment tools that are available from a number of records and archives authorities in Australia and internationally. As a result of this research, we are developing a self assessment tool which will measure conformity with requirements and determine the maturity of the implementation of policy, procedures, processes and practices in order to improve on current levels of recordkeeping and records management. The tool will be available in consultation draft form later in 2010.

Following on from surveys undertaken in 2008 on storage arrangements, storage costs, and implementation of retention and disposal authorities and follow-up with NSW Government agencies and State Owned Corporations with significant accumulations of unsentenced records, we undertook a small information survey with 12 public offices to learn if:

- they had made savings/benefits in reducing storage costs through the disposal of records or consolidation of storage; and
- what progress had been made on implementation of retention and disposal authorities and improved disposal practices.

This intelligence will be useful in understanding the challenges and barriers that continue to be encountered in implementing retention and disposal authorities across NSW Government.

Records management programs, systems and practices

Examples of Good practice

We are in regular contact with various NSW public sector organisations, many of whom demonstrate clever thinking on meeting some of the big challenges of digital recordkeeping, such as how to manage records disposal in the digital world or add recordkeeping functionality to business systems. The University of Sydney is a good case in point.

Case study Digital recordkeeping at the University of Sydney

Automating file creation and closure and disposal triggers based on business process

The University of Sydney records management team have analysed the business process used by their Procurement Business Unit to manage contracts and contractors. For each project, the electronic file in the university records system (TRIM) has six sub-folders, representing the six stage of procurement process, from the development of the RFT to handover.

Depending on the stage, the folders will be set up so that on activation (i.e. when a document is added by a user) they acquire the relevant retention requirement from the General Retention and Disposal Authority for Universities.

The sub folders will automatically be created by a workflow in the records system and in addition to the disposal rules, each folder will have preset security and access rules.

The team is also looking into implementing standard document types and naming conventions and have it applied and reinforced as part of the workflow, and the activation of the trigger for the retention period starting for each sub-folder is based on the addition of the final document.

Managing the disposal of student records in a business system / records system integration

The University records team have also enabled the transfer of data from the University student system to their records system, TRIM. On entering the student system each individual has a file created in TRIM and the file title includes the person's name and a unique identifier (their student number, if they are admitted). Then each communication with that individual is automatically registered to that file. Use of document titling conventions allows the system to know when the matter is complete and close the file, activating the disposal trigger.

Identifying performance issues

State Records monitors reports published by the NSW Audit Office, Ombudsman and Independent Commission Against Corruption to identify recordkeeping performance issues. We also take note of media reports and issues raised with us by members of the public. We take action on select instances, usually writing to the public office and following up with a meeting or assessment of recordkeeping systems.

State Records has followed up on recordkeeping issues identified in recent Independent Commission Against Corruption (ICAC) reports on RailCorp and Strathfield Municipal Council. We also acted on seven instances of reported poor performance. One of the cases is described below.

Frameworks for good recordkeeping

State Records investigated a possible recordkeeping issue at an area health service after a complaint by a member of the public.

Briefly, the complaint raised issues that the area health service, a public office under the State Records Act, did not have a records management policy and procedures which articulate roles and responsibilities for all staff in relation to records management and which guide staff with their recordkeeping responsibilities.

State Records assessed the current policy (adopted from an old NSW Health policy) available to all staff and the guidance which has been made available only to staff using the new recordkeeping system. In its report to the area health service, State Records noted that records management policy was a critical component in the infrastructure for records management in any NSW public office and the importance of providing guidance for staff in undertaking recordkeeping within the organisation.

State Records made three recommendations seeking a hastening of the development of appropriate records management policy, the development and implementation of guidance for all staff, and a monitoring process to ensure that all staff are aware of the framework and

guidance for recordkeeping. The area health service's response to the report of the assessment indicated that action would be undertaken in 2010 to develop records management policy and further guidance for staff. State Records will monitor progress on this matter, as the assessment revealed that the public office was not in compliance with the requirements of the State Records Act and the *Standard on managing records management programs*.

Other action taken

In reviewing recent Independent Commission Against Corruption (ICAC) reports, a common recordkeeping issue was again brought to our attention. In two investigations, the ICAC found that two public sector organisations failed to make and keep records of their business and that this had provided opportunities for corruption in high risk business areas such as procurement and tendering/leasing. In each case, this was a breach of the State Records Act 1998, section 12 (1) requiring all public offices to 'make and keep full and accurate records'. The importance of creating and capturing records of meetings and decisions is also addressed in the *Standard on full and accurate records*, issued under the State Records Act. In both cases, State Records contacted the public sector organisation seeking information on action taken to address the issue of failing to create and capture records.

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NRS4481 Government Printing Office
Glass Negatives—' View of Circular Quay,
c. 1899 Digital ID 4481_a026_00459

The State archives collection

State Records manages and preserves the State archives collection so that it is available to the people of NSW. The State's archives are also the corporate memory of the NSW Government and broader public sector and therefore have value to public officials. As our collection includes the earliest government records in Australia, dating from the arrival of the first Europeans, it is also used by people around Australia and the world.

Records to be added to the collection are identified in records retention policies. We encourage public offices to transfer these records to our custody when they no longer need them. There has been a gratifying increase in transfer activity in recent years, but many valuable public sector archives remain in public offices, often in less than ideal conditions.

Most of the current State archives are in their original form (paper and other media) and remain uncopied, which poses challenges in their ongoing preservation and making them widely accessible. A major challenge is to catalogue and document the collection, particularly individual items.

Increasingly, records of government business are 'born digital'. State Records has developed a policy on the preservation of digital records which establishes a conceptual basis for our approach to keeping digital State archives indefinitely. We are seeking support from the Government to put in place the necessary staff, technology and guidance to make digital archiving operational.

State Records is committed to maintaining a range of access points. We provide access to the State archives through two reading rooms, our website and 40 community access points across regional NSW. We are also committed to promoting the State archives collection as a rich cultural and information resource. This involves us in presenting an extensive public program of talks, tours, exhibitions and other events.

Goals:

- To have public offices transfer their archival records, including digital archives, to our custody or a regional repository once they are no longer in current use, unless it is appropriate for them to manage their own archives.
- To ensure the State archives collection, in all of its locations and formats, is appropriately stored and preserved.
- To catalogue and document the State archives collection so that it is accessible to the people of NSW and Government, and to facilitate its management.
- To provide a diversity of channels by which the people of NSW can access the State archives collection.

Public offices protect or transfer archives

Public offices are responsible for protecting that part of the State's archival heritage which is under their control. Many public offices hold records of archival value which they no longer use. State Records encourages public offices to transfer these records to us, to ensure their ongoing preservation. We can also make the archives accessible through our public reading rooms and online services.

Archives not transferred to our custody, or to one of the six regional repositories, are at greater risk of loss or accidental destruction or damage. State Records can also make agreements with public offices to preserve and make accessible their own archives, where it is logical for them to do so and they can meet important conditions.

Continuing interest from agencies in managing their own archives

While there is a strong desire amongst councils and universities to retain custody of, and manage their archives, few agencies (particularly local councils) are adequately resourced to meet the essential conditions for managing and making accessible their part of the State archives collection.

The State's archives can only be managed outside State Records' custody by agreement, which involves control over the archives passing to State Records, and which places a number of obligations on the public office. There are currently five 'distributed management' agreements in place, covering three of the regional repositories (at Wagga

Objectives for 2009-10

- Encourage public offices to transfer their archival value records to our custody.

Achievements and highlights

- 1,320 linear metres of archives plus 6,086 plans transferred as State archives.

Wagga, Armidale and Newcastle University), plus the University of Western Sydney, and the New South Wales Police Force (selected records only). The first Distributed Management Agreement with Charles Sturt University reached the end of its initial five year term and was renewed on a continuing basis in March 2010.

Archives management at a glance:

- ⇒ The State archives collection is distributed, being located in Western Sydney and six regional centres.
- ⇒ State Records has purpose-built storage for archives.
- ⇒ Public offices can transfer records that are identified as State archives in a records retention policy, are covered by access directions and meet other conditions.
- ⇒ Public offices can manage their archives as part of the distributed State archives collection, by agreement with State Records.
- ⇒ State Records is seeking government support to implement a whole of government digital archiving solution for 'born-digital' State archives.

People and Government use and benefit from the State archives collection

Public offices continue to transfer State archives

Quantities of archives proposed for transfer can fluctuate considerably from year to year, and are largely outside our control. However, 2009-2010 saw a continuation of the general pattern of the past five years, with transfers totalling more than one kilometre.

90 transfers covering 265 series were received at Western Sydney. The Land and Property Management Authority was again the most active public office, with the series of Crown plans making up the bulk of the records transferred. The primary impetus for these continuing large-scale transfers has been the move to digital modes of business within the Authority, as very large series such as the Crown plans are being digitised, thus allowing the original records to be 'retired' to archival storage. Other transfers of note included Case files from Bloomfield Hospital in Orange, and State Rail Personal history cards.

Regional repositories received several transfers of State archives, covering approximately 50 series. The most significant involved 45 series from Clarence Valley Council transferred to the University of New England and Regional Archives at Armidale.

In April 2010 we received a quantity of digital records from the website of former Premier Nathan Rees. More than 50 metres of Parliamentary archives were also received for storage and preservation under the terms of an agreement with the NSW Parliament.

The large number of series being transferred continues to place pressure on our supervisory resources, but we have been able to make available an additional part-time senior position to assist with the workload.

Metres of standard format records transferred as archives

	Result 06/07	Result 07/08	Result 08/09	Result 09/10
Archives transferred to State Records' custody	849	1,326	6,079	1,292
State archives transferred/added to regional repositories	n/a	n/a	n/a	28
Total				1,320

Number of non standard format items transferred as archives

	Result 06/07	Result 07/08	Result 08/09	Result 09/10
Maps and plans	17,146	171,937	617	1,086
Maps and plans (to regional repositories)	n/a	n/a	n/a	5,000
Total				6,086

This category only includes larger-format maps and plans and a small number of documents counted individually. The majority of Crown plans received during the year were transferred in boxes, and counted as part of the main transfer statistics (calculated in linear metres).

People and Government use and benefit from the State archives collection

Support for regional repository network

Support for the six regional repositories continued, focussing on grant funding, training and advice on preservation, documentation and transfer matters.

State Records has developed a new blog Archives Outside, which has the dual aims of showcasing the Regional Repository Network and regional archive collections generally, as well as providing basic guidance and support on topics related to archives management for the many people and community organisations across the State caring for archives without ready access to expertise.



Conservation volunteers (L to R) Ian Middleton, Vicki Wilson and Anne Knowles sorting and cleaning Conditional Pardons prior to the collection being rehoused and indexed

Outlook and capability

State Records anticipates that significant quantities of archives will continue to be transferred to our custody over the next five to ten years, as the bulk of paper-based records become inactive and as agencies with responsibility for vital infrastructure implement major copying projects. Increased demand for the transfer of State archives in digital form is expected, but we continue to be hampered by the lack of an appropriately resourced digital archives facility. Whilst transferring archives into our custody is important to us, we will also continue to support a distributed State archives collection. To this end we aim to put more distributed management agreements in place with regional repositories and those public offices that have the capacity to manage archives in accordance with the conditions that ensure they are properly preserved, documented and accessible to the community.

People and Government use and benefit from the State archives collection

Donations of records

Offers of State archives gratefully acknowledged

Some official records have in the past strayed from the public office that created or held them. State Records relies on the generosity of the public to return those records which would make a valuable addition to the State archives collection.

State Records gratefully acknowledges the following people and organisations for their donations:

Donor	Records donated
The Orr family (records referred by the State Library, NSW)	Diaries and notebooks of G W Orr, surveyor
Ms Hilary Weatherburn	Photographs and historical leaflets relating to State government dams
Mr and Mrs Wilson (records referred by Archives Office of Tasmania)	Pages from the Newington Asylum Register of Inmates covering the period 1889-1909
Coal and Allied (records referred by Lake Macquarie City Library)	Wangi Power Station plans
John Sheehan, on behalf of John Phillip Warde Harris	Records of the NSW Navigation Department relating to the findings of the Court of Marine Inquiry, 1909-1913 and Crown Solicitor's Opinions, 1900-1912
Godden Mackay Logan	Plans of Prince Henry Hospital
Mr Brian Langton (former MP and Minister for Transport)	Speeches and media releases, 1983 to 1997
Land of the Beardies History House Museum and Research Centre, Glen Innes	Various records, including Court, Lands and Agricultural Research Station records
Office of Neville Wran, former Premier of NSW	Briefing notes and speeches
Ms Elizabeth Milne on behalf of the Milne family	St Albans Court of Petty Sessions, Small debts claims registers, 1892 – 1931
Randwick and District Historical Society	Early (undated) NSW Colonial Architect's linen plan of the Custom Station, Botany
Mr John Whitehead	Minute books for the Warrumbungle National Park Trust, 1953 – 1976

In addition, the following records were transferred to State Records by the State Library, NSW:

- Photographs from the Department of Forestry, 1936 – 1959;
- Vessel register, 1856 - 1876, Tide Surveyor's Office, Sydney, Collector of Customs; and
- Glass negatives from the Department of Health.

The State archives collection is appropriately stored and preserved

State Records manages an extensive government archive collection, comprising items of varying formats, across seven locations. Archives require clean, environmentally-controlled storage conditions to help ensure their preservation over many years. Non standard format archives, such as film, require purpose-built cool storage. Archives in digital format require a different storage and preservation regime.

We are committed to providing the best available storage conditions for all of the State's archives. Whilst this slows further deterioration to the archives, a major challenge is dealing with archives that require conservation treatment.

Objectives for 2009-10

- Preserve born-digital State archives.
- Undertake conservation treatment on priority items.

Achievements and highlights

- Training in digital archives preservation undertaken by senior staff.
- Priority items received conservation treatment

The State archives collection continues to grow

The State archives collection increased by a record quantity of 1,320 metres of standard format archives (plus 6,086 maps and plans) during the year, bringing the total collection to more than 67 kilometres and over 350,000 maps and plans.

Standard format archives include files and volumes stored on shelves, and all other records counted in linear metres (including microfilm reels, film and audio visual items). Maps and plans cover all records of this type other than those counted in linear or cubic metres.

Record items of non standard format in archival custody

	Result 08/09	Result 09/10
In State Records' custody	337,330	338,416
In regional repositories	8,588	13,588
Total non-standard format in archival custody	345,918	352,004

Figures include a small quantity of large-sized individual documents stored in the same way as maps and plans. An additional 114.45m3 of non standard format items are not shown in totals.

Metres of standard format records in archival custody

	Result 08/09	Result 09/10
Archives in State Records' custody	60,033	61,319
Records to be appraised in State Records' custody	3,524	3,520
Total in State Records' custody	63,547	64,839
Archives in regional repositories	2,372	2,400
Total in archival custody	65,919	67,239

People and Government use and benefit from the State archives collection

Planning for digital archives preservation

Senior Archives Control and Management staff attended the Data Stewardship course presented by State Records and the National Archives of Australia during August 2009. In 2009-10 State Records again sought funding for a whole of government digital archiving solution but was not successful. In the interim, we have continued to prepare for digital archiving by promoting the *Policy on digital records preservation* and building internal skills and capacity to move into our new role as a repository for 'born digital' State archives.

Preservation advice provided to agencies

As the level of transfer activity has increased, and more agencies are undertaking large-scale digitisation projects, there is a need to provide expert preservation advice before records are actually transferred as State archives. State Records has an ongoing relationship with the Land and Property Management Authority (LPMA) in relation to several major digitisation and transfer projects, and we also assisted a number of other agencies during the year.

State Records seeks to ensure that records of archival significance are being properly stored and managed while still in agency custody, and to provide guidance on appropriate handling, packaging and transportation for records to be transferred. We also assist agencies to identify seriously damaged records, and advise on essential remedial conservation work that may be necessary before they can be accepted into our custody. Detailed advice was provided to Macquarie University and the LPMA in relation to the cleaning and treatment of water-damaged and mould-affected records. This included researching fumigation and mould irradiation techniques suggested by salvage companies. More general advice (by telephone

or email) is also given to regional repositories, local libraries and councils, as well as to Government agencies.

Visits and tours at our conservation facilities at Kingswood are given for agency staff and members of the public (there were 14 such visits during the year), and we occasionally take short and longer term work experience placements.

Macro-preservation challenges

As part of the ongoing challenge of maintaining appropriate environmental control of storage areas, we surveyed targeted collections to assess their state of preservation and to identify any issues associated with their physical condition. 56,628 shelf positions were checked and only relatively minor issues were identified. However, some further work on building systems and related matters is required to completely resolve the situation.

Existing monitoring of the storage facilities for pest activity highlighted a number of issues requiring some changes to processes and procedures. Steps have been taken to reduce the risk of bringing pests into storage areas through improved checking and processing of transferred consignments. High-risk consignments are identified, quarantined, and treated using low temperature before they are introduced into the main storage areas.

Items receive conservation treatment

With a large collection (including many records in fragile condition), there is considerable demand for items to be treated to allow for access, copying or display. 1,422 items were treated during 2009-2010, a 28% increase on the previous year. The largest category was agency retrieval (705 items), in particular files recalled by Community Services NSW. Records were also treated for researcher access or copying purposes (200 items, including 86 mould-affected records), and for exhibition loans (10 items).

A large proportion of the items receiving conservation (28%) were treated as part of our ongoing volunteer program. The Deceased Estates files and the Conditional Pardons were the two main projects this year. The Deceased Estate files are an ongoing re-housing project that will continue for many years. The Conditional Pardon project was completed this year, resulting in the repair and re-housing of 400 parchment documents, including some with ornamental wax seals.

The pressures of 'on-demand' conservation work and the surveying associated with environmental control issues left limited time for other work, so modest progress only could be made on a number of planned projects, such

as the survey of photographic, film and other audiovisual format records and the preparation of the Crown Plans for digitisation by the LPMA.

We were able to complete an extensive treatment trial (involving 141 hours of staff time) of a badly-damaged volume currently held by the LPMA (Volume 6 of the 'Old register', part of an important early colonial series - Registers of Assignments and other Legal Instruments; NRS 5604). A detailed report on the nature and extent of conservation work required on this volume has been prepared and forwarded to the Authority. It is estimated that the damaged volumes in the series require a further 800-1,200 hours of treatment before they can be transferred as State archives.

As funds permit, we are continuing to copy selected cinematographic films from the collection, giving priority to titles in poor condition. Preservation and reference copies of a further 12 titles were made during the year. We also commenced negotiations with the National Film and Sound Archive (Sydney Office) with a view to publishing excerpts from selected films through the new website australianscreen.com.au.

Outlook and capability

State Records will continue to promote the business case for the Digital Archives project in 2010-11, and to implement its Future Proof strategy, with a particular focus on building capability for digital archiving and digital preservation.

A review of preservation and copying is planned for the upcoming year. Preliminary research to identify the scope of the review and the methodology were completed this year. A review of storage has also been identified as requiring separate consideration. In particular, larger sized maps and plans and the specialised preservation requirements associated with some audiovisual formats will have a major impact on our storage facilities and equipment.

The State archives collection is catalogued and documented

Cataloguing and documenting the State archives collection is essential for making it accessible to the public and Government, and for managing the collection.

While much of the collection is documented well at a broad level, extensive work is required to catalogue individual record items so that they are discoverable through our online catalogue. Individual items include files, volumes/ registers, plans, and photographs.

In addition to cataloguing, we publish guides to the collection to help researchers better understand and locate archives on a particular theme or from a particular period.

Objectives for 2009-10

- Undertake review of collection documentation.
- Improve documentation of regional State archives by distributing grant funding for Archives in the Bush.
- Catalogue 30,000 records items and reach more than 300,000 record items discoverable online.

Achievements and highlights

- Review of collection documentation completed.
- More than \$35,000 distributed as grant funding to regional repositories for documentation projects.
- Significant progress made with regional archives documentation.
- 36,561 record items catalogued, bringing total discoverable online to 306,393 record items.



NRS4481 Government Printing Office Glass Negatives—'Corner of Market Street and Sussex Street, c.1900'
Digital ID: 4481_a026_000097

Major review of collection documentation completed

Documentation is an essential part of accepting records into the State archives collection. The documentation methodology we have used since the 1990s is known as the 'series system' and is common to many Australian archival institutions. This involves research, which results in registrations of archival series (groups of related items) and of the bodies that created or were responsible for them (agencies, persons). Broader contextual information is also captured about how the NSW government has functioned and been organised since 1788. However, series cataloguing is an inherently labour-intensive task, and we are currently able to deploy only limited resources to deal with substantial numbers of new series being transferred and a large inherited backlog.

We have been aware of these challenges for some time, and during 2009-2010, the opportunity arose to carry out a detailed internal review/audit of collection documentation. The review concentrated on the ten year period since the full introduction of the series system, but also looked at longer-term ('old system') backlogs. The review confirmed anecdotal evidence of a

People and Government use and benefit from the State archives collection

significant discrepancy between the scale of State Records' archival documentation task and the staff resources available to deal with it. This has resulted in large backlogs developing over the past decade, and minimal progress on reducing long-term cataloguing arrears. The key contributing factors have been high levels of archival transfer (especially in the last five years), limited resources, and the lack of dedicated funding for back-capture documentation projects.

A number of areas for priority action were identified, including staffing (recruitment action has commenced with the aim of filling a number of archivist and clerical vacancies), and the need to modify and streamline some of our cataloguing processes where possible, to improve efficiency and output.

2009-10 has been another challenging year for archival documentation work. The key position responsible for documentation continues to be filled on a part-time acting basis only, and we have had few professional staff available for this work.

However, progress has been made in a number of areas, including improved documentation of the many Mining Warden's Courts and Offices. Police series full registration has continued steadily, further Person registrations for judges have been approved, and testing of the latest version of *Archives Investigator* was undertaken.

Some documentation was undertaken of the 13 principal departments that commenced on 1 July 2009. Ministry 92 (Rees) was closed and the new Ministry 93 (Keneally) was registered, and a number of amendments and additions to portfolio registrations were made.

Series and context documented

	2009/10	Total at 30 June 2010
Series in State Records' custody (new system)	3	14,218
Series in State Records' custody (from old system)	338	1,064
Series in regional/distributed custody (new system)	341	15,282
Agencies	257	3,463
Persons	94	177
Portfolios	17	266
Ministries	1	93
Organisations	-	62
Activities	1	182
Functions	-	14

Remarks

59 registrations for judges are currently revised.

Note: 'Old system' refers to series recorded in our previous primary catalogue, the *Concise Guide*. 'New system' refers to any series that were registered for the first time in our current catalogue/database (BOS), i.e. not previously recorded in the *Concise Guide*.

Regional archives being documented

With limited archivist resources at Western Sydney, documentation of regional State archives was a particular priority during the year. More than 600 regional series and some related agency registrations from Charles Sturt University Regional Archives (CSURA) have now been finalised and approved, including many significant Lands alienation and tenure series. This represents the first full registrations of these records into BOS, and has involved research into land legislation and regulations of the 1860s and mid-1880s. As there are extensive holdings of similar records covering the remainder of the State, this work will be of great assistance in streamlining the registration of these other records.

This documentation work completed by CSURA during 2009-2010 was of an impressive standard in both quality and quantity. Staff working on a part-time project basis have registered over 300 series during the year, as well as creating approximately 20 generic series registrations. The University of Wollongong has also excelled on the documentation front, completing the sentencing, arrangement and description of records from Shellharbour and Kiama Councils. This was a large complicated job conducted with a skeleton staff in the middle of a building renovation, and the project's success is due to the persistence and drive of the Archivist at the University of Wollongong over a four year period.

This regional documentation work was made possible by a continuation of the 'Archives in the Bush' grant funding program for regional repositories for another year (\$35,782 was distributed in four grants). These grants have made a major contribution to the cataloguing of regional State archives since funding commenced in 2001.

Funds could not be spread more widely across the network, as the overall budget was limited, and several repositories were still in the process of completing projects funded in previous years. In addition to the documentation grants, smaller grants (in cash and 'in kind') were also made for preservation, shelving and travel.

Grants to regional repositories

Repository	Project	Grant
University of New England and Regional Archives	Documentation of Lands records	\$15 744
University of New England and Regional Archives	Public Office site visits for conservation and transfer advice	\$1 008
University of New England and Regional Archives	Upgrade of climate control monitoring equipment	\$920
Charles Sturt University Regional Archives	Documentation of Lands records	\$12 000
Charles Sturt University Regional Archives	Microfilming (NRS18810 Conditional purchase registers [Wagga Wagga Lands Office])	\$3 763
University of Newcastle	Documentation of Wangi Wangi Power Station plans	\$5 039
University of Newcastle	Documentation of Wangi Wangi Power Station plans	\$3 000
Total		\$44 474

Note: The University of Newcastle grant-funded project for the arrangement and description of Hunter District Water Board records is pending due to staff resource constraints.

Steady progress with item cataloguing

At 30 June 2010, 306,393 entries relating to record items were available through our online catalogue *Archives Investigator*, an increase of 36,561 items over the year.

Some of the more significant listings added to Archives Investigator were those for Supreme Court Probate packets and Divorce papers (NRS 13660 and 13495), and Land and Property Information Strata plans, 1961- (NRS 18222).

People and Government use and benefit from the State archives collection

Number of record items catalogued and number of catalogued record items discoverable online

	Result 09/10	Target 09/10
Record items catalogued in year	36,561	30,000
Catalogued items discoverable online	306,393	300,000

* Does not include record items available separately on the website (currently c. 10,000 items). Not all items catalogued are discoverable online.



NRS12932 Original Prints of Photographs used in NSW trains— 'Kendall Street Cowra, c. 1930's'
Digital ID 12932_a012_a012X2441000092

Colonial Secretary's correspondence

The Colonial Secretary's correspondence dating from 1826 to 1856 is a part of the State archives collection that we consider to be at significant risk. This is because it remains uncopied and insufficiently catalogued at a detailed level which makes it vulnerable to damage and loss through continued use. In 2002 we commenced a long-term project to catalogue and copy these valuable archives, commencing with the letters dating from 1826 to 1832.

During the year we continued:

- The process of improving access to the 1826-1827 in-letters which have been relocated
- populating the prototype database that will assist with locating individual letters
- preparing a number of Special bundles relating to convicts for filming.

We also:

- created a new Special bundle relating to the convict settlement at Port Macquarie
- commenced the re-housing of the 1826-32 in-letters (new boxes and acid-free folders)
- commenced identifying in-letters suitable for selective digitisation.

Outlook and capability

The findings of the collection documentation review will shape our priorities in coming years; in particular the need to keep up with cataloguing and documenting new archives as they are transferred to our custody, to make inroads into the substantial backlog of uncatalogued archives, and to increase the number of record items discoverable through our online catalogue.

While the modest additional resources being made available will help to alleviate the situation, substantial progress (particularly in relation to long-term backlogs) will require dedicated funding over a number of years, and the priority and resources allocated to this task will need to be one of the key issues considered as part of future corporate planning. Our volunteers are also important to our success in the area of item-level documentation, and we would like to develop the capacity to support a more active volunteer program.

Improving the capacity of the regional repositories to document the regional archives they hold will continue to be a goal for State Records, particularly given their limited resources, and the challenges a number of them face in finding and retaining suitably qualified archival staff.

Services for the Public

Sensitive public sector information appropriately protected

Most information kept by the public sector for more than 30 years should be accessible to the public, as sensitivities in the records diminish over time. Some information in records, however, must be protected from disclosure over longer periods of time. The people of NSW expect their personal information, where it legitimately continues to be held by Government for more than 30 years, to remain protected from public disclosure. Records may also be withheld from public access for security reasons or to protect ongoing commercial confidentiality.

Goals:

- Encourage public offices to make access directions (decisions about public access) for all records over 30 years old.
- Protect sensitive information through the application of appropriate closure protocols.

Access directions cover all records kept more than 30 years

The State Records Act requires public offices to make access directions. Access directions either open records to public inspection after 30 years or close them for a longer specified period. There is a presumption that most records will be open to public access after 30 years. Types of records that may require a longer period closure to protect sensitive information are identified in the *Attorney General's Guidelines for Making Access Directions*.

We maintain a register of access directions on our website and assist public offices to make access directions.

Increase in access directions

Ten public offices made comprehensive access directions during the year, bringing the percentage of public offices with coverage for all records over 30 years old to 43% (of a current total of 418 public offices that do not include Ministers' offices). This was 1% less than our target. The smaller amount of public offices making access directions compared to the last three years continues to reflect the previous success of the strategy to encourage councils to make directions.

Like records retention policies we rely on public offices to make access directions providing assistance to them as required. The main

Objective for 2009-10

- 44% of public offices have comprehensive access directions in place.

Achievement

- 43% of public offices have comprehensive access directions in place.

trigger for making access directions remains the requirement that all State archives transferred to State Records to be covered by an access direction. There continues to be an increase in public offices making comprehensive access directions as they transfer records under newly approved retention policies.

During the year several public offices revised and renewed 'closed to public access' directions, including the NSW Police Force. The closed period for Police Special Bundles was reduced from 100 years to 70 years and opened popular material on topics such as the International Workers of the World.

Number of public offices making access directions

	04/05	05/06	06/07	07/08	08/09	09/10
Partial coverage	12	7	3	-	2	3
Comprehensive coverage	10	29	78	22	11	10

Number of access directions made is not indicative of the complexity of work or the quantity of the records covered.

Public access to records at a glance:

- ⇒ Official records kept 30 years or more generally become accessible to the public.
- ⇒ Access to records over 30 years old may be restricted to protect ongoing personal privacy, confidentiality, Indigenous cultural sensitivities, or security.
- ⇒ Records less than 30 years old transferred into the State archives collection may be publicly accessible.

Case study A project by our volunteers to list a series of correspondence, created by the former Ministry of Transport between 1932 and 1988, is facilitating the opening to public access of a majority of the over 400 boxes. By listing over 29,000 items the volunteers have been able to ascertain if an item contains sensitive information relating to the design and construction of infrastructure as seemed a possibility by the scope of the description of the series. By opening the series up to public access a wealth of information on 20th century transport issues and policies will progressively become available.



Manager Public Access Christine Yeats at the NSW and ACT Association of Family History Societies Inc. Annual State Conference 2009

Outlook and capability

We continue to face challenges in encouraging public offices to make access directions for all their records over 30 years old. Following the success of the strategy for local councils we will continue developing similar strategies that target individual public offices and promoting general model directions for particular functions across government. In addition our program to increase the coverage of public offices by comprehensive retention policies by 2010 is expected to increase transfers of records as State archives, resulting in an increase in public offices making access directions.

Use of the State archives collection 2009-10

The purpose of preserving the State archives collection is to make the records available to enrich the lives of people and communities, in NSW and beyond. Beyond their cultural value, archives help people to establish personal or family identity and entitlements.

Visitors to our reading rooms and website, and those who visit the regional and rural libraries and repositories holding copied parts of the collection and regional archives, use the archives for a variety of personal and professional research projects.

These researchers are then catalysts for taking the personal, community, state and national stories held in the archives to the wider public. They do this by passing on family histories, publishing local and community histories, writing novels based on historical facts or themes, curating exhibitions, and making films and documentaries.

State Records encourages research into, and use of, the State archives collection or other original sources of archives, through sponsorship of the Archival Research Fellowship, which was inaugurated in 2009. The Fellowship is offered annually by Government to assist a person living in NSW to complete a research project that makes substantial use of the records collection of State Records. As the recipient of the 2009 Fellowship Dr Caroline Ford was awarded \$15,000 to research the records of the Land and Property Management Authority and other records held by State Records for her history of Sydney's ocean foreshores.

Archives reaching a broader audience

Many people in the community, other than those who read acknowledgements at the front of a book or credits of a documentary, never realise that what they are reading or watching draws on information and evidence contained in the State archives collection or other archival resources. Similarly document-based materials included in museum exhibitions are often from an archival collection.

Literary works

Publications that drew on the State archives collection included:

- *Australia's Oldest House: experiment Farm Cottage and Surgeon John Harris* by Sue Rosen;
- *Milk: a cultural history* (tentative title) by Deborah Valenze;
- *Garden of Ideas* by Richard Aitken;
- *European history of the Royal National Park* by Judith Carrick;
- *L J Hooker, The Man, the Biography of Sir L J Hooker* by Natalie Hooker;
- *Queensland's Constitution: Past, Present and Future* by Supreme Court of Queensland Library; and
- *Documents that shaped Australia* by Murdoch Books.

Archives serving a variety of purposes

- Macquarie Visions project – large scale projection of images onto the historic buildings of Macquarie Street;
- iPhone App for walking tour of The Rocks referencing historic images, Museum of Sydney;
- Installation - *Damned souls & turning wheels* - Cockatoo Island, Sydney Biennale;

- Deaf Convicts – paper presented at the Deaf History International Conference, Sweden;
- Fridge magnet and postcard for the Australian National Maritime Museum;
- Interpretive panels for the Sydney Harbour Foreshore Authority; and
- ABC documentaries.

TV Series *Who do you think you are?*

Both the British and Australian versions of the television series *Who do you think you are?* used material from the State archives collection. Segments were shot at both the Western Sydney Records Centre and the Sydney Records Centre.

Segments filmed for the previous Australian series were originally aired in late 2009 and were repeated in 2010.

Exhibitions

Exhibitions that used material from the State archives included:

- On their own - Britain's child migrants' (Australian National Maritime Museum);
- Busload of Cash Exhibition (Railcorp);
- Shooting Through Sydney by Tram (Museum of Sydney);
- Skint! Making Do in the Depression (Museum of Sydney);
- Painting the Rocks: The Loss of Old Sydney (Museum of Sydney); and
- Breaking the Shackles (Parramatta Heritage Centre).

The State archives collection is widely accessible to people and Government

Access to the State archives collection is possible through our website and 42 physical sites located around NSW.

We also provide email and telephone enquiry services for information about the collection and how to use it.

We are committed to all of these access points. However, we see our website increasingly as the primary channel for providing services to the public. This is in line with global trends in provision of archival services and aligns with Government priorities for electronic service delivery. It is a challenge keeping up with the demand from our public clients for web based services.

Objectives for 2009-10

- Enhance services to the public through our website.

Achievements and highlights

- 158,363 entries added to online indexes.
- 1,594,946 unique visitors to our website.
- Online ordering and payment for copies of State archives increased by 10.4%.
- 11,389 archival research and related enquiries handled by post, email and telephone.

Online photocopy order service continues to grow

The provision of online requests and payment for copies of records was introduced to better meet the needs of our public clients. In the past year we have enhanced the service with the addition of more records that may be copied.

Copy orders from the public

	2008-09	2009-10	Variation (%)
Orders placed online	2,829	3,123	+10.4
Orders received by mail	748	796	+6.4
Copying orders from the public	3,577	3919	+9.6

Access to the State archives at a glance:

- ⇒ Our website - access to digital copies of archives, indexes, catalogues, guides, copying service.
- ⇒ Western Sydney Records Centre, Kingswood - access to original records.
- ⇒ Sydney Records Centre, The Rocks - access to all copied records.
- ⇒ Six regional repositories (in Wagga Wagga, Newcastle, Armidale, Wollongong, and Broken Hill) - access to regional archives.
- ⇒ 34 access points (APs) in regional and rural NSW, mostly at public libraries - access to microfilm copies of most popular archives.

People and Government use and benefit from the State archives collection

Website visitors: minor decrease

An estimated 1,594,946 visits were made to our website during the year. This figure represents a minor decrease over the previous year.

Services available on our website include:

- Archive searching (locate information about relevant archives).
- Photograph searching (locate digitised photographs).
- Name searching (via indexes of names found in select archives).
- Quick search, combining name, archive and photograph searching.
- Ordering copies of selected archives, such as railway employment records and convict and immigrant list entries.
- Purchasing publications and copies of photographs in Photo Investigator (operates through the Government online shopping facility, *shop.nsw*).
- A shopping cart system to allow the purchase of copies of records discovered in Archives Investigator
- Pre-ordering of records discovered in Archives Investigator in preparation for a visit to the Western Sydney Records Centre.
- Online payment of supplementary fees for copying ordered in the reading room.
- Digital exhibitions.
- Digital copies of select archives.
- Applying for a Reader's Ticket before a reading room visit.
- RSS Feeds for news, events and our eNewsletter.
- Book a place at talks and events.

State Records is committed to ensuring its website meets accessibility standards.

State Records participates in number of Web 2.0 activities including Facebook, Twitter and Slideshare. State Records continues to participate on Flickr, the online image management and sharing facility. We are progressively adding images from Photo Investigator to our Flickr *photostream* with 1116 images already loaded and a total of 68,940

views. State Records continues the process of "geotagging" photographs held in Flickr. Geotagging is the process of assigning coordinates (location information) to an image so that it can be plotted on to a map.

In addition, a number of new presentations and videos have been posted on YouTube, and State Records maintains two blogs, one in association with the Future Proof website, and Archives Outside.

Interests of researchers

Topics of interest

Researchers of the State archives collection were interested, amongst many other topics, in:

- Equal opportunity for women;
- Great Depression;
- Early immigrant women; and
- Arthur Todd Holroyd.

Archives helping establish personal identity and entitlements, or with healing process

Archives can provide essential evidence for establishing a person's identity or entitlements. They can also be part of a person's healing process after traumatic events affected them in their past. State Records assists people to locate details relating to their own lives, or those of family, subject to appropriate access procedures. Examples include:

- Using school admission registers to prove they lived in NSW as a child (where their birth may not have been formally registered and they now need a passport).
- Investigating the health of their ancestors through hospital and mental health records to ascertain disease inheritance.
- Identifying lost family through the records of child removal in the Aborigines Welfare Board records.

The Aboriginal Trust Fund Repayment Scheme, which is making extensive use of records of the Aborigines Welfare Board in the State archives collection, is a good example of the use of archives to establish people's entitlements on a larger scale.

The correspondence files of the former Aborigines Welfare Board covering 1949–69 and the correspondence files, 1938–49, from the former Chief Secretary's Department, together with the surviving trust account records are some of the most important resources for the work of the Aboriginal Trust Fund Repayment Scheme (ATFRS). The correspondence files cover a wide range of areas relating to the Aboriginal community. They include: reports on conditions of reserves; case histories of ex-wards of the Board; acquisitions of land purchase and construction of houses; repair and maintenance of properties; tenancies; home loans; education grants; exemption applications; and social and financial aid to Aborigines.

The indexing and digitisation of all surviving records from the former Aborigines Welfare Board, and its predecessor the Aborigines Protection Board, has made them more accessible and greatly increased the efficiency and accuracy of research into ATFRS claims. The successful completion of these projects has also created an enduring legacy for the future.

Archives Outside blog

Archives Outside is a blog established by State Records NSW to provide interaction, promotion, outreach and guidance with, to and for keepers of archives in NSW. It has a strong focus on regional NSW and features posts on Web 2.0, conservation, archival collections, managing archives and dating photographs. The collaborative posts in which experts contribute their knowledge on a range of topics through comments have been very successful. In its first full year of operation the Archives Outside blog has shown steady growth with the number of page views increasing by 75% in the second half of the year. The blog has also attracted external notice receiving a nomination and then selected as a finalist for a Department of Services, Technology and Administration Excellence award; being selected for interview as an example of best practice by consultants preparing a report for the Government 2.0 Taskforce and receiving national and international attention for our participation in Blue Shield Australia's National May Day campaign. Postings from Archives Outside have also been featured in a range of publications such as family history society newsletters, local

newspapers and a number of high profile professional blogs.

Bulk digitisation of 'Bounty' shipping lists

The pilot project to bulk digitise from microfilm copies of the assisted immigrant lists 1838–96 (over 1000 ships) was completed. Visitors to our website are now able to browse the digitised copies of the passenger lists of the immigrant ships arriving. It was completed with the assistance of State Records' volunteers and provided an invaluable lesson on bulk digitisation. We will be looking at more bulk digitisation projects in the future and the issues encountered will help determine the criteria for choosing the next appropriate record series.

Macquarie 2010 online display

As part of the Macquarie 2010 celebrations a selection of iconic documents from the collection together with transcriptions and interpretation was added to the Digital Gallery in January 2010. Selected documents are being featured throughout 2010. The online display has received official endorsement from the Macquarie 2010 Committee.

A Land Fit for Heroes?

On 8 December 2009 a new website, *A Land Fit for Heroes*, was officially launched by Professor Rae Frances from Monash University. The website is dedicated to the memory of WWI Soldier Settlement in NSW. State Records, which developed the website in conjunction with the National Centre for Australian Studies at Monash University and the University of New England, is also hosting the site.

The website is part of a larger project to examine the history of soldier settlement in NSW. The NSW State archives are a key source for this research. Until now these important records were difficult to access owing to the absence of contemporary indexes and registers. As part of the soldier settlement project, State Records' volunteers have been preparing indexes to the main records relating to soldier settlement. These indexes are being progressively added to State Records' website.

Enquiry services remain popular

State Records' public enquiry service continued to be popular. 6,648 enquiries by email and post were received and responded to during the year, an overall increase of 11.5% on last year. Telephone enquiries decreased by 9.9%.

Advice and assistance is also provided in response to enquiries from public offices.

177,390 names added to our website indexes

Indexes to State archives are one of the most popular resources on our website. For many people, names of people, places and subjects are the key to locating records relevant to their research. A total of 177,390 name index entries

were added to our own online indexes. In addition 45,006 colonial passenger lists were added to the Mariners and Ships in Australian Waters website which State Records hosts. New indexes added to our website 2009-10 included:

- Coroners' inquests;
- Depasturing licences;
- Registers of auriferous (gold) leases; and
- Registers of settlement purchase.

Entries were added to existing indexes covering convict records, criminal depositions, shipping arrivals, intestate estates, deceased estate records, bankruptcy, soldier settlement and gaol photographs. There are currently 1,114,502 index entries online.

Meeting service guarantees

	Target	2008-09	Target	2009-10
Responses to written enquiries	15 days	99%	20 days	99%

Public enquiry service

	2007-08	2008-09	2009-10	Variation (%) from last year
From the public				
Written enquires (letter/fax)	952	952	968	+1.7
Written enquiries (electronic)	5,370	5,011	5,680	+13.4
Written enquiries total	6,322	5,963	6,648	+11.5
Telephone enquiries	5,377	5,159	4,649	-9.9
Total	11,699	11,122	11,297	+1.6

Electronic service delivery at a glance:

- ⇒ State archives collection is accessible via the State Records website, through finding aids, Archives and Photo Investigator, guides and publications.
- ⇒ 78 indexes are available covering records relating to convicts, immigrants, the Colonial Secretary's correspondence, courts (civil and criminal), gaol inmates, education and child welfare, soldier settlers, deceased estates, probate, shipping, railway employees and firms.
- ⇒ Online enquiry and copy service available to the public and remote clients, offering research advice, guidance and an online payment facility.
- ⇒ Digital copies of the passenger lists of assisted immigrants arriving between 1838 and 1896 are available online at no charge.

People and Government use and benefit from the State archives collection

Reading room visitors

There were 52,586 visits to our two reading rooms during the year: 28,765 at the Sydney Records Centre and 23,821 at the Western Sydney Records Centre.

Access to State archives in the reading rooms is free in accordance with government policy. Original (uncopied) State archives are only accessible at the Western Sydney Records Centre. A Reader's Ticket is required to use original archives. 1,310 Readers Tickets (valid indefinitely) were issued during the year.

Microfilm and microfiche copies of the most heavily used archives are held in both reading rooms. These are on open shelves and usage figures are not recorded.

There has been a very slight decrease (-0.08%) in the use of original items and in the number of readers (-0.6%) using original records in the Western Sydney reading room.

Reading room visitors can pre-order original records prior to visiting the Western Sydney Records Centre. Original records, other than probate files, are delivered within 30 minutes of the request. Probate files are delivered within 30 minutes of set times.

Both reading rooms are wheelchair accessible.

Reading room visitors

	2005-06	2006-07	2007-08	2008-09	2009-10
Western Sydney	30,289	30,396	30,321	29,804	23,821
Sydney	27,326	31,009	25,627	24,663	28,765
Total	57,615	61,405	55,948	54,467	52,586

Visitor satisfaction

Our annual survey of archive users was conducted from 1 to 31 October 2009. The survey is used to gauge the satisfaction of visitors with our services and to assist us with planning and improving services.

Visitor satisfaction

Service	
Helpfulness and competence of staff	Over 90%
Computer resources in the reading rooms	Over 90%
Indexes available	Over 90%
Microfilm reader/printers	Over 90%
Retrieval of original items	Over 90%
Copy service	Over 90%

The services with a slightly higher not satisfied rate were the website generally (10.8%) and Archives Investigator in particular (14.2%). One of the survey outcomes was the continuation of the Archives Investigator seminars and the development of further tips in Archives Investigator. A second outcome was promoting Ancestry.com and other digital resources in the reading rooms.

A total of 174 responses were received (137 online). This was a significant increase on the 2008 survey.

Usage of original archive items by readers at Western Sydney Reading Room

	2008-09	2009-10	%Variation
Original archives issued	26,831	26,620	-0.8
Readers using original items	5,510	5,476	-0.6
Average number of original items per readers	4.9	4.9	-

Charles Sturt University Regional Archives has strong demand

Demand in 2009-10 for regional State archives continues to be highest in Wagga Wagga at the Charles Sturt University Regional Archives. In the year under review there were 1,898 reader visits and 502 issues of original (uncopied) records at the centre.

The six regional repositories, operated by local public sector institutions, store and make accessible regional State archives to local communities. The regional archives they hold are mostly complemented by holdings of private archives relevant to their region. State Records acknowledges the valuable contribution of these institutions to the delivery of archival services to people in regional NSW.

Temporary recall of State archives

Public offices may recall individual State archives required for official use. State Records may provide temporary custody of the original record, or supply a copy. 1,904 requests were made for archives, with 1,718 items returned or copies supplied to the relevant agencies entitled to recall them.

Kit of copied archives and guides facilitates regional and rural access

42 Community Access Points (CAPs), based in public libraries and regional repositories around the State, hold microfilm copies of significant and popular archives from our collection in the *Archives Resources Kit* (ARK).

State Records continued to support the network by:

- Providing copies of guides to the collection; and
- Training in using the ARK.

State Records also makes individual items of the ARK available through a loan service to libraries that are not CAPs.

446 photographs added to online database

Despite the limited availability of staff resources for much of the year, we were able to add 446 digitised photographs from the collection to our online database *Photo investigator*, bringing the number of images available at 30 June 2010 to 7,289. These additions were from the Government Printing Office Glass Negatives (NRS 4481), and included images of public buildings (Sydney and country, particularly post offices, court houses and police stations), houses, bridges, ships and other maritime images, and rural scenes. With the help of contributors to our popular blog *Archives Outside*, we were able to identify and date a number of previously unidentified photographs from this series.

Following recruitment action, an appointment was made in May 2010 (on a permanent, full-time basis) to the position of Digitisation Officer. This should assist in expanding our capacity in this important area of work.

Community stakeholders at a glance:

- ⇒ family historians, community and local historians
- ⇒ heritage enthusiasts
- ⇒ professional historians and academics
- ⇒ high school and university students
- ⇒ seniors
- ⇒ Aboriginal people
- ⇒ women
- ⇒ artists
- ⇒ public officials

People and Government use and benefit from the State archives collection

Priority cinematographic films copied

As funds permit, we are continuing to make digital copies of selected cinematographic films from the collection, giving priority to titles in poor condition. Preservation and reference copies of a further 11 titles were made during the year. We also continued negotiations with the National Film and Sound Archive (Sydney Office) with a view to publishing excerpts from selected films through the website australianscreen.com.au.

State archives borrowed for major exhibitions

Cultural institutions may borrow original State archives for temporary display purposes, as long as they can guarantee security and provide appropriate environmental conditions.

2009-10 was a particularly busy year, with a total of 46 original items placed on loan to the following institutions:

- Historic Houses Trust (Justice and Police Museum) – Femme Fatale
- Historic Houses Trust (Museum of Sydney) – Tails of the City: Sydney's passion for pets



Volunteers Ailsa Mulry (left) and Wendy Kelly (right) with Senior Conservator, Elizabeth Hadlow

- Historic Houses Trust (Museum of Sydney) – Visionaries
- Shooting Through: Sydney by Tram
- Museums and Galleries NSW (travelling exhibition) – Great Collections
- Parramatta Heritage Centre and National Archives of Australia – Women transported: life in Australia's convict female factories
- Historic Houses Trust (Museum of Sydney) – Canberra Museum and Gallery – An Act of Surrender.

From January 2009, a policy of charging for exhibition loans was introduced, in line with similar policies in comparable cultural institutions.

Increasing access to State archives through agreements with third parties

State Records continued to explore agreements with third parties to increase the diversity of channels by which the people of NSW can access the State archives collection.

Agreements with third parties to copy and publish State archives enhance access to State archives, especially online publication, by providing alternative avenues of access. State archives subject to such agreements are already open to public access and already available for public inspection.

We made two more agreements with Ancestry.com (previously known as the Generations Network) to digitise sets of State archives already publicly available on microfilm. The digital copies and index are available on its Ancestry.com website. Free access is available to all of the Ancestry.com websites in our reading rooms. One agreement provides for free access to the Colonial Secretary's correspondence 1788 – 1825.

Outlook and capability

State Records will continue to make the State archives collection accessible to the people of NSW and around the world through our website and network of physical access points. Increasing expectations by the public for online indexes and services will determine our priorities in this area.

State Records will continue to work collaboratively with other government agencies, third-party providers and stakeholders to the benefit of all users of the collection.

Communities know about and value the State archives collection

The State archives collection is a rich, cultural and information resource, but struggles to compete for attention with higher profile library and museum collections. State Records is committed to making the State archives collection known to a diverse range of communities and individuals across NSW, beyond our existing clients.

To raise awareness of the collection and explain how to tap into it, we organise and participate in an extensive outreach program comprising talks, tours, exhibitions, an online newsletter, educational programs, stalls, launches and other events. Through our outreach program we have built strong relationships with many of our public stakeholder groups.

Extensive public program achieved

In 2009-10, 4,278 people attended a total of 106 events. Just under 60% of participants attended events in regional New South Wales. Onsite activities are held at the Sydney Records Centre and the Western Sydney Records Centre. In addition to our programmed events, we also accept invitations to address family and local history societies. Group research visits to the Western Sydney Records Centre continue to be popular, with 29 groups, made up of 435 members, visiting the Centre in the reporting period.

Supporting women's history

State Records is also actively involved in supporting women's history as part of its contribution to the NSW Government's Action Plan for Women. We participated in Women's History Month by co-hosting a seminar, with the Customs House Library and the Australian Women's Archives Project. The theme was *Demeter's Daughters: women's harvest history* and topics explored included WWI nurses who took up soldier settlement land. A second event, hosted by State Records, the Australian Society of Archivists, Sydney Branch and the Australian Women's Archives Project also provided a presentation on of WWI soldier settler nurses.

Objectives for 2009-10

- Meet continued public demand and expectations for an extensive outreach program of talks, tours, group visits, exhibitions and a flagship magazine.

Achievements and highlights

- Organised or contributed to 106 outreach events, attended by 4,278 people.
- *In Living Memory* NSW tour.



NRS17420 State Rail Authority Archives
Photographic Reference Print Collection—
'Moree Railway Station , c. 1910'
Digital ID 17420_a014_a014000668

Numbers of public program participants by location

	2008-09	2009-10
Sydney	1,439	905
Western Sydney	1,413	216
Regional and rural NSW	1,811	2,380
Canberra	70	0
Outside NSW	170	65
Overseas	180	0
Total	5,083	3,566

People and Government use and benefit from the State archives collection

***In Living Memory* exhibition**

The *In Living Memory* exhibition of photographs from the Aborigines Welfare Board is a vital resource for the Indigenous and wider communities. The exhibition continues to attract visitors and small group tours to State Records Gallery in The Rocks, where it first opened in September 2006. A touring version has been travelling to 18 venues in New South Wales over a period of two and a half years.

The exhibition and tour are co-presented by State Records and Aboriginal Affairs NSW and a grant from the Australia Council for the involvement of senior Indigenous photographer Mervyn Bishop, whose contemporary photographs of communities are an important element of the exhibition.

During 2009-10 the exhibition was on display in Hurstville, Newcastle, Moruya, Bega, Wagga Wagga, Cootamundra and Dubbo.

The two versions of the exhibition continue to depend on widespread consultation between the exhibition team and Elders, families and communities, and the guidance of members of the Indigenous Exhibition Advisory Group.

The exhibition creates an important opportunity for the community to share its knowledge of people and places recorded in the photographs of the Aborigines Welfare Board and for State Records to provide copies of the archival photos to add to personal family collections. There is a great deal of interest in what might happen to the two versions of the exhibition when they are due to close at the end of 2010. State Records will rely on consultation and advice from the community to help make those very important decisions.

Serving the Indigenous Community

State Records is committed to providing services for the Indigenous Community in line with *Two Ways Together*, the NSW Government's Aboriginal Plan, 2003-2012. The *In Living Memory* exhibition continued to respond to requests for information on State archives from the Indigenous community.

In Living Memory exhibition: State Records Gallery, The Rocks

In Living Memory is still on display at State Records Gallery in The Rocks. A total of 200 visitors from eight groups made small group bookings for a tour of the exhibition in 2009-10, including Tranby Aboriginal College, Endeavour High School, Eora College, Lost Ladies and visitors from the NSW Teachers Federation annual conference of Indigenous staff.

154 visitors signed the exhibition guest book in State Records Gallery in the last twelve months.

***In Living Memory* NSW tour**

Elder previews and opening events for the *In Living Memory* NSW tour in 2009-10 have attracted over 400 Elders and local community members to the exhibition throughout New South Wales.

- 80 visitors attended the opening of the exhibition at Hurstville City Museum & Gallery
- 80 visitors for the opening at University Gallery, University of Newcastle
- 65 visitors to the opening at the Mechanics Institute, Moruya
- 50 visitors at the Bega Valley Regional Gallery
- 75 visitors to the Cootamundra Arts Centre
- 50 visitors of the Dubbo community joined in the opening at Western Plains Cultural Centre

A total of 1280 visitors have signed the touring visitor's book.

People and Government use and benefit from the State archives collection

Addressing the needs of culturally diverse communities

State Records' *Ethnic affairs priority statement* 2009-10 identified objectives for delivering our services to linguistically and culturally diverse communities.

Joint event with the Chinese Heritage Association of Australia 15 May 2010

On 15 May State Records built on its ongoing association with the Chinese community in Sydney by co-hosting a seminar with the Chinese Heritage Association of Australia. Presentations included a talk by Christine Yeats on the wide range of resources in the State archives relating to Chinese migration and settlement. A selection of objects, copies of documents and other items were displayed in the Sydney Records Centre Reading Room from 15 to 31 May.



Director Alan Ventress with visiting Chinese archivists from Zhejiang
25 November 2009

Case study

Case Study: Joint event with the Royal Australian Historical Society (RAHS) 31 May 2010

State Records coordinated a joint seminar with the Royal Australian Historical Society titled *Russian migration and settlement in NSW*. The seminar, on 31 May, was chaired by Christine Yeats and Fabian LoSchiavo presented a talk on sources in State Records. To coincide with the seminar, State Records produced an Archives in Brief (fact sheet) on the subject. The event was part of Information Awareness Month, held in May each year aimed at raising awareness about the breadth of the information industry.

Outlook and capability

State Records will continue its efforts to reach out and promote awareness and use of the State archives collection to a diverse range of people and communities across NSW. Particular focus will be given to reaching those communities - the culturally and linguistically diverse, Indigenous people - who are not regular users of our services or who may not realise we hold records relevant to their lives and interests.

Corporate information and communications

State Records recognises the value of its information, records and knowledge as corporate assets. These assets include:

- **Information and records about the State archives collection and non-current records in our custody;**
- **Staff knowledge about NSW public sector records and archives;**
- **An extensive database and information about the administration of the NSW public sector, and its recordkeeping practices, from 1788 to the current day; and**
- **A library of Government legislation and publications, and works on the history of NSW, for staff and clients to better understand the context of the State archives collection.**

Information systems support service delivery

We have three primary electronic information systems supporting our services.

The Government Records Repository (GRR) utilises RS-SQL to support its records storage and retrieval services. This robust and flexible application manages the location control of items stored in the GRR; creates and manages the work orders by which items are retrieved and returned to storage; and controls the billing and charging for storage, retrieval and other services. The GRR is progressively rolling out GRRWeb which allows its client to access data about their holdings on the RS-SQL system in real time via a web interface.

Our integrated Business Operations System (BOS) is used to manage archival and public client functions (cataloguing, location tracking, conservation, retrievals to reading room, reader registration, and client contacts).

During the year, the underlying software framework that supports BOS was upgraded. This task involved some minor re-coding to ensure that the application was compatible with the new framework. At the same time, a version upgrade was applied to the underlying database system.

Unfortunately, State Records has yet to secure the resources to incorporate the long planned content and workflow functionality into the BOS disposal authority module to support the development of retention and disposal authorities in direct collaboration with agencies.

Following the November 2009 visit to State Records by a representative of the State Records Office of Western Australia, letters have been exchanged between the two organisations to formalise the arrangement whereby our offices will share, without procurement cost, the work each makes to BOS or Archives Investigator.

Archives Investigator (AI), our online catalogue, is the public face of BOS. It was originally developed in 2000 through a joint venture with the City of Sydney Archives. It was re-developed in 2007 to achieve performance and interface improvements and the partial integration of a new access directions entity.

A new version of Archives Investigator went live in April 2010. Version 2.1.10 includes some interface and navigational improvements and fixes for a number of minor issues associated with the new AI shopping cart facility which had been implemented in May 2009.

Information assets at a glance:

- ⇒ Information and records about the State archives collection and non-current records in our custody.
- ⇒ Staff knowledge about NSW public sector records and archives.
- ⇒ An extensive database and information about the administration of the NSW public sector, and its recordkeeping practices, from 1788 to the current day.
- ⇒ A library of NSW Government legislation and publications, and works on NSW history for staff and clients to better understand the context of the State archives collection.

Managing our information and records

Records management initiatives focused on records capture, sentencing and disposal

State Records has a records management program in accordance with standards we have set for the NSW public sector. During the year we:

- Contracted a firm to build a software "bridge" between the Plone content management system and the TRIM records management system to allow the capture of published Web pages as records. The system went live in December 2009;
- Registered the series of 378 GRR Client files in TRIM. This has involved the creation of new record types and security caveats and the training of a number of staff in the use of the TRIM system;
- Continued the process of progressively closing all old files. Newly created files are now sentenced at creation against the appropriate retention and disposal schedules; and
- Continued the project to dispose of records no longer required by State Records under State Records' retention and disposal authority, and the various general disposal authorities.

Management of sensitive information protects privacy

Most of the information and records created or held by State Records relating to its functions and operations is accessible to the public. Some information and records are appropriately protected from disclosure (both to staff and the public) in accordance with personal privacy, security and commercial confidentiality principles and obligations.

We have a *Privacy management plan*, that identifies how we comply with the Information Protection Principles. It can be viewed on our website www.records.nsw.gov.au.

Content/service delivery/wider audiences

State Records has increased its use of the new channels of content delivery and user interaction available on the Internet, popularly referred to as "Web 2" applications. During the year, new accounts were set up in Facebook and Twitter and additional resources have been added to YouTube and Flickr.

On-line resources/services

Significant enhancements have been made to our online indexes. Improved search functionality allows for multi-name searching by allowing the entry of multiple values in the name fields. In addition, six of our convict indexes have been combined into a single, easy-to-search database with around 120,000 entries. Thus the following indexes may be searched via single queries: *Certificates of Freedom, 1823-69; Convict bank Accounts, 1837-70; Tickets of Exemption from Government Labor, 1827-32; Tickets of Leave, Certificates of Emancipation and Pardons, 1810-19; Tickets of Leave, 1810-75; and Ticket of Leave Passports, 1835-69*. Also included is the new *Index to Tickets of leave, 1810-75* compiled by Dr Perry McIntyre.

In addition, a shopping cart system has been developed in-house which allows the easy ordering of copies from multiple indexes. This is a significant improvement over the existing facility. In late May, the system was released for testing and further development has ensued. It is expected that the new facility will go live during July 2010.

The large task of migrating the corporate intranet to the Plone Content Management System platform was undertaken during the year. In early June, managers were sent a link to the new site to enable them to familiarise themselves with the layout, review content and provide feedback. It is expected that the new intranet will go live in early July.

In June, a new website was set up to host eLearning packages created by staff using the recently acquired Lectora authoring tool (elearning.records.nsw.gov.au).

Trends

Indicator	2005/06	2006/07	2007/08	2008/09	2009/10
Metres of non-current records in storage	348,000	373,737	395,477	413,320	434,232
Metres of standard format records in archival custody	57,667	58,516	59,842	65,919	67,239
No. of catalogued record items discoverable online	174,242	205,460	239,876	269,832	306,393
No. of archives information access points	42	42	42	42	42
Metres of non-current records accessioned	30,000	32,470	34,983	33,630	36,088
No. of file retrieval operations	305,000	321,216	313,920	327,122	316,037
No. of disposal policies approved	17	25	26	23	16
Metres of records transferred to archival custody	554	849	1,326	6,079	1,320
No. of record items catalogued	31,380	31,218	34,416	29,682	36,561
No. of original record items used by readers	26,480	26,540	25,554	26,831	26,620
No. of website visits	1,513,126	976,382	1,553,894	1,598,503	1,594,946

Governance and accountability 2009-10

Board and management

Strategic planning and reporting

Client and stakeholder relationships

Managing risks

Managing our people

Freedom of Information (FOI)

Managing our physical assets and finances

Audited financial statements

Budgets

Board and management

The Board

State Records has a nine member Board with the statutory functions of determining our policies and strategic plans, approving records management standards and approving the disposal of records.

Seven members are nominated by various Ministers to represent State law enforcement agencies, local government, the private sector, the history profession, departments and State owned corporations. One member is nominated jointly by the President of the Legislative Council and the Speaker of the Legislative Assembly, and one is to be a judge of a court of the State nominated by the Chief Justice of New South Wales.

Board members are appointed for a maximum of two consecutive terms, each not exceeding three years.

Board members

Board members 2009-10

Mr Stephen Davies

BA, DipEd, DipT&CP,
DipConsStudies
Director, Heritage
First Term: 1/1/06-31/12/08
Second Term: 1/1/09-31/12/11
Nominated by Minister
administering State Records Act
to represent private sector



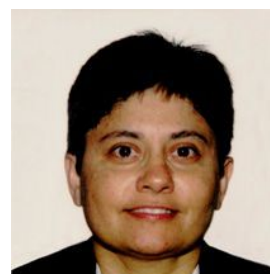
Ms Denise Dawson

General Manager,
Corporate Services, Sydney
Water
First term: 1/1/10- 31/12/12
Nominated by the Minister who
administers the State Owned
Corporations Act 1989, to
represent State owned
corporations



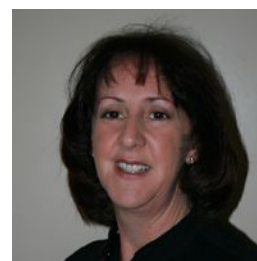
Ms Zoe DeSaram

Director of Climate Change,
Air and Noise, Department of
Environment and Climate
Change
First term: 2/4/08-31/12/10
Nominated by Minister who
administers the Public Sector
Employment and Management
Act 2002 to represent
departments



Ms Robyn Foster

General Manager, Internal
Customer Services, NSW
Police Force
First term: 2/4/08-31/12/10
Nominated by Minister
administering State Records Act
to represent State law
enforcement agencies, after
consultation with the
Ministers responsible for those
agencies.



Board members

Hon. Don Harwin

BEC (Hons) MLC
First term: 7/2/07-31/12/09
Second term: 1/1/10-31/12/12
Nominated jointly by the President of the Legislative Council and the Speaker of the Legislative Assembly



Mr John O'Hearn

BComm, FCPA, GAICD
General Manager, Business Strategy and Communications, Hunter Water Corporation
First term: 25/1/06- 31/12/06
Second term: 7/1/07-31/12/09
Nominated by the Minister who administers the State Owned Corporations Act 1989, to represent State owned corporations



Mr Graeme Head

Director-General, NSW Department of Services, Technology and Administration
First term: 12/8/09-30/5/12
Resigned: 9/4/2010
Nominated by the Minister who administers Public Sector Employment and Management Act 2002 to represent departments.



Professor Lucy Taksa

BA (Hons), PhD
Chairperson
Professor, Business Studies, Macquarie University
First term: 7/2/07-31/12/09
Second term; 1/1/10-31/12/12
Nominated by Minister administering State Records Act to represent history profession



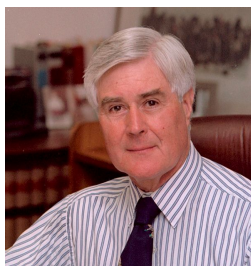
Ms Karen McKeown

Councillor, Penrith City Council
First Term: 25/03/09-31/12/11
Nominated by Minister administering State Records Act to represent local government



Hon. Justice Henric Nicholas

Judge of the Supreme Court of NSW
First term: 2/4/08-31/12/10
Nominated by the Chief Justice of New South Wales



Board attendance

Member	Attended	Eligible
Mr Stephen Davies	4	5
Ms Denise Dawson	N/A	N/A
Ms Zoe DeSaram	3	5
Ms Robyn Foster	4	5
Hon. Don Harwin, MLC	N/A	N/A
Mr Graeme Head	1	3
Mr John O'Hearn	5	5
Ms Karen McKeown	4	5
Hon Henric Nicholas	3	5
Professor Lucy Taksa	5	5

Board meetings

The Board meets every two months. Five meetings were held in 2009-10.

The Director attended five meetings. Managers attended meetings for agenda items related specifically to their areas of responsibility.

Board Finance and Audit Committee

The Board's Audit, Finance and Risk Committee comprised two Board members, the Director, and the Deputy Director. It assisted the Board in relation to financial performance, risk management, auditing accounting and reporting practices of State Records.

Board members on the Committee were John O'Hearn (Chairperson since 15/2/06) and Stephen Davies (since 21/6/06). The Committee met twice.

The Committee was wound up on 13 October, 2010. State Records then joined the Department of Services, Technology and Administration Audit and Risk Committee.



State Records' Board 13 October 2009

(L to R) Ms Robyn Foster; Hon Don Harwin, MLC; Ms Zoe DeSaram; Mr John O'Hearn; Mr Jim Sinclair (Executive Officer); Mr Alan Ventress (Director); Prof Lucy Taksa (Chairperson); Ms Karen McKeoen; Hon Justice Henric Nicholas.

Board and management

Oversight by Minister

State Records is subject to the direction and control of the Minister responsible for the *State Records Act 1998*, except in relation to approving the disposal of records. Our Minister is the Minister for Industrial Relations, Minister for Commerce, Minister for Energy, Minister for Public Sector Reform and Minister for Aboriginal Affairs.

Ms Christine Yeats, BA, DipLib,
DipArchAdmin, Manager, Public Access

Strategic committees

Executive Team

The Executive meets each week to maintain a strategic view of operations, monitor progress towards corporate goals across programs, and review and approve major policies and initiatives. The Executive consists of the Director, Deputy Director and Manager GRR.

Senior staff

Director

Mr Alan Ventress, BA, DipLib,

Deputy Director

Mr John Burke, BA, DipLib, DipArchAdmin,

Ms Jennifer Stapleton, BA, DipArchAdmin,
Manager, Government Records
Repository

Senior managers

Mr Michael Allen, BA, DipLib,
Chief Information Officer

Ms Amanda Barber, BA, DipArchAdmin,
Manager, Government Recordkeeping

Mr Richard Gore, BA, DipLib,
Manager, Archives Control and Management

Mrs Christine Shergold, BA, DipLib,
DipArchAdmin,
Manager, Special Projects



Launch of the *A Land Fit for Heroes?*
soldier settler website 8 December
2009

Management Committee

The Management Committee meets every month to set operational policy, assess strategic directions and ensure a coordinated approach to the provision of services across the organisation. The committee consisted of the Director, Deputy Director and Managers. The Executive Officer is the secretary to the Committee.

Information Management and Technology Steering Committee

The Information Management and Technology (IM&T) Steering Committee assesses strategic directions in ICT, oversees the development and deployment of information technology across the organisation and reviews proposals for technology-based projects. The committee comprises the Director, Deputy Director, Chief Information Officer, Manager GRR and Manager GRR Systems Control.

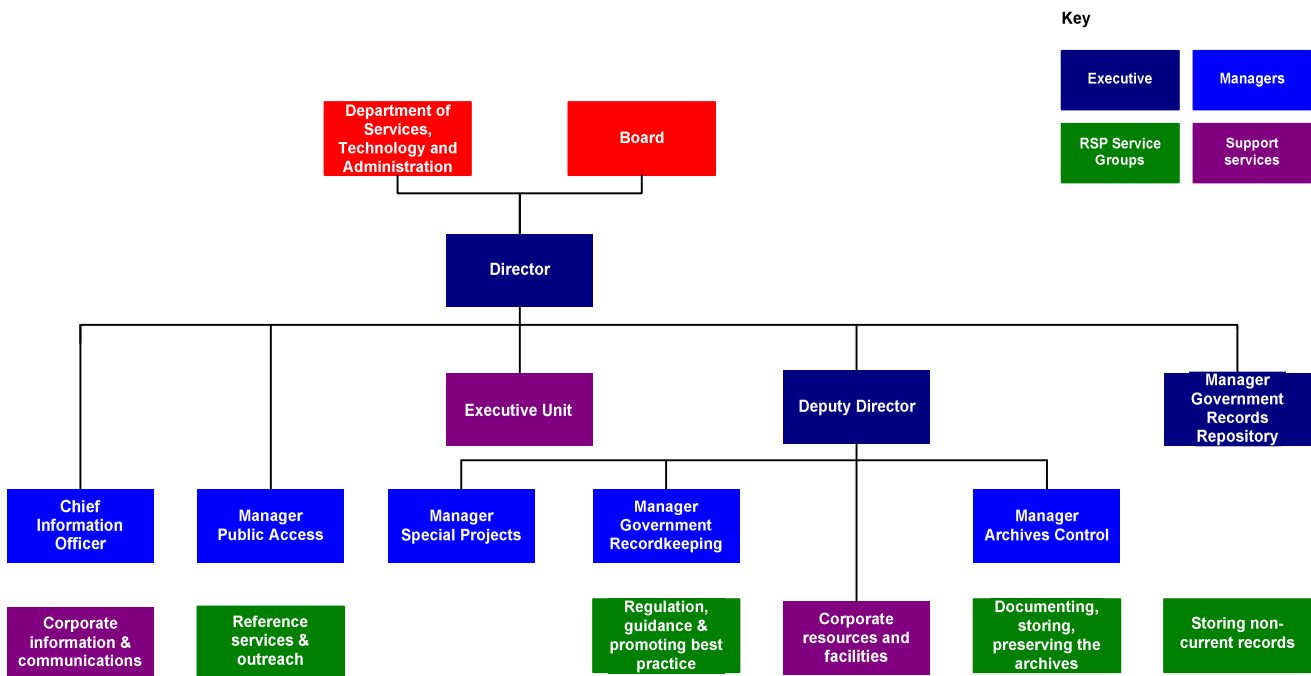
Occupational Health and Safety Committee

The Occupational Health and Safety Committee comprised staff representatives from our two locations, the OH&S Officer, and two management representatives.

Future Proof Strategy Steering Committee

The role of the Committee is to guide and make key decisions for the Digital Records Strategy, including acting as Project Board for the Whole of Government Digital Archiving Solution project. The committee comprises the Director, Deputy Director (Chair), the Manager, Government Recordkeeping, the Manager, Archives Control, the Chief Information Officer, the Senior Project Officer, Government Recordkeeping and the Executive Officer (as secretary).

State Records Authority
of New South Wales
June 2010



Strategic planning and reporting

State Records' strategic focus during the year was on consolidating long standing goals and meeting continued demand for our services from the public and the public sector.

Corporate planning

Strategic plan

The *Strategic Plan 2008-2011* is based on five Key Result Areas (KRAs). Each KRA is linked to a number of outcomes, and supported by key initiatives.

Results and Services Plan

Our objectives for the year were set by our *Results and services plan 2009-10* which shows how what we do aims to make a difference to the people and communities of NSW in accordance with the State Plan.

Total Asset Management Plan

An important component of our strategic management is ensuring we maintain and improve our physical assets and infrastructure to help us achieve positive outcomes for our clients and Government. Management of our properties, ICT infrastructure, plant and accommodation are covered by our *Total asset management plan* which is revised annually.

ICT Strategic Plan

ICT priorities that support our corporate goals are identified in our *ICT Strategic Plan 2008-11* which is aligned with current government policies and priorities such as the State Plan and *People First*, the NSW Government's ICT Strategy.

Social responsibility plans

State Records supports the Government's social responsibility commitments in relation to culturally and linguistically diverse communities, people with disabilities, women and Indigenous people. Broadly speaking, our plans and strategies are now aligned with the Department of Services, Technology and Administration which assists us in these areas.



Gail Davis and Christine Shergold review progress with the Colonial Secretary's project

Multicultural Policies and Services Program

State Records supports the Government's social responsibility commitments in relation to culturally and linguistically diverse communities. We strive to comply with the Department of Services, Technology and Administration *Multicultural Policies and Services Program Plan 2010-2014*.

State Records continued its long-standing policy of staging events for culturally and linguistically diverse communities. On 15 May State Records co-hosted a seminar with the Chinese Heritage Association of Australia. Presentations included a talk on the wide range of resources in the State archives relating to Chinese migration and settlement.

On 31 May State Records also coordinated a joint seminar with the Royal Australian Historical Society titled *Russian migration and settlement in NSW*. To coincide with the seminar, State Records produced an Archives in Brief (fact sheet) on the subject. State Records will investigate the possibility of holding similar events for diverse communities in 2010-11 and future years.

State Records did not enter into any agreements with the Community Relations Commission.

Program action plans

Program areas develop action plans which identify operational targets and assign responsibilities for projects and ongoing work.

Corporate reporting

Program reporting

Program managers report at management committee meetings on staffing and operational matters. Written reports from program areas are submitted to the Board.

Annual reporting

Our annual report is the primary mechanism by which we account for the past year to Parliament, central agencies and stakeholders. This year we have aimed to focus more on our performance and less on activities. A separate *Activity Report 2009-10* is published on our website.

This annual report complies with:

- *Public Finance and Audit Act 1983* and Regulations
- *Annual Reports (Statutory Bodies) Act 1984* and Regulation 2005
- *Freedom of Information Act 1989* and Regulation 2005
- Treasury circulars and Treasurer's directions
- Premier's memoranda.



Government Records Repository Customer Service Officer, Kirrie Fitzpatrick, capturing data from client records

Client and stakeholder relationships

State Records values ongoing, respectful relationships with our clients and stakeholders, and their diverse backgrounds and interests. We consider the needs of our clients and stakeholders in decision-making and in setting business directions. We provide information to clients and stakeholders about our services and activities, and any changes to these, and seek advice, suggestions and feedback.

Advisory committees

State Records convened two standing advisory committees and an exhibition advisory committee for our *In Living Memory* exhibition. The committees comprise representatives from our public sector and public clients and stakeholders.

The Digital Records Advisory Group, was established in July 2007 with the aim of advising State Records on Digital Records Strategy products.

Digital Records Advisory Group

This committee held four meetings in 2009-10. Members during year:

Lesley Alexander, Manager, Information Services, Department of Services, Technology and Administration
Ken Carroll, TransGrid
Susan Fletcher, Manager, Document Management, City of Sydney
Mark Goleby, Collaborative Government Services Manager, Government Chief Information Office
Greg Jackson, Manager, Records, Privacy and Information Security, Hunter New England Area Health Service
Peter Konstantin, Director, Information Management, Corrective Services NSW
Michael Landsbergen, Head of Corporate Services, NSW Ambulance Service
Margaret Miller, Manager, Records and Mail Operations, ServiceFirst
Tim Robinson, Manager, Archives and Records Management Services, University of Sydney

Russell Smith, Director, Administrative Services, Community Services NSW

Jonathan Summers, Manager, Information Communications and Technology, Public Works, Department of Services, Technology and Administration

Catherine Sykes, Records Manager, Ministry of Transport

Community Advisory Committee

Members during year:

Rosemary Annable, professional historian

Roslyn Burge, Professional Historians Association

Dr David Carment, Australian Historical Association

Jodi Frawley, Professional Historians Association

Heather Garnsey, Society of Australian Genealogists

Carol Liston, Associate Professor, School of Cultural Histories and Futures, University of Western Sydney

Craig Mackey, railway historian

Perry McIntyre, professional genealogist and historian

Lesley Muir, Royal Australian Historical Society

John Petersen, NSW Migration Heritage Centre

Jan Richards, Central West Libraries

Dr David Roberts, Editor, Journal of Australian Colonial History, University of New England

Richard Shapter, Heritage Office, NSW Department of Planning

Tracey Sullivan, History Teachers Association

State Records thanks both committees for providing valuable advice during the year.

Advisory committees at a glance:

- ⇒ State Records convenes two standing advisory committees representing our public sector and public clients and stakeholders.
- ⇒ Meetings are held quarterly and Community Advisory Committee meetings twice a year.
- ⇒ Digital Records Advisory Group.
- ⇒ State Records thanks these committees for providing valuable advice during the year.

***In Living Memory* touring exhibition advisory committee**

Members during year:

Mervyn Bishop, exhibition team member

Christine Blakeney, representing Bomaderry Aboriginal Children's Home

Cecil Bowden, representing Kinchela Aboriginal Boy's Home

Ronald Briggs, State Library NSW

Lola Edwards, representing Cootamundra Aboriginal Girl's Home

Bill Hipkin, representing Bomaderry Aboriginal Children's Home

Melissa Jackson, State Library of NSW

Ray Minniecon, representing Kinchela Aboriginal Boy's Home

Keith Munro, Museum of Contemporary Art

Glendra Stubbs, Link-Up

Tracee Bradshaw, Link-Up

Kirsten Thorpe, Aboriginal & Torres Strait Islander Data Archive (since March 2010)

Paulette Whitton, Gadigal Information Service Aboriginal Corporation, Koori Radio (since March 2010)

James Wilson-Miller, Powerhouse Museum (since March 2010)

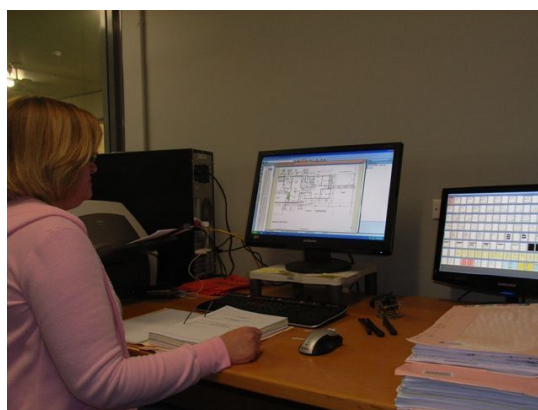
Lyall Dennison, Aboriginal Trust Fund Repayment Scheme (since March 2010)

Robynne Quiggin, Aboriginal Trust Fund Repayment Scheme Panel (since March 2010)

Stakeholder groups

State Records takes a consultative approach to developing new products for NSW public offices.

Comments were invited from the recordkeeping/archives community on drafts of the *Standard on digital recordkeeping* and the guideline *Managing digital records*. Also extensive consultation was undertaken with public offices during the review of the general retention and disposal authorities for accounting and financial records and administrative records. Consultation was also undertaken with councils in relation to the review of the *General Retention and Disposal Authority for Local Government Records*.



The Government Records Repository now offers a scan on demand service as one of its retrieval options

Guarantees of service:

- ⇒ Provision of assistance relating to physical disabilities and language needs when visiting our reading rooms.
- ⇒ Provision of expert and professional advice on research.
- ⇒ Delivery of original records (except probate packets) within 30 minutes of request.
- ⇒ Delivery of probate packets within 30 minutes of set delivery times.
- ⇒ Assistance with identifying sources and availability of archival material.
- ⇒ Assistance with validating personal information for rights and entitlements.
- ⇒ Assistance with confirming correct citations when publishing State archives.
- ⇒ Completion of requests to copy original material in reading rooms within 30 minutes (less than 20 pages) or 3 days (over 20 pages).
- ⇒ Completion of requests to copy large format material at Sydney Reading Room within 5 days.
- ⇒ Completion of requests for digitisation of materials within 10 days (up to 20 pages).
- ⇒ Completion of requests for copies ordered online within 15 days.
- ⇒ Completion of requests to purchase publications within 5 days.
- ⇒ Provision of accurate and timely information on our website.

Client and stakeholder relationships

Participation on client and stakeholder committees

State Records' staff are actively involved with client and stakeholder organisations through participation on governing bodies and committees. Full details of staff participation on client and stakeholder committees can be found in the Activity Report 2009-10, which is accessible via the State Records' website (www.records.nsw.gov.au).

Handling complaints and suggestions

We have a suggestion box and accept feedback on our services as part of our guarantee for public oriented services. Feedback can be provided directly to reading room staff, or by post or email. One complaint was received during the year. It related to the changes to the website following the roll out of the new version. The matter was resolved satisfactorily.

Publication of information for the public

State Records provides extensive information to the public through our website www.records.nsw.gov.au and print publications. Most of our publications are guides and indexes aimed at helping the public understand and use the State archives collection.

Publications relating to our functions and activities cover:

- where to access State archives, and rights of access and publication;
- contact details and addresses;
- services (handling enquiries, copying) and service guarantees;
- reading room procedures and rules;
- becoming a volunteer;
- making donations and bequests; and
- our activities program.

New publications during the year included a digital version of the *Colonial (Government) Architect Guide*, amalgamating the series in the original guide into a single searchable database, digital versions of special bundle listings previously published as Information Leaflets as Short Guide 14 and [Archives in Brief on How to find probate and deceased estates, Russian migration and settlement in NSW and Goldmining](#)

Publications revised during the year covered divorce records, police service records, local history research and convict records.

Hosted websites

In addition to its own websites, State Records hosts a number of sites on behalf of other parties.

Three sites are hosted as a service to the archival and research communities. The website of the Council of Australasian Archives and Records Authorities (CAARA), of which the Director is a member, has been hosted since 2001. It was re-designed and converted to the Wordpress platform during the year. The *Mariners and Ships in Australian Waters* website was created by Mary-Anne Warner and comprises indexes and digitised records from the State archives collection. State Records has hosted this site since 2003. State Records also hosts the Tabularium website. Tabularium is a freeware collection management system for archives. The site provides news and information about the product (Tabularium) which may also be downloaded.

In September 2009, a new site was created to support the Soldier Settlement Project. This undertaking is an ARC Linkage Project involving Monash University, the University of New England, the Department of Veterans' Affairs and State Records and is dedicated to the memory of Soldier Settlement in NSW. The site was formally launched in December 2009.



Government Records Repository Dock and Stack staff Miles Dugan (left) and Nick Jarrett (right) processing boxes of incoming records

Managing risks

State Records is committed to the maintenance of a robust risk management regime as part of its strategic operating environment. Through regular and ongoing application of risk management methodologies, comprising risk identification, analysis and assessment, we seek to minimise our exposure to unacceptable risks.

Management of risks is the responsibility of the executive team and senior managers in conjunction with the Audit, Finance and Risk Committee of the Board. Since 1 January 2010 this function has been undertaken by the Audit and Risk Committee of the Department of Services, Technology and Administration.

Assistance is provided by our auditors and specialist risk assessors. Risk management requires the cooperation of all supervisors and staff.

Business risks identified and rated

Our current approach to risk management is significantly derived from the major risk assessment in late 2005 when IAB Services undertook an organisation-wide business risk assessment for State Records as part of a fresh approach to the identification and control of risk. Sixty-nine risk areas were identified. Our overall risk profile was moderate to high.

Our key business risks are:

- Not having the capability to store and preserve digital archives;
- Natural degradation of paper and film archives, and possible disasters;
- Backlogs in cataloguing and conservation of the State archives collection;
- Limited ability to enforce recordkeeping improvements across the public sector;
- Potential reduced demand for fee-based file retrieval service as digital recordkeeping grows, and competition from commercial storage providers;
- Dependency on knowledge of key personnel who may retire or leave; and
- Perceived conflict between regulatory and commercial roles.

The adequacy of this risk matrix was reviewed by management in conjunction with the Board's Audit, Finance and Risk Committee in mid 2007 and found to be still appropriate.

During the year, IAB Services provided our internal audit function. In 2009-10 four reviews were conducted:

- Business Operating System (BOS);
- Government Record Repository's file retrieval process;
- Public Access program; and

Achievements and highlights

- OHS Management System rebuilt.
- The State Records OHS Excellence Award was launched to promote and recognise excellence and innovation in OHS within State Records.

- Financial and administrative processes.

Internal Audit and Risk Management Statement

The Director and the Chairperson of the State Records' Board signed the Internal Audit and Risk Management Statement on 26 September, 2010 (see page 83). The Internal Audit and Risk Management Statement attests to the fact that the State Records Authority of NSW has complied with core policy requirements in the preceding year.

Information security

State Records is continually reviewing its information security mechanisms to maintain the security of its systems and data.

During the year, in response to unsatisfactory performance by existing anti-malware defences, State Records implemented new email security measures. This has resulted in a huge reduction in the amount of spam received.

In addition, a new Web content filter system was implemented to control the Western Sydney Reading Room Internet access.

Managing risks

Insurance premiums and claims

State Records pays premiums to the NSW Treasury Managed Fund for all insurance cover. Premiums are subject to a five-year hindsight adjustment process. State Records has carefully assessed major risk areas and believes that its insurance coverage is adequate.

Ethical conduct

State Records is potentially exposed to the risk of unethical and corrupt conduct by staff in relation to use of government information. State Records' current *Code of Conduct* is the same as the Department of Services, Technology and Administration but with an appendix covering matters distinctive to our responsibilities. All new staff are required to read and sign the *Code of Conduct*.

During the year all staff completed an online training program on ethical conduct.

Professional archivists working for State Records who are members of the Australian Society of Archivists are also subject to the Society's *Code*

of Ethics.

All State Records' Board members are required to sign a code of conduct and declaration of interests.

Response to Audit Office comment

The Audit Office has stated that the Authority is in breach of its enabling legislation. The Authority received advice from the Crown Solicitor concluding that if the Authority holds public records that are not accessible, the Authority is in breach of the State Records Act 1998.

The Authority holds some digital records that cannot be accessed because the particular equipment or information technology necessary to access the information in the record is not available to the Authority.

The Authority has made several unsuccessful attempts to secure funding for a whole of government digital archiving solution.

Insurance premiums paid to Treasury Managed Fund

Category	2006-07	2007-08	2008-09	2009-10
Workers' compensation	261,730	156,130	149,730	181,110
Motor vehicles	19,900	21,320	25,350	16,170
Property	38,850	51,130	39,130	38,950
Public liability	3,270	2,690	2,250	1,590
Other	3,550	780	600	670
Total	327,300	232,050	217,060	238,490

Claims history

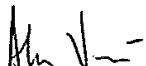
Category	2006-07	2007-08	2008-09	2009-10
Workers' compensation	18	18	16	10
Motor vehicles	4	5	2	2
Property	0	0	0	0
Public liability	0	0	0	0
Other	0	0	0	0
Total	22	23	18	12

Internal Audit and Risk Management Attestation for the 2009-2010 Financial Year for the State Records Authority of New South Wales (SRA)


I, Alan Ventress, Director of the State Records Authority of New South Wales (SRA) and I Professor Lucy Taksa, Chairperson of the Board for SRA am of the opinion that SRA has internal audit and risk management processes in place that are, in all material aspects, compliant with the core requirements set out in Treasury Circular NSW TC 09/08 *Internal Audit and Risk Management Policy*. These processes provide a level of assurance that enables senior management of SRA to understand, manage and satisfactorily control risk exposures.

I, Alan Ventress, Director of State Records Authority of New South Wales and I Professor Lucy Taksa, Chairperson of the Board for SRA am of the opinion that the Audit and Risk Committee for SRA (which is also the Audit and Risk Committee for DSTA) is constituted and operates in accordance with the independence and governance requirements of Treasury Circular NSW TC 09/08. The Chair and Members of the Audit and Risk Committee are:

- 1 Mr Peter Whitehead, Independent Chair (period of appointment from 1 September 2009 to 31 August 2012)
- 2 Ms Carolyn Burlew, Independent Member (period of appointment from 1 September 2009 to 31 August 2011)
- 3 Dr Gul Izmir, Independent Member (period of appointment from 8 October 2009 to 7 October 2011)
- 4 Ms Anne Skewes, Non-independent member (period of appointment from 24 March 2010 to 23 March 2013)
- 5 Mr Michael Silk, Non-independent member (period of appointment from 24 March 2010 to 23 March 2013)

Signed: 
Date: 19/8/2010

Alan Ventress
Director SRA

Signed: 
Date: 17/8/2010

Professor Lucy Taksa
Chairperson of the Board

In accordance with a resolution of the Governing Board of the State Records Authority of New South Wales

SRA Contact Officer John Burke

Position and Contact Details Deputy Director
(02) 9673 1788.

Managing our people

State Records NSW is a business unit of NSW Department of Services, Technology and Administration. An average of 120.4 fulltime equivalent (FTE) staff were employed at State Records NSW over the year. State Records also engaged 56 volunteers and some short term contract staff.

Workforce profile

At 24 June 2010 (census date), the number of staff employed at State Records NSW was 136 (or 123.2 FTE).

Overall, there was very little change in the number of fulltime equivalent employees from the previous year.

Recruitment action that was undertaken by State Records included 8 permanent appointments: 2 were new appointees, 6 were long term temporary staff (made permanent under s.31 of the Public Sector Employment and Management Act) and 1 staff member was promoted.

Also in addition to the above, 9 permanent staff resigned from State Records.

Achievements and highlights

- Volunteers worked approximately 3,587 hours repairing and rehousing records; adding 19,027 items to online indexes; and 7,390 items to Archives Investigator.

Equal Employment Opportunity (EEO)

State Records is committed to equity in all aspects of employment.

Distribution of full time equivalent (FTE) employees

	2008	2008 %	2009	2009 %	2010	2010 %
Managers	12.0	9.4	11.0	9.2	11.0	8.9
Professionals	35.4	27.7	37.0	31.0	35.2	28.6
Technicians and Trade Workers	2.0	1.6	2.0	1.7	3.0	2.4
Community and Personal Service Workers	0.0	0.0	0.0	0.0	0.0	0.0
Clerical and Administrative Workers)	56.6	44.4	50.9	42.6	59.0	47.9
Sales Workers	0.0	0.0	0.0	0.0	0.0	0.0
Machinery Operators and Drivers	12.6	9.9	11.6	9.7	10.0	8.1
Labourers	9.0	7.1	7.0	5.8	5.0	4.1
Total	127.6	100	119.5	100	123.2	100

Notes: Figures calculated using census date FTE figures.

Distribution of employees by public sector classifications and gradings

	2008	2008 %	2009	2009 %	2010	2010 %
Senior Executive Service	1	0.8	1	0.8	1.0	0.8
Senior Officer Classification	1	0.8	2	1.7	2.0	1.6
Archivists	30.6	24.0	30.0	25.1	29.1	23.7
Conservators	1.8	1.4	2	1.7	2.0	1.6
Clerks	39.2	30.7	71.9*	60.2*	78.0	63.3
Librarian/Library Technician	1	0.8	1	0.8	1.0	0.8
Clerical Officers	41.4	32.4	0*	0*	0	0
Other (Drivers, General Assistants)	11.6	9.1	11.6	9.7	10.1	8.2
Total	127.6	100	119.5	100	123.2	100

* On November 13 2008 the Crown Employees (Public Sector – Salaries 2008) was amended whereby the Clerical Officer classification was transitioned to Clerk classification. As at the reporting date (25 June 09) all clerical officers had been transitioned.

Notes: Previous to 2008 Librarians/Library technicians and Conservators were included within the "Other" figures. Figures calculated using census date FTE figures. Classification as per substantive grade.

Personnel policies and practices

State Records manages its Departmental employees in accordance with government human resource policies, including:

- equity in employment opportunities;
- ensuring health and safety at work, return to work programs, and providing confidential counselling and advice services;
- embracing diversity and gender balance: for women, people with disabilities, Aboriginal people and people with different ethnic backgrounds;
- fostering ethical conduct and individual performance;
- enabling staff to develop their skills, knowledge and careers;
- providing flexibility in working hours to support work/life balance; and
- supporting study leave for staff undertaking relevant courses.



NRS 4481 Government Printing Office glass negatives — 'Macquarie Lighthouse [showing original and current lighthouses] at South Head, Sydney (NSW) n.d'
Digital ID: 4481_a026_000248

Table A: Trends in the representation of EEO groups

	2007	2008	2009	2010	Benchmark or Target
Women	59%	63%	61%	61%	50%
Aboriginal people and Torres Strait Islanders	2.1%	2.8%	2.2%	1.5%	2%
People whose first language was not English	12%	12%	12%	13%	20%
People with a disability	11%	9%	10%	10%	12%
People with a disability requiring work-related adjustment	4.1%	4.1%	4.4%	4.4%	7%

Table B: Trends in the distribution of EEO groups across salary levels

	2007	2008	2009	2010	Benchmark or Target
Women	116	116	120	113	100
Aboriginal people and Torres Strait Islanders	n/a	n/a	n/a	n/a	100
People whose first language was not English	n/a	n/a	n/a	n/a	100
People with a disability	n/a	n/a	n/a	n/a	100
People with a disability requiring work-related adjustment	n/a	n/a	n/a	n/a	100

Notes: Staff numbers are as at 24 June. Excludes casual staff. A Distribution Index of 100 indicates that the centre of the distribution of the EEO group across salary levels is equivalent to that of other staff. Values less than 100 means that the EEO group tends to be more concentrated at lower salary levels than is the case for other staff. The more pronounced this tendency is, the lower the index will be. In some cases the index may be more than 100, indicating that the EEO group is less concentrated at lower salary levels. The Distribution Index is automatically calculated by the software provided by ODEOPE. The Distribution Index is not calculated where EEO group numbers are less than 20.

Managing our people

Multicultural Policies and Services Program Plan , Disability Plan, Action Plan for Women

State Records maintained existing strategies for ensuring positive outcomes for staff from linguistically and culturally diverse backgrounds, staff with a disability and female staff. These included:

- Monitoring personnel policies and practices to ensure they do not discriminate.
- Ensuring career development opportunities are available for all staff.

State Records is now covered by the Department of Services, Technology and Administration Multicultural Policies and Services Program Plan 2010-2014. State Records will seek to implement key strategies contained within the Multicultural Policies and Services Program Plan 2010-2014.

State Records has a dedicated position of Archivist – Aboriginal Liaison, staffed by an Aboriginal person, to strengthen relationships with Aboriginal people and communities and ensure our services are culturally appropriate.

Occupational Health and Safety (OHS)

State Records is committed to providing staff, contractors, visitors and volunteers with a safe and healthy working environment in order to prevent occupational injuries and illness. State Records continues to comply with the *NSW Occupational Health and Safety Act 2000* and the *Occupational Health and Safety Regulation 2001*.

State Records OHS Committee continues to function effectively in accordance with its Constitution, role and responsibilities. The Committee provides a consultative framework so that decision making on health and safety reflects the concerns of the whole workplace.

Achievements:

- State Records OHS Management System documentation has been upgraded and is now available on the State Records OHS intranet page
- Revitalising and updating the State Records OHS Intranet page onto the 'Plone' system.
- The State Records OHS Excellence Award was launched to promote and recognise excellence and innovation in OHS within State Records; three nominations were submitted. The award was given to Kathy Davies for her work in organising a prototype shelf divider for use with the valuable Births, Deaths and Marriage registers stored vertically on shelves. The dividers make it much safer to retrieve and return the registers to their original locations on the shelf.
- Training and education has been maintained as a vital part of continuously improving State Records OHS performance.
- The OHS Coordinator has worked closely with our insurer, TMF Allianz, to promote a speedy and effective return to work for all injured workers, which is reflected in the Workers Compensation statistics' for 2009-2010

As indicated the highlight of this year is the very pleasing reduction in workers compensation claims. There were three new claims during this year as compared with fifteen for the same period last year. This is a significant improvement. There was also a major reduction in incidents reported from forty two in the previous year to twenty four in this reporting year.

Occupational health and safety report

	2009-10
Incidents reported	24
New claims	3

Industrial relations

State Records has an Institutional Consultative Committee that comprises Public Service Association (PSA) delegates and management representatives. It meets quarterly.

Management/staff communication

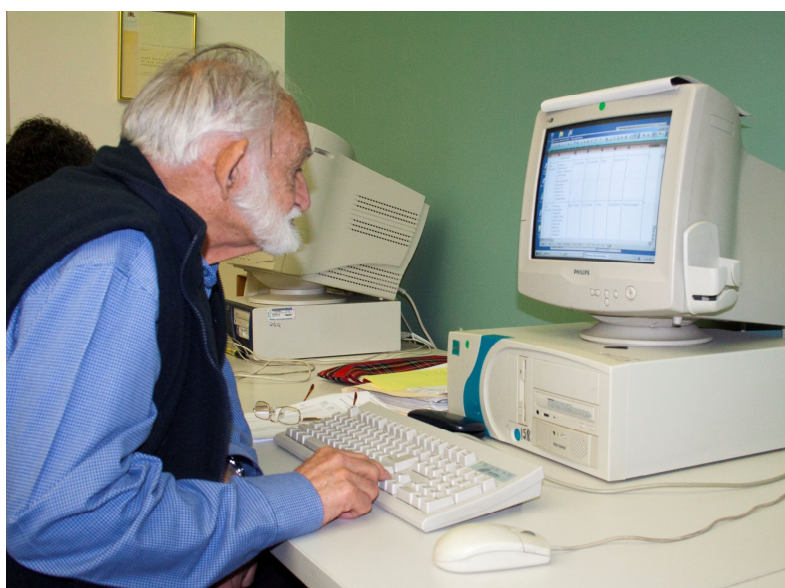
Senior management communicates to staff about strategic directions, issues affecting the organisation, activities and news through general staff meetings, program area meetings, email memoranda, an e-newsletter and

publication of reports on the Intranet. Staff have the opportunity to ask questions and provide feedback at staff meetings or to their supervisor or manager at any time.

Overseas travel

In 2009/10, one officer travelled overseas on government business, some at minimal or no cost to government (see table below).

Officer	Position	Purpose of travel	Benefits
Cassie Findlay	Senior Project Officer, Government Recordkeeping	To present and participate in the Archives New Zealand conference: <i>Future Perfect: Digital Continuity</i> conference 2010.	Opportunity for State Records Authority to obtain information about and access to expert advice on open sources preservation information.



Volunteer, Fred Morrison (Investigator Supervisor) checking Archives Investigator work

Managing our people

Volunteers program

State Records had 56 volunteers throughout the year who provided valuable assistance to help make the State archives collection more accessible. They worked on indexing, conservation and Archives Investigator projects.

Volunteers worked approximately 3,587 hours, repairing and rehousing records; adding 19,027 items to online indexes; and 7,390 items to Archives Investigator.

Volunteers are offered a social and educational program of events. They receive recognition for their years of service. Volunteers receive OHS training to minimise injury from data entry work.

Professional staff development

Approximately 25% of staff are qualified archivists, or have related qualifications such as librarianship. State Records as an organisation, and professional staff, are active participants in the Australian and international recordkeeping community. State Records is an organisational member of the Australian Society of Archivists, the Records Management Association of Australasia, and the International Council on Archives. Within available resources, State Records supports professional staff attending and speaking at conferences and seminars, holding positions on councils and committees, and writing for journals. Six staff were granted study leave to attend information systems/management, information services, digital communications and digital photography courses at a tertiary level.



Volunteers Wendy Kelly (left) and Iris Plaine-Lepine (right) confer during Archives Investigator listing of Primary Applications

Freedom of Information (FOI)

Freedom of Information (FOI)

State Records' *Statement of Affairs*, required to be published under the *Freedom of Information Act 1989*, is on our website and is updated every six months.

The following is a brief summary of FOI issues pertaining to State Records during the year.

No FOI requests were received in 2009-10.

FOI statistical information is provided in tables A to L.

Section A: New FOI requests

	Personal	Other	Total
A1 New (including transferred in)	0	0	0
A2 Brought forward	0	0	0
A3 Total to be processed	0	0	0
A4 Completed	0	0	0
A5 Transferred out	0	0	0
A6 Withdrawn	0	0	0
A7 Total processed	0	0	0
A8 Unfinished (carried forward)	0	0	0

Section B: Completed FOI requests

	Personal	Other	Total
B1 Granted in full	0	0	0
B2 Granted in part	0	0	0
B3 Refused	0	0	0
B4 Deferred	0	0	0
B5 Completed	0	0	0

Section C: Ministerial Certificates —

Section D: Formal consultations —

Section E: Amendment of personal records —

Section F: Notation of personal records —

Section G: FOI requests granted in part or

	Personal	Other	Total
G1 Section 19 (application incomplete, wrongly directed)	0	0	0
G2 Section 22 (deposit not paid)	0	0	0
G3 Section 25(1)(a1) (diversion of resources)	0	0	0
G4 Section 25(1)(a) (exempt)	0	0	0
G5 Section 25(1)(b), (c) (d), (otherwise available)	0	0	0
G6 Section 28(1)(b) (documents not held)	0	0	0
G7 Section 24(2) - deemed refused, over 21 days	0	0	0
G8 Section 31(4) (released to Medical Practitioner)	0	0	0
G9 Totals	0	0	0

Section H – Costs and fees of requests processed during the period (i.e. those included in lines A4, A5 and A6)

	Assessed costs	FOI fees received
All completed	0	0

Section I – Discounts allowed – numbers of FOI requests processed during the period where discounts were allowed

Type of discount	Personal	Other
Public interest	0	0
Financial hardship	0	0
Financial hardship	0	0
Significant corrections to	0	0
Totals	0	0

Section J: Days to process

	Personal	Other	Total
J1 0 — 21 days	0	0	0
J2 22 — 35 days	0	0	0
J3 Over 35 days	0	0	0
J4 Totals	0	0	0

Section K: Processing time

	Personal	Other	Total
K1 0 — 10 hrs	0	0	0
K2 11 — 20 hrs	0	0	0
K3 21 — 40 hrs	0	0	0
K4 Over 40 hrs	0	0	0
K5 Totals	0	0	0

Section L: Reviews and appeals

	08/09	09/10
L1 Number of internal reviews finalised	1	0
L2 Number of Ombudsman reviews	1	0
L3 Number of Administrative Decisions Tribunal appeals finalised	0	0

Details of Internal Review Results — in relation to internal reviews finalised during the period

Bases of Internal review	Personal 09/10	Other 09/10
Grounds on which internal review requested	0	0
L4 Access refused	0	0
L5 Deferred	0	0
L6 Exempt matter	0	0
L7 Unreasonable charges	0	0
L8 Charge unreasonably incurred	0	0
L9 Amendment refused	0	0
L10 Totals	0	0



NRS 9856 Maritime Services Board glass negatives 'View of Bradleys Head Lighthouse showing the Sydney Harbour Trust work boat 'Aurora' in the background, n.d'
Digital ID: 9856_a017_A01700026

Managing our physical assets and finances

State Records has property assets worth over \$55 million, primarily comprising land and repository buildings at the Western Sydney Records Centre, Kingswood. Our expenses for 2009-10 were budgeted at \$15.6 million, half of which was self-funded through provision of records storage and retrieval services to the public sector.

Asset management

Total Asset Management

The refurbishment of the Stage 2 building (built 1978, added to 1983) which commenced in early 2008 was completed in early 2009. No additional capital works were undertaken in 2009-10.

State Records' *Total asset management plan* addresses asset and infrastructure maintenance and disposal, capital investment, and office accommodation and is aligned to our results and services plan. It includes our *Asset maintenance plan* and an electronic *Asset register* used to conduct an annual stocktake.

State Records owns repositories and services buildings located on 20 hectares at the Western Sydney Records Centre. The complex includes 485 kilometres of purpose-built storage space for non-current records and archives, conservation facilities, offices, training facilities and a public reading room. We also lease five

repository spaces in Western Sydney, totalling 49 linear kilometres of records storage.

In The Rocks, our lease covers 1,152m² (one floor of Foreshore House). This lease is for offices, training facilities, exhibition area and a public reading room.

A capital works allocation from NSW Treasury of \$345,000 was granted (as per previous years) for various minor works including electronic infrastructure and maintenance.

Land disposal

No land was disposed of during the reporting period.



NRS 9856 Maritime Services Board glass negatives 'Lighthouse at Robertson's Point, Cremorne, n.d.'
Digital ID: 9856_a017_A017000019

Waste reduction and purchasing policy (WRAPP)

State Records supports reduction and reuse of waste and the purchase of recycled materials. In the conduct of our operations, we aim to avoid creating waste by expanding our online services and publishing. All records destroyed by the GRR are pulped and then recycled. Toner cartridges are also recycled and vegetation waste from landscaping is mulched and reused where possible. We have a Waste Reduction and Purchasing Policy (WRAPP) plan and report our progress to the Department of Environment and Climate Change.

A major component of our business is to advise public sector organisations about management of their official records, many of which are paper files and documents. We encourage public offices to manage records in digital form, to destroy records using environmentally sound methods, and to use recycled paper when printing records to be kept less than 10 years.

Government energy management policy

State Records continues to aim for reductions in energy consumption to support the National Greenhouse Strategy. The Western Sydney Records Centre comprises buildings and

equipment of different ages. Energy saving measures are incorporated when buildings and equipment are upgraded, such as the Stage 6 development in the previous financial year. State Records' electricity supply, provided under the NSW Government Electricity Supply Contract, includes a minimum of 6% Green Power.

During the year we reviewed vehicle fleet requirements in accordance with our *Fleet improvement plan*. Highlights for the year were:

- Our fleet exceeded the Government's target for environment performance scoring.
- Used E10 fuel and achieved nearly 100% compliance.



NRS 4481 Government Printing Office glass negatives—'Sugarloaf Point Lighthouse, Seal Rocks (NSW), n.d.'

Digital ID: 4481_a026_000561

Energy consumption

	2005-06	2006-07	2007-08	2008-09	2009-10
Electricity (kwh)	3,075,247	3,195,190	3,165,886	3,217,322	3,403,342
Green electricity (kwh)	176,347	194,996	192,771	197,007	209,034
Gas, natural (mj)	6,915,762	7,993,219	8,664,039	9,004,334	11,306,667

Managing our physical assets and finances

Financial management

State Records' financial statements were prepared on an accrual accounting basis for the year ending 30 June 2010. The financial position of the Government Records Repository is reported in the 'Performance and outlook' section.

Revenue increased

This year the revenue raised by State Records through storage and retrieval services provided by the Government Records Repository increased. Revenue from other services (including product and publication sales, copying service) increased this year, although this has fluctuated over the last five years.

Expenditure categories show little fluctuation

Percentage of expenditure under various categories has remained fairly constant over the past five years. An annual contribution from GRR surplus to fund archives preservation and accessibility (copying, exhibitions) has been in place since 2001. The allocation for 2009-10

was \$1,150,000. The Board ratified an allocation of \$1,200,000 for 2010-11.

Efficient Corporate Services profile according to benchmarking

State Records was assessed as having one of the most efficient corporate services profiles compared against 25 agencies in the 2006 Corporate Services Reform Program Data Collection. Although this benchmarking analysis has not continued, State Records still believes it is very efficient in this activity, spending only 5.3% of budget on corporate services.

Gross revenue raised (\$)

	2005-06	2006-07	2007-08	2008-09	2009-10
Total consolidated Fund programs	904,195	1,162,477	1,289,322	1,100,580	848,649
Government Records Repository services	8,838,946	10,067,722	10,973,661	11,311,178	11,699,250
Total revenue	9,743,141	11,230,199	12,262,983	12,411,758	12,547,899

Expenditure by categories (%)

	2005-06	2006-07	2007-08	2008-09	2009-10
Salaries and allowances	62	62	65	63	64
Rental and cleaning	5	5	5	5	5
Stores	1	1	2	1	1
Printing and publications	1	1	0	0	0
Gas and electricity	3	3	3	3	4
Other	28	28	25	28	26
Total	100	100	100	100	100

Managing our physical assets and finances

Payment performance indicators

State Records aims to pay all creditors within their terms. Accounts payable are settled by the due date or within thirty days of the due date. In the current reporting period State Records averaged higher than its performance target for all quarters. During the year there were no instances leading to penalty interest payments being made on overdue accounts.

Creditors Ageing

Performance indicators set for the payment of accounts were:

- at least 90% of accounts to be paid by the due date or within less than thirty days.

- no more than 10% of accounts to be more than thirty days overdue.

Consultants

Four consultants were engaged at a total cost of \$53,223. One of these four consultants was an auditor employed by the Internal Audit Bureau who was engaged to undertake management audits at a cost of \$42,023 .

Credit card certification

No irregularities in the use of corporate credit cards have been recorded during the year. The Director certifies that credit card use has been in accordance with Premier's memoranda and Treasurer's directions.

Employee related costs

	2005-06	2006-07	2007-08	2008-09	2009-10
Salaries, wages, national wage	7,546,088	7,929,613	8,774,463	9,006,676	9,020,224
Leave on Termination – Provision	100,856	46,849	(53,160)	(41,593)	(39,918)
Overtime	165,287	179,401	191,388	172,541	174,569
Workers compensation	261,360	261,730	399,006	151,526	182,870
Payroll Tax	450,359	491,633	538,982	500,829	509,879
Superannuation	696,874	741,538	814,772	863,142	896,966
Fringe Benefit Tax	32,359	24,225	31,264	20,198	27,640
Total	9,253,183	9,674,989	10,696,715	10,673,319	10,772,230

Timeliness of account payments

	Q1	Q2	Q3	Q4
Target –paid on time (%)	90	90	90	90
Actual—paid on time (%)	100	100	100	100
Value paid on time (\$'000)	5,933	4,340	4,029	3,933
Total value of accounts paid (\$'000)	5,937	4,341	4,049	3,952

Creditors ageing

	Q1	Q2	Q3	Q4
Current i.e. within due date (\$'000)	189	246	140	146
< 30 days overdue (\$'000)	3	-	3	-
> 30 days and < 60 days overdue(\$'000)	-	-	6	-
> 60 days and < 90 days overdue(\$'000)	-	-	-	-
> 90 days overdue (\$'000)	-	-	-	-



NRS 13932 Original prints of Photographs used in NSW trains 'Harbour light at Wollongong (NSW) n.d.'

Digital ID: 12932_a012_a012X244600081

Audited financial statements



GPO BOX 12
Sydney NSW 2001

INDEPENDENT AUDITOR'S REPORT

State Records Authority of New South Wales

To Members of the New South Wales Parliament

I have audited the accompanying financial statements of the State Records Authority of New South Wales (the Authority), which comprise the statement of financial position as at 30 June 2010, the statement of comprehensive income, statement of changes in equity and statement of cash flows for the year then ended, a summary of significant accounting policies and other explanatory notes.

Auditor's Opinion

In my opinion, the financial statements:

- present fairly, in all material respects, the financial position of the Authority as at 30 June 2010, and its financial performance for the year then ended in accordance with Australian Accounting Standards (including the Australian Accounting Interpretations)
- are in accordance with section 41B of the *Public Finance and Audit Act 1983* (the PF&A Act) and the Public Finance and Audit Regulation 2010.

My opinion should be read in conjunction with the rest of this report.

The Board's Responsibility for the Financial Statements

The members of the Board are responsible for the preparation and fair presentation of the financial statements in accordance with Australian Accounting Standards (including the Australian Accounting Interpretations) and the PF&A Act. This responsibility includes establishing and maintaining internal controls relevant to the preparation and fair presentation of the financial statements that are free from material misstatement, whether due to fraud or error; selecting and applying appropriate accounting policies; and making accounting estimates that are reasonable in the circumstances.

Auditor's Responsibility

My responsibility is to express an opinion on the financial statements based on my audit. I conducted my audit in accordance with Australian Auditing Standards. These Auditing Standards require that I comply with relevant ethical requirements relating to audit engagements and plan and perform the audit to obtain reasonable assurance whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgement, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal controls relevant to the Authority's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the Authority's internal controls. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of accounting estimates made by the members of the Board, as well as evaluating the overall presentation of the financial statements.

I believe that the audit evidence I have obtained is sufficient and appropriate to provide a basis for my audit opinion.

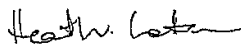
My opinion does *not* provide assurance:

- about the future viability of the Authority,
- that it has carried out its activities effectively, efficiently and economically, or
- about the effectiveness of its internal controls.

Independence

In conducting this audit, the Audit Office of New South Wales has complied with the independence requirements of the Australian Auditing Standards and other relevant ethical requirements. The PF&A Act further promotes independence by:

- providing that only Parliament, and not the executive government, can remove an Auditor-General, and
- mandating the Auditor-General as auditor of public sector agencies but precluding the provision of non-audit services, thus ensuring the Auditor-General and the Audit Office of New South Wales are not compromised in their role by the possibility of losing clients or income.



Heather Watson
Director, Financial Services

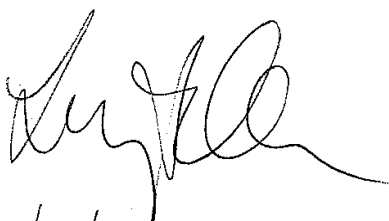
5 October 2010
SYDNEY

STATE RECORDS AUTHORITY OF NEW SOUTH WALES
Statement in Accordance with Section 41C(1)(c)
of Public Finance and Audit Act, 1983

Pursuant to section 41C(1)(c) of the Public Finance and Audit Act we state that:

- a) the financial statements and notes thereto, exhibit a true and fair view of the financial position and transactions for the year ended 30 June 2010.
- b) the financial statements have been prepared in accordance with applicable Australian Accounting Standards, the requirements of the Public Finance and Audit Act and Regulations, and the Treasurer's Directions.
- c) we are not aware of any circumstances which would render any particulars included in the financial statements to be misleading, or inaccurate.

SIGNED:



DATE: 23/9/10

CHAIRPERSON OF THE BOARD

SIGNED:



DATE: 17 September 2010

DIRECTOR

State Records Authority of New South Wales
Statement of Comprehensive Income for the Year Ended 30 June 2010

	Notes	Actual 2010 \$'000s	Actual 2009 \$'000s
Revenue			
Sale of goods and services	2(a)	11,923	11,591
Investment revenue	2(b)	97	111
Grants and contributions	2(c)	<u>5,934</u>	<u>6,068</u>
Total Revenue		17,954	17,770
<hr/>			
Expenses			
Operating expenses			
Personnel services expense	3(a)	10,772	10,673
Other operating expenses	3(b)	3,577	3,619
Depreciation and amortisation	3(c)	2,139	2,149
Finance costs	3(d)	<u>272</u>	<u>370</u>
Total Expenses		16,760	16,811
<hr/>			
SURPLUS / (DEFICIT) FOR THE YEAR		1,194	959
<hr/>			
Other Comprehensive Income		-	-
<hr/>			
TOTAL COMPREHENSIVE INCOME FOR THE YEAR		1,194	959
<hr/>			

The above Statement of Comprehensive Income should be read in conjunction with the accompanying notes.

State Records Authority of New South Wales
Statement of Changes in Equity for the Year Ended 30 June 2010

	Notes	Accumulated Funds \$'000s	Asset Revaluation Surplus \$'000s	Total \$'000s
Balance at 1 July 2009		<u>40,213</u>	<u>12,877</u>	<u>53,090</u>
Surplus / (Deficit) for the Year		1,194	-	1,194
Balance at 30 June 2010		<u><u>41,407</u></u>	<u><u>12,877</u></u>	<u><u>54,284</u></u>

	Notes	Accumulated Funds \$'000s	Asset Revaluation Surplus \$'000s	Total \$'000s
Balance at 1 July 2008		<u>39,254</u>	<u>12,877</u>	<u>52,131</u>
Surplus / (Deficit) for the Year		959	-	959
Balance at 30 June 2009		<u><u>40,213</u></u>	<u><u>12,877</u></u>	<u><u>53,090</u></u>

The above Statement of Changes in Equity should be read in conjunction with the accompanying notes.

State Records Authority of New South Wales
Statement of Financial Position as at 30 June 2010

	Notes	Actual 2010 \$'000s	Actual 2009 \$'000s
ASSETS			
Current Assets			
Cash and cash equivalents	6	4,196	3,219
Trade and other receivables	7	3,058	2,785
Inventories	8	88	103
Total Current Assets		<u>7,342</u>	<u>6,107</u>
Non-Current Assets			
Property, plant and equipment			
-Land and Buildings	9(a)	47,420	49,039
-Plant and Equipment		396	382
-Infrastructure Systems		6,041	6,082
Total Property, plant and equipment		<u>53,857</u>	<u>55,503</u>
Intangible assets	10	50	43
Total Non-Current Assets		<u>53,907</u>	<u>55,546</u>
Total Assets		<u>61,249</u>	<u>61,653</u>
LIABILITIES			
Current Liabilities			
Trade and other payables	11	920	671
Provisions	12	2,198	2,080
Borrowings	13	1,869	-
Total Current Liabilities		<u>4,987</u>	<u>2,751</u>
Non-Current Liabilities			
Borrowings	13	1,978	5,812
Total Non-Current Liabilities		<u>1,978</u>	<u>5,812</u>
Total Liabilities		<u>6,965</u>	<u>8,563</u>
Net Assets		<u>54,284</u>	<u>53,090</u>
EQUITY			
Reserves		12,877	12,877
Accumulated funds		41,407	40,213
Total Equity		<u>54,284</u>	<u>53,090</u>

The above Statement of Financial Position should be read in conjunction with the accompanying

State Records Authority of New South Wales
Statement of Cash Flows for the Year Ended 30 June 2010

	Notes	Actual 2010 \$'000s	Actual 2009 \$'000s
CASH FLOWS FROM OPERATING ACTIVITIES			
Payments			
Personnel services expense		(10,254)	(10,140)
Finance costs		(283)	(394)
Other		(5,094)	(5,283)
Total Payments		<u>(15,631)</u>	<u>(15,817)</u>
Receipts			
Sale of goods and services		11,817	11,536
Interest received		72	151
Grants and contributions		7,135	7,260
Total Receipts		<u>19,024</u>	<u>18,947</u>
NET CASH FLOWS FROM OPERATING ACTIVITIES	16	<u>3,393</u>	<u>3,130</u>
CASH FLOWS FROM INVESTING ACTIVITIES			
Purchases of property plant and equipment		(418)	(983)
Purchases of Intangibles		(34)	(37)
NET CASH FLOWS FROM INVESTING ACTIVITIES		<u>(452)</u>	<u>(1,020)</u>
CASH FLOWS FROM FINANCING ACTIVITIES			
Proceeds from borrowings and advances		-	-
Repayments of borrowings and advances		(1,964)	(1,173)
NET CASH FLOWS FROM FINANCING ACTIVITIES		<u>(1,964)</u>	<u>(1,173)</u>
NET INCREASE / (DECREASE) IN CASH		977	937
Cash and Cash Equivalents at the beginning of the year		3,219	2,282
CASH AND CASH EQUIVALENTS AT THE END OF THE YEAR	6	<u>4,196</u>	<u>3,219</u>

The above Statement of Cash Flows should be read in conjunction with the accompanying notes.

STATE RECORDS AUTHORITY OF NEW SOUTH WALES
Notes to and forming Part of the Financial Statements
30 June 2010

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STATE RECORDS AUTHORITY OF NEW SOUTH WALES
Notes to and forming Part of the Financial Statements
30 June 2010

1. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

(a) Reporting Entity

The State Records Authority of New South Wales (Authority), as a reporting entity, includes the Government Records Repository.

The Authority is a statutory body of the NSW State government established by the State Records Act 1998. The Authority is a not-for-profit entity (as profit is not its principal objective). The Authority is consolidated as part of the NSW Total State Sector Accounts.

These financial statements have been authorised for issue by the Chairperson of the Board and the Director of the Authority on 23 September 2010.

(b) Basis of Preparation

The agency's financial statements are general purpose financial statements which have been prepared in accordance with:

- applicable Australian Accounting Standards (which include Australian Accounting Interpretations);
- the requirements of the *Public Finance and Audit Act 1983* and Regulation 2010; and
- Treasurer's Directions

Property, plant and equipment and assets (or disposal groups) held for sale are measured at fair value. Other financial statement items are prepared on an accrual basis and based on historical costs.

Judgements, key assumptions and estimations management has made are disclosed in the relevant notes to the financial statements.

All amounts are rounded to the nearest one thousand dollars and are expressed in Australian currency.

(c) Statement of Compliance

The consolidated financial statements and notes comply with Australian Accounting Standards, which include Australian Accounting Interpretations.

Certain new accounting standards and interpretations have been published that are not mandatory for 30 June 2010 reporting periods. The new Accounting Standards and Interpretations have not yet been adopted and are not yet effective.

It is considered that the adoption of these Standards and Interpretations in future periods will have no material financial impact on the financial statements of the Authority.

(d) Revenue Recognition

Revenue is measured at the fair value of the consideration or contribution received or receivable. Additional comments regarding the accounting policies for the recognition of income are discussed below.

(i) Sale of Goods

Revenue from the sale of goods is recognised as revenue when the Authority transfers the significant risks and rewards of ownership of the assets.

(ii) Rendering of Services

Revenue is recognised when the service is provided.

(iii) Investment revenue

Interest revenue is recognised using the effective interest method as set out in AASB 139 *Financial Instruments: Recognition and Measurement*.

STATE RECORDS AUTHORITY OF NEW SOUTH WALES
Notes to and forming Part of the Financial Statements
30 June 2010

(iv) Grants and Contributions

Grants and contributions are generally recognised as income when the Authority obtains control over the assets comprising the grants and contributions. Control over grants and contributions is normally on receipt.

(e) *Personnel Services Benefits and Other Payables*

The Authority and the Department of Services, Technology & Administration (then called the Department of Commerce) entered into a Memorandum of Understanding effective from 1 November 2006.

The Memorandum of Understanding sets out the arrangements for employment and payment of staff working at the State Records Authority which are considered employees of the Department of Services, Technology & Administration. All payments to personnel and related obligations are done in the Department of Services, Technology & Administration name and ABN and are classified as "Personnel Services" costs in these financial statements.

(i) Personnel Services - Salaries and Wages, Annual Leave, Sick Leave and On-Costs

Liabilities for personnel services salaries and wages (including non-monetary benefits), annual leave and paid sick leave that fall due wholly within 12 months of the reporting date are recognised and measured in respect of employees' services up to the reporting date at undiscounted amounts based on the amounts expected to be paid when the liabilities are settled.

If applicable, long-term annual leave that is not expected to be taken within twelve months is measured at present value in accordance with AASB 119 *Employee Benefits*. Market yields on government bonds are used to discount long-term annual leave.

Unused non-vesting sick leave does not give rise to a liability as it is not considered probable that sick leave taken in the future will be greater than the benefits accrued in the future.

The outstanding amounts of payroll tax, workers' compensation insurance premiums and fringe benefits tax, which are consequential to the provision of personnel services by the Department of Services, Technology & Administration are recognised as liabilities and expenses where the personnel services to which they relate have been recognised.

(ii) Long Service Leave and Superannuation

The liabilities for long service leave and superannuation are assumed by the Department of Services, Technology & Administration. Accounting for the liability as having been extinguished, resulting in the amount assumed being shown as part of Grants and Contributions under revenue.

Long service leave is measured at present value in accordance with AASB 119 *Employee Benefits*. This is based on the application of certain factors (specified in NSWTC 09/04) to employees with five or more years of service, using current rates of pay. These factors were determined based on an actuarial review to approximate present value.

The superannuation expense for the financial year is determined by using the formulae specified in NSWTC 09/01. The expense for certain superannuation schemes (i.e. Basic Benefit and First State Super) is calculated as a percentage of the employees' salary. For other superannuation schemes (i.e. State Superannuation Scheme and State Authorities Superannuation Scheme), the expense is calculated as a multiple of the employees' superannuation contributions.

(iii) Government Records Repository

As the Government Records Repository (GRR) is a commercial arm of the Authority it is required to meet all liabilities for both long service leave and superannuation. As a contributor to the Non-Budget Long Service Leave Pool GRR makes long service leave payments directly to the staff working at the GRR and subsequently receive reimbursement from the pool for all of the payments made. The amount of payments expected to be made to staff working at the GRR and an equivalent amount expected to be reimbursed by the pool had been recognised as liabilities and assets separately. In respect of Superannuation, payments are made to the State

STATE RECORDS AUTHORITY OF NEW SOUTH WALES
Notes to and forming Part of the Financial Statements
30 June 2010

Authorities Superannuation Board on an estimated fully funded basis. Any unfunded superannuation liability is accepted by the Crown.

(f) *Borrowing costs*

Borrowing costs are recognised as expenses in the period in which they are incurred, in accordance with Treasury's mandate per TC09/03 to general government sector agencies.

(g) *Insurance*

The Authority's insurance activities are conducted through the NSW Treasury Managed Fund Scheme of self insurance for Government agencies. The expense (premium) is determined by the Fund Manager based on past experience.

(h) *Accounting for the Goods and Services Tax (GST)*

Revenues, expenses and assets are recognised net of the amount of GST, except where:

- the amount of GST incurred by the Authority as a purchaser that is not recoverable from the Australian Taxation Office is recognised as part of the cost of acquisition of an asset or as part of an item of expense.
- receivables and payables are stated with the amount of GST included.

Cash flows are included in the Statement of Cash Flows on a gross basis and the GST component of cash flows arising from investing and financing activities which are recoverable from or payable to the ATO are classified as operating cash flows.

(i) *Acquisitions of Assets*

The cost method of accounting is used for the initial recording of all acquisitions of assets controlled by the agency. Cost is the amount of cash or cash equivalents paid or the fair value of the other consideration given to acquire the asset at the time of its acquisition or construction or, where applicable, the amount attributed to that asset when initially recognised in accordance with the specific requirements of other Australian Accounting Standards.

Assets acquired at no cost, or for nominal consideration, are initially recognised at their fair value at the date of acquisition.

Fair value is the amount for which an asset could be exchanged between knowledgeable, willing parties in an arm's length transaction.

Where payment for an item is deferred beyond normal credit terms, its cost is the cash price equivalent, i.e. the deferred payment amount is effectively discounted at an asset-specific rate.

(j) *Capitalisation Thresholds*

Property, plant and equipment and intangible assets costing \$5,000 and above individually (or forming part of a network) are capitalised.

(k) *Revaluation of Property, Plant and Equipment*

Physical non-current assets are valued in accordance with the "Valuation of Physical Non-Current Assets at Fair Value" Policy and Guidelines Paper (TPP 07-1). This policy adopts fair value in accordance with AASB 116 *Property, Plant and Equipment*.

Property, plant and equipment is measured on an existing use basis, where there are no feasible alternative uses in the existing natural, legal, financial and socio-political environment. However, in the limited circumstances where there are feasible alternative uses, assets are valued at their highest and best use.

Fair value of property, plant and equipment is determined based on the best available market evidence, including current market selling prices for the same or similar assets. Where there is no available market evidence, the asset's fair value is measured at its market buying price, the best indicator of which is depreciated replacement cost.

The agency revalues each class of property, plant and equipment at least every five years or with

STATE RECORDS AUTHORITY OF NEW SOUTH WALES
Notes to and forming Part of the Financial Statements
30 June 2010

sufficient regularity to ensure that the carrying amount of each asset in the class does not differ materially from its fair value at reporting date. The last revaluation was completed on 30 June 2008 and was based on an independent assessment.

Non-specialised assets with short useful lives are measured at depreciated historical cost, as a surrogate for fair value.

When revaluing non-current assets by reference to current prices for assets newer than those being revalued (adjusted to reflect the present condition of the assets), the gross amount and the related accumulated depreciation are separately restated.

For other assets, any balances of accumulated depreciation at the revaluation date in respect of those assets are credited to the asset accounts to which they relate. The net asset accounts are then increased or decreased by the revaluation increments or decrements.

Revaluation increments are recognised in other comprehensive income, except that, to the extent that an increment reverses a revaluation decrement in respect of that class of asset previously recognised as an expense in the surplus / deficit, the increment is recognised immediately as revenue in the surplus / deficit.

Revaluation decrements are recognised immediately as expenses in the surplus / deficit, except that, to the extent that a credit balance exists in the asset revaluation reserve in respect of the same class of assets, they are recognised in other comprehensive income.

As a not-for-profit entity, revaluation increments and decrements are offset against one another within a class of non-current assets, but not otherwise.

Where an asset that has previously been revalued is disposed of, any balance remaining in the asset revaluation reserve in respect of that asset is transferred to accumulated funds.

(l) Impairment of Assets

At each reporting date, the entity reviews the carrying values of its tangible and intangible assets to determine whether there is any indication that those assets have been impaired. If such an indication exists, the recoverable amount of the asset, being the higher of the asset's fair value less costs to sell and value in use, is compared to the asset's carrying value. Any excess of the asset's carrying value over its recoverable amount is expensed to the surplus/deficit for the year.

(m) Assets Not Able to be Reliably Measured

The Authority does not hold any assets not able to be reliably measured other than those referred to in Note 9(b).

(n) Depreciation of Property Plant and Equipment

Depreciation is provided for on a straight-line basis for all depreciable assets so as to write off the depreciable amount of each asset as it is consumed over its useful life to the agency.

All material separately identifiable components of assets are depreciated over their shorter useful lives.

Land is not a depreciable asset.

Major depreciation periods are:

Buildings & Shelving 40 years

Furniture and Fittings 10 years

Computers 3 years

Plant and Equipment 7 years

(o) Major Inspection Costs

The labour cost of performing major inspections for faults is recognised in the carrying amount of an asset as a replacement of a part, if the recognition criteria are satisfied.

STATE RECORDS AUTHORITY OF NEW SOUTH WALES
Notes to and forming Part of the Financial Statements
30 June 2010

(p) *Inventories*

Inventories held for distribution are stated at the lower cost and current replacement cost. Inventories (other than those held for distribution) are stated at the lower cost and net realisable value. Cost is calculated using the weighted average cost or "first in first out" method.

The cost of inventories acquired at no cost or for nominal consideration is the current replacement cost as at the date of acquisition. Current replacement cost is the cost the agency would incur to acquire the asset on the reporting date. Net realisable value is the estimated selling price less the estimated costs necessary to make the sale.

(q) *Maintenance*

Day-to-day servicing costs or maintenance are charged as expenses as incurred, except where they relate to the replacement of a part or component of an asset, in which case the costs are capitalised and depreciated.

(r) *Leased Assets*

A distinction is made between finance leases which effectively transfer from the lessor to the lessee substantially all the risks and benefits incidental to ownership of the leased assets, and operating leases under which the lessor effectively retains all such risks and benefits.

Where a non-current asset is acquired by means of a finance lease, the asset is recognised at its fair value at the commencement of the lease term. The corresponding liability is established at the same amount. Lease payments are allocated between the principal component and the interest expense.

Operating lease payments are expensed to surplus/deficit in the periods in which they are incurred.

(s) *Intangible Assets*

The agency recognises intangible assets only if it is probable that future economic benefits will flow to the agency and the cost of the asset can be measured reliably. Intangible assets are measured initially at cost. Where an asset is acquired at no or nominal cost, the cost is its fair value as at the date of acquisition.

The useful lives of intangible assets are assessed to be finite.

Intangible assets are subsequently measured at fair value only if there is an active market. As there is no active market for the agency's intangible assets, the assets are carried at cost less any accumulated amortisation.

The agency's intangible assets are amortised using the straight line method over a period of 3 years for computer software.

(t) *Financial Instruments*

The Authority's principal financial instruments policies are outlined below. These financial instruments arise directly from the Authority's operations or are required to finance its operations. The Authority does not enter into or trade financial instruments for speculative purposes and does not use financial derivatives.

i) *Cash*

Cash comprises cash on hand and bank balances. Interest is earned on daily bank balances and paid six monthly by Treasury as the Authority is part of the NSW Treasury Cash Management System.

ii) *Loans and receivables*

Loans and receivables are recognised initially at fair value, usually based on the transaction cost or face value. Subsequent measurement is at amortised cost using the effective interest method, less an allowance for any impairment of receivables. Short-term receivables with no stated interest rate are measured at the original invoice amount where the effect of discounting is immaterial. An allowance for impairment of receivables is established when there is objective evidence that the entity will not be able to collect all amounts due. The amount of the allowance is the difference between the asset's carrying amount and the present value of estimated future cash flows, discounted at the effective interest rate. Bad debts are written off as incurred.

STATE RECORDS AUTHORITY OF NEW SOUTH WALES
Notes to and forming Part of the Financial Statements
30 June 2010

(iii) *Borrowings*

Loans are not held for trading and are recognised at amortised cost using the effective interest method. Any finance lease liability is determined in accordance with AASB 117 *Leases*.

(iv) *Payables*

These amounts represent liabilities for goods and services provided to the agency and other amounts, including interest. Payables are recognised initially at fair value, usually based on the transaction cost or face value. Subsequent measurement is at amortised cost using the effective interest method. Short-term payables with no stated interest rate are measured at the original invoice amount where the effect of discounting is immaterial.

(v) *Interest Bearing Liabilities*

All loans are valued at current capital value.

(u) *Taxation Status*

The activities of the Authority are exempt of income tax.

STATE RECORDS AUTHORITY OF NEW SOUTH WALES
Notes to and forming part of the financial statements
30th June 2010

2. REVENUE

	2010	2009
	\$'000s	\$'000s
(a) Sale of goods and services		
Sale of goods		
Publications	41	40
Boxes	350	345
Rendering of services		
Storage	8,938	8,557
Retrieval	1,808	1,899
Consultancy	329	268
Photocopies	157	154
Training	2	10
Destruction	182	140
Other	116	178
	<u>11,923</u>	<u>11,591</u>
<hr/>		
(b) Investment revenue		
Interest	<u>97</u>	<u>111</u>
(c) Grants and contributions from Department of Services, Technology & Administration		
Recurrent grants	5,061	5,020
Capital grants	345	345
Personnel services benefits and liabilities provided free of charge	330	466
NSW Department of Premier and Cabinet contribution to the operation of the Aboriginal Trust Fund Repayment Scheme (ATFRS) at State Records Authority	198	187
Former NSW Department of Aboriginal Affairs contribution to the "In Living Memory" exhibition	-	50
	<u>5,934</u>	<u>6,068</u>

STATE RECORDS AUTHORITY OF NEW SOUTH WALES
Notes to and forming part of the financial statements
30 June 2010

3. EXPENSES	2010	2009
	\$'000s	\$'000s
(a) Operating expenses		
Personnel services expense		
Salaries and wages (including recreation leave)	8,845	8,763
Superannuation - defined benefit plan	304	277
Superannuation - defined contribution plans	593	586
Long service leave	310	375
Workers compensation insurance	183	151
Payroll tax and fringe benefit tax	537	521
	<u>10,772</u>	<u>10,673</u>
There were no personnel services costs capitalised and excluded from above.		
(b) Other operating expenses		
Auditor's remuneration		
- audit of the financial statements	42	39
Cost of Sales - Boxes	210	223
Cost of Sales - Publications	23	31
Operating lease rental expense		
- minimum lease payments	423	412
Maintenance	577	661
Insurance	69	67
Electricity, Gas and Rates	628	443
Minor stores	191	165
Consultants	53	103
Motor vehicle	283	332
Postage, telephone, printing	155	164
Promotional advertising	14	6
Grant expenses	45	60
Rental expense		
- records storage (offsite)	229	203
Payroll processing	132	132
Training	31	40
Cleaning	164	153
Other	308	385
	<u>3,577</u>	<u>3,619</u>
(c) Depreciation and amortisation expense		
Depreciation - Buildings	1,735	1,720
- Furniture and fittings	6	7
- Computers	86	100
- Shelving	180	178
- Other plant and equipment	105	129
	<u>2,112</u>	<u>2,134</u>
Amortisation - Computer software	<u>27</u>	<u>15</u>
Total Depreciation and amortisation	<u>2,139</u>	<u>2,149</u>
(d) Finance costs		
T-Corp Loan interest	272	365
Other interest charges	-	5
	<u>272</u>	<u>370</u>

STATE RECORDS AUTHORITY OF NEW SOUTH WALES
Notes to and Forming Part of the Financial Statements
30 June 2010

	2010 \$'000s	2009 \$'000s
4. GAIN / (LOSS) ON DISPOSAL OF NON-CURRENT ASSETS		
Loss on disposal of Computers & Plant & Equipment		
Written down value of assets disposed	-	2
Proceeds from sale	-	(2)
Net Loss on disposal	<u>-</u>	<u>-</u>
5. CONDITIONS ON CONTRIBUTIONS		
There are no conditions placed on contributions other than to carry out the Programs / Activities of the Authority.		
6. CURRENT ASSETS - CASH AND CASH EQUIVALENTS		
Cash at bank and on hand (per Statement of Financial Position)	<u>4,196</u>	<u>3,219</u>
Closing cash and cash equivalents (per Statement of Cash Flows)	<u>4,196</u>	<u>3,219</u>
7. CURRENT ASSETS - TRADE AND OTHER RECEIVABLES		
Sale of goods and services	1,679	1,574
Prepayments	69	71
Long service leave reimbursement from Dept. of Services, Technology & Admin.	1,162	1,027
Interest receivable	63	38
Other	85	75
	<u>3,058</u>	<u>2,785</u>
8. CURRENT ASSETS - INVENTORIES		
Held for resale		
Stock on hand - at cost	<u>88</u>	<u>103</u>

STATE RECORDS AUTHORITY OF NEW SOUTH WALES
Notes to and forming part of the financial statements
30th June 2010

9 (a). NON-CURRENT ASSETS - PROPERTY, PLANT & EQUIPMENT

	Land and Buildings \$'000	Plant and Equipment \$'000	Infrastructure Systems \$'000	Total \$'000
At 30 June 2009				
Gross carrying amount	72,862	1,172	8,291	82,325
Accumulated depreciation and impairment	23,823	790	2,209	26,822
Net carrying amount	<u>49,039</u>	<u>382</u>	<u>6,082</u>	<u>55,503</u>
At 1 July 2010 - fair value				
Gross carrying amount	72,978	1,286	8,408	82,672
Accumulated depreciation and impairment	25,558	890	2,367	28,815
Net carrying amount	<u>47,420</u>	<u>396</u>	<u>6,041</u>	<u>53,857</u>

Reconciliation

A reconciliation of the carrying amount of each class of property, plant and equipment at the beginning and end of each reporting period are set out below.

Year ended 30 June 2010

	Land \$'000	Buildings \$'000	Buildings Work in Progress \$'000	Furniture & Fittings \$'000	Shelving \$'000	Computers \$'000	Plant and Equipment \$'000	Total \$'000
Net carrying amount at start of year	8,000	41,039	-	32	5,878	172	382	55,503
Additions	-	60	56	3	123	105	119	466
Disposals	-	-	-	(2)	-	(113)	(4)	(119)
Depreciation expense	-	(1,735)	-	(6)	(180)	(86)	(105)	(2,112)
Reclassifications/Adjustments	-	-	-	-	-	-	-	-
Depreciation written back on disposals	-	-	-	2	-	113	4	119
Net carrying amount at end of year	8,000	39,364	56	29	5,821	191	396	53,857

Year ended 30 June 2009

	Land \$'000	Buildings \$'000	Buildings Work in Progress \$'000	Furniture & Fittings \$'000	Shelving \$'000	Computers \$'000	Plant and Equipment \$'000	Total \$'000
Net carrying amount at start of year	8,000	41,093	902	10	6,055	179	488	56,727
Additions	-	59	705	-	-	91	27	882
Disposals	-	-	-	-	-	(98)	(52)	(150)
Depreciation expense	-	(1,720)	-	(7)	(178)	(100)	(129)	(2,134)
Reclassifications/Adjustments	-	1,607	(1,607)	29	1	2	(2)	30
Depreciation written back on disposals	-	-	-	-	-	98	50	148
Net carrying amount at end of year	8,000	41,039	-	32	5,878	172	382	55,503

STATE RECORDS AUTHORITY OF NEW SOUTH WALES
Notes to and forming part of the financial statements
30th June 2010

Note:

- (i) Buildings have been valued on the basis of other appropriate replacement buildings having a similar service potential or future economic benefit to the existing buildings. Land has been valued on an existing use basis subject to any enhancements or restrictions arising from development activities since acquisition. The June 2008 Land & Buildings valuation was carried out by Valuation Services of the former NSW Department of Lands.

9 (b) Non-Current Assets - Collections

- (i) During 1998-99 and 1999-2000 the Authority organised separate valuation processes in an attempt to meet the requirements of the Australian Accounting Standards. The valuation exercises involved valuing all items of High Monetary Value in 1998-99 and 1999-2000. Also in 1999-2000 the Authority tested its general collection by obtaining samples selected by a qualified statistician from the Australian Bureau of Statistics. All items selected in the above manner were valued by registered valuers. In relation to the items of High Monetary Value the values obtained over two years showed excessive variation both in total value and with individual items. In relation to the sampled items from the general collection the items could not be reliably valued because there was generally no established market nor was it possible to replace the material from other sources.

Due to these factors the Authority believes that its collection assets cannot be reliably valued and accordingly no figure has been included in the Statement of Financial Position.

- (ii) The collection includes records which are considered worthy of being retained permanently as State archives because of their administrative or legal value, or their value for historical or other research. They comprise State records of continuing value originally created or received by New South Wales government agencies (past and present), and include material relating to convicts, shipping, land settlement, Aboriginal people, public works, court cases, hotel licences and a wide range of other matters handled by public offices.

10. Intangible Assets

Software
\$'000

At 1 July 2009

Cost (gross carrying amount)	431
Accumulated amortisation and impairment	388
Net Carrying amount	<u>43</u>

At 30 June 2010

Cost (gross carrying amount)	432
Accumulated amortisation and impairment	382
Net Carrying amount	<u>50</u>

Software
\$'000

Year ended 30 June 2009

Net carrying amount at start of year	21
Additions (acquired separately)	37
Amortisation (recognised in "depreciation and amortisation")	15
Net carrying amount at end of year	<u>43</u>

Year ended 30 June 2010

Net carrying amount at start of year	43
Additions (acquired separately)	34
Amortisation (recognised in "depreciation and amortisation")	27
Net carrying amount at end of year	<u>50</u>

STATE RECORDS AUTHORITY OF NEW SOUTH WALES
Notes to and forming part of the financial statements
30th June 2010

11. CURRENT LIABILITIES - TRADE AND OTHER PAYABLES

	2010 \$'000s	2009 \$'000s
Current		
* Creditors	434	415
Other	156	130
Accrued personnel services expense	330	126
	<u>920</u>	<u>671</u>

* Creditors include capital creditors of \$56,054 (2009 - \$8,078)

12. CURRENT LIABILITIES - PROVISIONS

	2010 \$'000s	2009 \$'000s
Current		
Personnel Services Liability		
- Recreation Leave - Department of Services, Technology & Administration	755	791
- Long Service Leave - Department of Services, Technology & Administration	1,443	1,289
	<u>2,198</u>	<u>2,080</u>

13. CURRENT / NON-CURRENT LIABILITIES - BORROWINGS

	2010 \$'000s	2009 \$'000s
TCorp borrowings (unsecured)	<u>3,847</u>	<u>5,812</u>
	<u>3,847</u>	<u>5,812</u>
Repayment of Borrowings		
Not later than one year	1,869	-
Between one and five years	1,978	5,812
Later than five years	-	-
	<u>3,847</u>	<u>5,812</u>

STATE RECORDS AUTHORITY OF NEW SOUTH WALES
Notes to and forming part of the financial statements
30th June 2010

14. COMMITMENTS FOR EXPENDITURE

	2010	2009
	\$'000s	\$'000s
(a) Capital Commitments		
Aggregate capital expenditure contracted for at balance date and not provided for:		
Not later than one year	62	-
Later than one year and not later than five years	-	-
Total (including GST)	<u>62</u>	<u>-</u>

This represents fees payable for Stage 2 compactus project at Kingswood

(b) Operating Lease Commitments

Future non-cancellable operating lease rentals not provided for and payable:

Not later than one year	859	878
Later than one year and not later than five years	2,721	663
Over five years	-	17
Total (including GST)	<u>3,580</u>	<u>1,558</u>

This represents State Fleet car leases, rent for city premises at the Rocks and for storage facilities in Penrith

The potential input tax credits recoverable from the Australian Tax Office for the above commitments are \$331,059 (\$141,676 in 2008-09)

Other minor commitments for expenditure are not considered material

15. CONTINGENT LIABILITIES

The Authority is unaware of any contingent liability at the date of this report (Nil in 2008-09)

16. RECONCILIATION OF THE SURPLUS FOR THE YEAR TO NET CASH FLOWS FROM OPERATING ACTIVITIES

	2010	2009
	\$'000s	\$'000s
Surplus for the year	1,194	959
Depreciation & amortisation	2,139	2,149
(Increase)/Decrease in trade and other receivables	(273)	(2)
(Increase)/Decrease in Inventories	15	(1)
Increase/(Decrease) in trade and other payables	318	25
Net (gain)/loss on sale of non-current assets	-	-
NET CASH FLOWS FROM OPERATING ACTIVITIES	<u>3,393</u>	<u>3,130</u>

STATE RECORDS AUTHORITY OF NEW SOUTH WALES
Notes to and forming part of the financial statements
30th June 2010

17. FINANCIAL INSTRUMENTS

The Authority's principal financial instruments are outlined below. These financial instruments arise directly from the Authority's operations or are required to finance the Authority's operations. The Authority does not enter into or trade financial instruments, including derivative financial instruments, for speculative purposes.

The Authority's main risks arising from financial instruments are outlined below, together with the Authority's objectives, policies and processes for measuring and managing risk. Further quantitative and qualitative disclosures are included throughout this financial report.

The Director of State Records has overall responsibility for the establishment and oversight of risk management and agrees policies for managing each of these risks. Risk management policies are established to identify and analyse the risks faced by the Authority, to set risk limits and controls and to monitor risks.

(a) Financial instrument categories

Financial Assets	Note	Category	Carrying Amount	Carrying Amount
Class			2010 \$'000	2009 \$'000
Cash and cash equivalents	6	N/A	4,196	3,219
Receivables	7	Loans and Receivables (at amortised cost)	3,058	2,785
Financial Liabilities				
Class			2010 \$'000	2009 \$'000
Payables	11	Financial liabilities measured at amortised cost	920	671
Borrowings	13	Financial liabilities measured at amortised cost	3,847	5,812

STATE RECORDS AUTHORITY OF NEW SOUTH WALES
Notes to and forming part of the financial statements
30th June 2010

17.

(b) Credit Risk

Credit risk arises when there is the possibility of the Authority's debtors defaulting on their contractual obligations, resulting in a financial loss to the Authority. The maximum exposure to credit risk is generally represented by the amount of the financial assets.

Cash

Cash comprises cash on hand and bank balances within the NSW Treasury Banking System. Interest is earned on daily bank balances at the monthly average NSW Treasury Corporation (TCorp) 11am unofficial cash rate adjusted for a management fee to NSW Treasury

Receivables - trade debtors

All trade debtors are recognised as amounts receivable at balance date. Collectibility of trade debtors is reviewed on an ongoing basis. Procedures as established in the Treasurer's directions are followed to recover outstanding amounts, including letters of demand. Debts which are known to be uncollectible are written off. An allowance for impairment is raised when there is objective evidence that the Authority will not be able to collect all amounts due. This evidence includes past experience, and current and expected changes in economic conditions and debtors credit ratings. No interest is earned on trade debtors. Sales are made on 30 day terms.

The Authority is not materially exposed to concentrations of credit risk to a single trade debtor or group of debtors. Based on past experience, debtors that are not past due (2010: \$1,320,695 ; 2009 \$1,202,489) and not more than 3 months past due (2010: \$358,085 ; 2009 \$371,467) are not considered impaired and together these represent 100% of the total trade debtors. Most of the Authority's debtors are NSW public sector agencies. There are no debtors which are currently not past due or impaired whose terms have been renegotiated.

The only financial assets that are past due or are impaired are 'sales of goods and services' in the 'receivables' category of the Statement of Financial Position.

\$'000

2010	Total	Past due but not impaired	Considered impaired
< 3 months overdue	358	358	-
3 months - 6 months overdue	-	-	-
> 6 months overdue	-	-	-
2009			
< 3 months overdue	371	371	-
3 months - 6 months overdue	-	-	-
> 6 months overdue	-	-	-

(c) Liquidity risk

Liquidity risk is the risk that the Authority will be unable to meet its payment obligations when they fall due. The Authority continuously manages risk through monitoring future cash flows and maturities planning to ensure adequate holding of high quality liquid assets. The objective is to maintain a balance between continuity of funding and flexibility through the use of loans and other advances.

During the current and prior years, there were no defaults or breaches on any loans payable. No assets have been pledged as collateral. The Authority's exposure to liquidity risk is deemed insignificant based on prior periods' data and current assessment of risk.

STATE RECORDS AUTHORITY OF NEW SOUTH WALES
Noted to and forming part of the financial statements
30th June 2010

17.

(c) Liquidity risk continued

The liabilities are recognised for amounts due to be paid in the future for goods or services received, whether or not invoiced. Amounts owing to suppliers (which are unsecured) are settled in accordance with the policy set out in Treasurer's Direction 219.01. If trade terms are not specified, payment is made no later than the end of the month following the month in which an invoice or a statement is received. Treasurer's Direction 219.01 allows the Minister to award interest for late payment. No interest was applied during the year.

The table below summarises the maturity profile of the Authority's financial liabilities, together with the interest rate exposure.

\$'000								
Interest Rate Exposure						Maturity Dates		
	Weighted Average Effective Int. Rate	Nominal Amount	Fixed Interest Rate	Variable Interest Rate	Non- interest bearing	< 1 yr	1-5 yrs	> 5 yrs
2010								
<i>Payables</i>								
Personnel Services payable		330	-	-	330	330		
Creditors		590	-	-	590	590		
<i>Borrowings</i>								
TCorp borrowings	5.61	3,847	3,847	-	-	1,869	1,978	-
		4,767	3,847	-	920	2,789	1,978	-
2009								
<i>Payables</i>								
Personnel Services payable		126	-	-	126	126		
Creditors		545	-	-	545	545		
<i>Borrowings</i>								
TCorp borrowings	5.73	5,812	5,812	-	-	-	5,812	-
		6,483	5,812	-	671	671	5,812	-

STATE RECORDS AUTHORITY OF NEW SOUTH WALES
Notes to and forming part of the financial statements
30th June 2010

17.

(d) Market risk

Market risk is the risk that the fair value or future cash flows of a financial instrument will fluctuate because of changes in market prices. The Authority's exposures to market risk are primarily through interest rate risk on the Authority's borrowings. The Authority has no exposure to foreign currency risk and does not enter into commodity contracts.

The effect on profit and equity due to a reasonably possible change in risk variable is outlined in the information below, for interest rate risk and other price risk. A reasonably possible change in risk variable has been determined after taking into account the economic environment in which the Authority operates and the time frame for the assessment (i.e. until the end of the next annual reporting period). The sensitivity analysis is based on risk exposures in existence at the reporting date. The analysis is performed on the same basis for 2009. The analysis assumes that all other variables remain constant.

Interest rate risk

Exposure to interest rate risk arises primarily through the Authority's interest bearing liabilities. This risk is minimised by undertaking mainly fixed rate borrowings, primarily with NSW TCorp. The Authority does not account for any fixed rate financial instruments at fair value through profit or loss or as available for sale. Therefore for these financial instruments a change of +/- 1% is used, consistent with current trends in interest rates. The basis will be reviewed annually and amended where there is a structural change in the level of interest volatility. The Authority's exposure to interest rate risk is set out below.

	\$'000				
	Carrying amount	-1% Profit	Equity	+1% Profit	Equity
2010					
<i>Financial assets</i>					
Cash and cash equivalents	4,196		(42)	42	42
<i>Financial liabilities</i>					
Borrowings	3,847		(38)	38	38
2009					
<i>Financial assets</i>					
Cash and cash equivalents	3,219		(32)	32	32
<i>Financial liabilities</i>					
Borrowings	5,812		(58)	58	58

STATE RECORDS AUTHORITY OF NEW SOUTH WALES
Notes to and forming part of the financial statements
30th June 2010

17. (e) Fair value compared to carrying amount

Except where specified below, the amortised cost of financial instruments recognised in the statement of financial position approximates the fair value, because of the short-term nature of many of the financial instruments. The following table details the financial instruments where the fair value differs from the carrying amount.

	2010 \$'000 Carrying Amount	2010 \$'000 Fair Value	2009 \$'000 Carrying Amount	2009 \$'000 Fair Value
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Financial liabilities

Borrowings

TCorp

Borrowings	3,847	3,914	5,812	5,983
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18. POST BALANCE DATE EVENTS

The Authority is not aware of any event subsequent to balance date that would impact the financial report.

End of Audited Financial Statements

End of Audited Financial Statements.

Budget Number and Program: 69.1.1 State Records
Detailed Budget in Accordance with Section 7 (1) (a) (iii) of Annual Reports
(Statutory Bodies) Act, 1984 - For Financial Year 2009-2010

State Records Authority of New South Wales

Item	Budget 2009-2010 \$'000s	Expenditure 2009-2010 \$'000s
PERSONNEL SERVICES		
Salaries and Wages	8,754	8,670
Overtime	180	175
Superannuation and Leave Entitlements	1,334	1,207
Workers Compensation Insurance	190	183
Payroll Tax and Fringe Benefits Tax	551	537
Sub-total	11,009	10,772
MAINTENANCE AND WORKING EXPENSES		
<i>Expenses in Connection with Building</i>		
Rent	691	652
Rates	16	16
Maintenance	540	577
Cleaning	150	164
<i>Subsistence and Transport</i>		
Travelling and Subsistence	28	41
Motor Vehicles and Running Costs etc.	310	283
Training and Seminars	27	31
<i>General Expenses</i>		
Advertising and Publicity	9	14
Books and Periodicals	15	23
Auditors Remuneration	41	42
Consultants	100	53
Gas and Electricity	436	611
Insurance	70	69
Postal and Telephone	167	141
Printing	20	15
Minor Stores	175	191
Depreciation and Amortisation	2,322	2,112
Borrowing Costs	340	272
Other Maintenance & Working/Other Expenses	651	681
Sub-total	6,108	5,988
PROGRAM TOTAL	17,117	16,760

Budget Number and Program: 69.1.1 State Records
Detailed Budget in Accordance with Section 7 (1) (a) (iii) of Annual Reports
(Statutory Bodies) Act, 1984 - For Financial Year 2010-2011

State Records Authority of New South Wales

	Budget 2010/2011 \$'000s
REVENUE	
Publication sales	400
Fees for services	11,865
Total sale of goods and services	12,265
Interest	60
Grant - Recurrent. Received from Dept.of Services, Technology & Administration	4,922
Grant - Capital. Received from Dept.of Services, Technology & Administration	345
Employee Benefits accepted by Dept.of Services, Technology & Administration	515
Grants - Other	220
Total Revenue	18,327
PERSONNEL SERVICES	
Salaries and Wages	9,124
Overtime	185
Superannuation and Leave Entitlements	1,334
Workers Compensation Insurance	190
Fringe Benefits Tax	27
Payroll Tax	500
Total Employee Related Expenses	11,360
MAINTENANCE AND WORKING EXPENSES	
Rent	715
Rates & Charges	16
Gas and Electricity	686
Cleaning	170
Travel	30
Motor Vehicle Expenses	295
Books,Periodicals and Subscriptions	15
Advertising and Publicity	9
Auditors Remuneration	44
Consultancy	100
Training and Seminars	27
Insurance	71
Telephone,Courier & Postage	152
Printing	20
Stores and Equipment	170
Maintenance	580
Depreciation and Amortisation	2,235
Borrowing Costs	160
Other expenses	777
Total Maintenance and Working Expenses	6,272
Total Expenditure	17,632
NET SURPLUS / (DEFICIT)	695

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