# ARCHIVES AUTHORITY OF NEW SOUTH WALES

## ANNUAL REPORT 1992-93

The Hon. Peter Collins, Q.C., M.P.
Minister for the Arts
Parliament House
SYDNEY NSW 2000
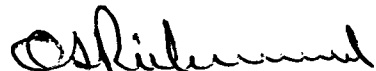
29 October 1993

Dear Mr Collins,

The Archives Authority of New South Wales takes pleasure in forwarding, for presentation to Parliament in accordance with the provisions of the Annual Reports (Statutory Bodies) Act, 1984 and of the Archives Act, 1960, its thirty third Annual Report and Financial Statements, covering the year ended 30th June 1993.

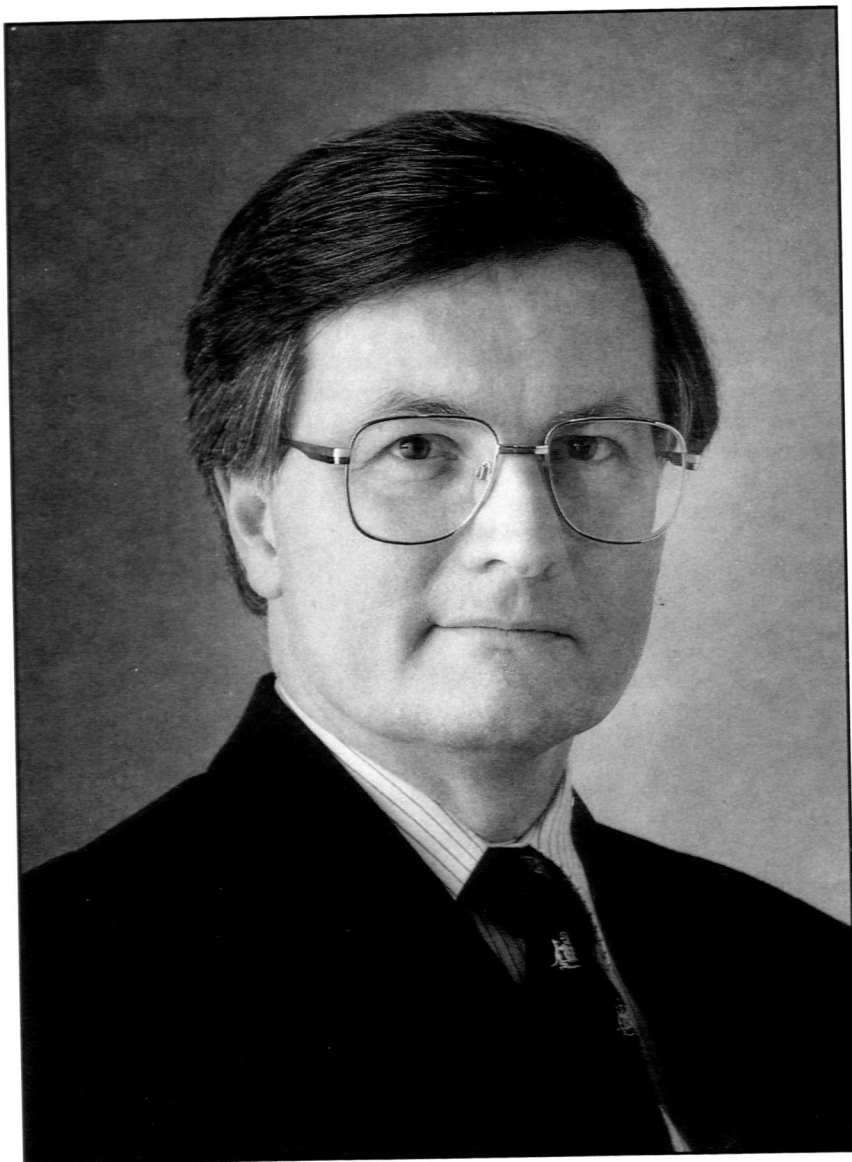On behalf of the Authority,

Yours sincerely,

K.W. Knight
Chairperson
The Archives Authority
of New South Wales

D.T. Richmond
Deputy Chairperson
The Archives Authority
of New South Wales

*Peter Collins Q.C., M.P.*
*Minister for the Arts*

**NEW SOUTH WALES**

**Minister for the Arts**

1993 has been a successful year for the Archives Authority of New South Wales, one in which it has continued to build on its achievements

The Authority can be justly proud of the sound financial results achieved in a year of difficult economic conditions. Total revenue earned again exceeded that of previous years, and the Government Records Repository, which operates off-budget, achieved a remarkable cash flow revenue increase of 18%.

Another very satisfactory development is the construction of the Stage 3 extension to the Government Records Repository complex at Kingswood which began in February 1993. The new building, which is expected to be ready for occupation in early 1994, is being funded largely from the Repository's own funds plus a Treasury loan. When the building is completed it will provide nearly 40 000 linear metres of much needed storage space as well as office and work areas.

During the year strong emphasis was placed on implementing the Government's customer services initiatives. A Customer Council, representing the broad range of the Authority's clients, was established to evaluate and advise on services and client needs and *Guarantees of Service* were developed and widely distributed. Access to the State archives was greatly facilitated by the development of the *Electronic Concise Guide* which enables electronic searching of the 2079 page text of the *Concise Guide*.

Substantial progress was also made on the preparation of the proposed new State records legislation following a number of meetings between the Archives Authority, the Ministry for the Arts and representatives of various agencies to discuss aspects of the proposed legislation. It is now anticipated that the Bill will go to the Autumn 1994 session of Parliament and that the new legislation will be implemented in 1995.

I congratulate the Members of the Authority and the staff on their fine work, their commitment to quality archives and records services, and on the achievement of successful results during a time of economic stringency and reduced funding.

Peter Collins, Q.C., M.P.
**Minister for the Arts**

*The Harrington Street entrance to the State Archives building in The Rocks, Sydney.*

# REPORT

# OF THE

# ARCHIVES AUTHORITY

# OF NEW SOUTH WALES

# 1992-93

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# INDEX TO ANNUAL REPORT REQUIREMENTS

# I  THE ARCHIVES AUTHORITY OF NEW SOUTH WALES

CHARTER

The Archives Authority of New South Wales is a statutory corporation which was created under the Archives Act, 1960. It is responsible to the Minister for the management of the Archives Office of New South Wales, the Government Records Repository, and the Records Management Office of New South Wales. It manages the Archives Office in accordance with the provisions of section 13 (1) of the Archives Act; and manages the Government Records Repository and the Records Management Office in accordance with an agreement made with the Public Service Board in October 1978.

MISSION

The Authority exists to serve the Government and people of New South Wales by improving the management and accessibility of the State's public records.

To this end the Authority provides services, advice and monitoring to help the New South Wales public sector achieve efficient and effective control over and access to all of its records

☐  irrespective of their format, and

☐  through every phase of their life cycle — creation, transmission, maintenance, storage, disposal, archiving and preservation.

In the pursuit of its mission the Authority is prepared to extend its activities interstate and overseas, both to private and public sectors as opportunity offers, as a means of developing expertise and contributing to the fulfilment of its core work.

OBJECTIVES

The Authority's principal objectives are derived directly from its charter, and are:

☐  To promote sound and efficient records management practices throughout the New South Wales Public Service

☐  To provide centralised, and cost-effective, repository facilities for the bulk storage and retrieval of the semi-active records of public offices

☐  To identify and preserve as State archives all non-current public records which are of permanent value, including records which document government policy, determination and action; or which embody citizens' legal rights and document information about their existence and identity; or which are valuable for research on any aspect of the history of the State, its communities, individuals, lands and built environs

☐  To make the State archives available for public access and use in accordance with the provisions of the Archives Act and the policies of the government of the day

☐  To identify public records which have no permanent value and arrange for their speedy and economic destruction immediately they cease to be of administrative use to the offices which created them

The Archives Authority consists of nine members who are appointed by the Governor in accordance with the Archives Act, 1960, as amended by the Cultural Institutions (Miscellaneous Amendments) Act, 1989. They include a Chairperson who is nominated by the Minister and a Deputy Chairperson who is nominated by the members of the Authority. Appointment is for a three year term, and a member may hold office for up to three consecutive terms.

The Cultural Institutions (Miscellaneous Amendments) Act, 1989 provides that of these members:

☐ one is to be nominated jointly by the President of the Legislative Council and the Speaker of the Legislative Assembly

➤ The Hon. John F. Ryan, B.A. (Hons.), Dip.Ed., M.L.C.

Chairman, Government Community Services Committee

Chairman, Government Environment Committee

Member, Government Ethnic Affairs Committee

Member, Government Education Committee

Member, Joint Standing Committee of Legislative Council on Social Issues

Member, Joint Select Committee on Water Board

Member, Joint Select Committee on Waste Management

☐ one is to be nominated by the Chief Justice of the Supreme Court

➤ The Hon. Thomas W. Waddell, Q.C., formerly Chief Judge in Equity, Supreme Court of New South Wales (retired 16 May 1993)

Chairman, Board of Management, Seymour Theatre Centre

Director, Earth Foundation Australia Ltd

☐ one is to be nominated by the Premier

➤ Mr David T. Richmond, M.Ec. (Deputy Chairperson)

Executive Director, Benevolent Society of NSW

Chairman, NSW Government Accessible Transport Forum

Member, Home Care Service Advisory Board

Member, Guardianship Board of NSW

☐ six are to be nominated by the Minister and must include at least one person who has knowledge of, or experience in, tertiary education

➤ Mr Graham R. Ireland, LL.B.

Consultant to Abbott Tout Russell Kennedy — Solicitors

Executive Advisor to Insurance Council of Australia

Board member, WorkCover Authority of NSW

Board member, SGIO Insurance Ltd (WA)

Fellow, University of Technology, Sydney

> Mrs Gabrielle Kibble, B.A., Dip.T.C.P.

  Director, Department of Planning/Department of Housing

  Member, Heritage Council of NSW

  Member, Central Sydney Planning Committee

> Associate Professor Beverley Kingston, B.A. (Hons.), Ph.D., School of History, University of New South Wales

> Dr Kenneth W. Knight, M.Ec., Ph.D., A.A.L.I.A., F.R.A.I.P.A. (Chairperson), formerly Principal, Kuring-gai College of Advanced Education

  Council Member, Society of Australian Genealogists

  Council Member, Royal Australian Historical Society

  Fellow, University of Technology, Sydney

> Mr Karl G. Schmude, B.A., Dip.Lib., M.Litt., A.A.L.I.A., University Librarian, University of New England

  Chairperson, NSW Committee, Australian Council of Libraries and Information Services (ACLIS)

  Member, National Council of ACLIS

> Mr F. Evan Williams, Secretary, Ministry for the Arts

  Chairman, Commonwealth Film and Literature Board of Review

  Chief Film Critic for the Australian

**ATTENDANCES AT MEETINGS**

There were six meetings of the Archives Authority during 1992-93. The attendances were as follows:

Mr G.R. Ireland ................................................................................................ 5
(Excused for his absence from one meeting)

Mrs G. Kibble ................................................................................................... 4
(Excused for her absence from two meetings)

Associate Professor B. Kingston ........................................................................ 6

Dr K.W. Knight (Chairperson) ........................................................................... 5
(Excused for his absence from one meeting)

Mr. D.T. Richmond (Deputy Chairperson) ........................................................... 6

The Hon. J.F. Ryan ............................................................................................ 3
(Excused for his absence from two meetings)

Mr K.G. Schmude ............................................................................................. 6

The Hon. T.W. Waddell ...................................................................................... 6

Mr. F.E. Williams .............................................................................................. 4
(Excused for his absence from two meetings)

The Principal Archivist attended all meetings of the Archives Authority during the year, and in addition the Managers attended meetings or parts of meetings which related specifically to their areas of responsibility. Five meetings were attended by the Deputy Principal Archivist and one by the Acting Deputy Principal Archivist.

## COMMITTEES

The Authority has two Committees: a Committee on Culling of Documents Relating to Primary Applications; and a Task Force on Guidelines for Machine Readable Records.

The Committee on Culling of Documents Relating to Primary Applications, established in 1987, is responsible for surveying blocks of unfilmed records from the Land Titles Office and developing culling guidelines. The Committee, which is very much dependent upon input from the staff, did not meet during 1992-93, owing to the lack of staff resources.

The Task Force on Guidelines for Machine Readable Records, which was approved by the Premier in December 1989, was also dormant in 1992-93. This was largely because attempts to develop guidelines were frustrated by the technical difficulties and cost of transferring electronic records to archival custody, combined with constant and rapid technological change. However, archivists worldwide are now considering the view that at least an interim solution might be to make creating agencies responsible for the long term storage, preservation and accessing of permanently valuable electronic records, with the archival role one of setting and monitoring standards. In view of this development, steps were taken in May 1993 to reconvene the Task Force. It is expected that it will meet in the later half of 1993 to discuss guidelines based on the retention-in-agency model briefly outlined above, as well as possible other options.

A third committee, the Publications Committee, was abolished in October 1992 as the functions it performed were largely taken over by the Archives Office's Publications and Promotions Committee.

## THE AUTHORITY'S SENIOR MANAGERS

| | |
|---|---|
| **Principal Archivist/Chief Executive Officer** | Mr John Cross, B.A., Dip.Lib. |
| **Deputy Principal Archivist/Secretary to the Authority** | Mrs Frances Lemmes, B.A., M.Lib., A.A.L.I.A. |
| **Senior Administrative Officer** | Mr Bernard Edwards |
| **Manager, Government Records Repository** | Mr John Burke, B.A., Dip.Lib., Dip.Arch.Admin. |
| **Deputy Manager, Government Records Repository** | Ms Jennifer Stapleton, B.A., Dip.Arch.Admin. |
| **Manager, Records Management Office** | Mr David Roberts, B.A. Dip.Arch.Admin |
| **Manager, Systems** | Mrs Christine Shergold, B.A., Dip.Lib., Dip.Arch.Admin. |
| **Manager, Collection Services** | Mr Richard Gore, B.A., Dip.Lib. |

| | |
|---|---|
| **Manager, Disposal Services** | Ms Amanda Barber, B.A., Dip.Arch.Admin. |
| **Manager, Preservation Services** | Mr John Davies, A.M.N. |
| **Manager, Reference Services** | Ms Christine Yeats, B.A., Dip.Lib., Dip.Arch.Admin. |

**MEMBERSHIP OF PROFESSIONAL ORGANISATIONS**

In order to keep informed of developments in archives administration and in the information community generally, both in Australia and overseas, the Archives Authority is a member of the International Council on Archives, the Australian Society of Archivists, the Australian Council of Archives, the Council of Federal, State and Territory Archives, the Australian Library and Information Association, and the Commonwealth Archivists Association. The Records Management Office is a member of the Records Management Association of Australia.

In June 1993 the Principal Archivist, Mr John Cross, was elected President of the Australian Council of Archives.

**STRUCTURE**

The Archives Authority of New South Wales is divided into three functional areas, reflecting its charter and responsibilities:

☐ the Archives Office of New South Wales

☐ the Records Management Office of New South Wales

☐ the Government Records Repository

These three areas are supported by a small Corporate Services section.

The Archives Office has five sections:

☐ Disposal Services

☐ Systems

☐ Collection Services

☐ Preservation Services

☐ Reference Services

An Organisation Chart is attached, as Appendix 1.

**Archives Office of New South Wales**
The State Archives
2 Globe Street
The Rocks
SYDNEY  NSW  2000

*Telephone*:
(02) 237 0200 (Switch)
(02) 237 0254 (Reference enquiries)
(02) 237 0149 (Administration)

**Records Management Office of New South Wales**
The State Archives
66 Harrington Street
The Rocks
SYDNEY  NSW  2000

*Telephone:*
(02) 237 0121

**Government Records Repository**
O'Connell Street
KINGSWOOD  NSW  2747

*Telephone:*
(02) 673 1788

*Postal Address:*
PO Box 516, KINGSWOOD  NSW  2747

## PUBLIC ACCESS — HOURS OF OPENING

**Search Room and Exhibition, City**

*Monday - Friday:*
9.00 am - 5.00 pm

*Saturday:*
10.00 am - 4.00 pm

**Search Room, Kingswood Repository**

*Tuesday - Friday:*
9.00 am - 5.00 pm

*Saturday:*
10.00 am - 4.00 pm

Closed Sundays and Public Holidays

The year was generally one of consolidation of initiatives aimed at maintaining the Archives Authority's position at the forefront of archive bodies in Australia. Financially, the Authority is pleased to report that in the majority of cases revenue raising targets were exceeded, despite the continuing difficult economic conditions. Work began on the Stage 3 extension to the Repository complex at Kingswood which will provide an essential increase in storage capacity. Reference services have been enhanced with the development of the *Electronic Concise Guide* and the Repository has implemented an improved records retrieval system resulting in same day delivery of agency file requests. Constructive progress has also been made with the proposed new State records legislation which is intended to produce modern and cost-effective methods for managing official records. In the Corporate Services area new management appointments have consolidated the organisational restructuring, and increased financial independence and control have been achieved. Against these achievements must be set the Authority's continuing concern with processing arrears which have increased substantially owing to limited staff resources.

Before reviewing the year's major activities in more detail the Authority wishes to convey its gratitude to its Minister, the Hon. Peter Collins, Q.C., M.P., Minister for the Arts, for his continuing support and assistance; and also its very warm thanks to its staff for their vital contribution to its achievements and for their commitment to the provision of archives and records services.

## LEGISLATION

During 1992-93 high priority was given to the proposed new State records legislation. The need for new legislation is a result of the international emergence of expectations of high standards in governmental record management and state archives, the experience of thirty years of the Archives Act, 1960, modern requirements for commercially viable government institutions, and a change towards open government. Considerable progress was made during the year in preparing the legislation and in December 1992 the Cabinet Office circulated to Ministers a Minute on the proposal to repeal and replace the Archives Act, 1960. Although response to the proposed legislation was generally favourable some agencies did express a number of concerns. To address the issues raised the Archives Authority and the Ministry for the Arts held a series of meetings during 1993 with representatives of these agencies and at the end of June a revised Cabinet Minute was being prepared for submission to the Minister and Cabinet. It is hoped that the Bill will go to the Autumn 1994 session of Parliament and that the new legislation will be implemented in 1995.

## FINANCIAL STRATEGY AND OPERATIONS

The Authority is funded from the Consolidated Fund. It provides basic services to the public free of charge but obtains substantial revenue from Repository and Records Management services, from a publications program and from 'value added' services to both government and the public. Revenue, which increased dramatically during the 1980s as revenue raising measures were put in place, continues to show a steady growth. Total revenue raised in 1992-93 was $2 369 027. The Authority's financial operations now form an integral part of its corporate strategy. Like many other archives, the Authority began to levy charges from 1970 onwards in order to help offset the cost of special publications and projects such as the *Concise Guide to the State Archives of New South Wales*. From this it progressed to using charges as an administrative tool, first by

charging for Repository services as a way of conserving storage space, and then by producing and selling its *Genealogical Research Kit* as a method of controlling demand for reader services. The success of these exercises made the Authority aware that, through the judicious application of commercial principles it might be able to supplement its income to the point where, for the first time, it could operate successfully at all phases of the records management 'continuum' or life cycle. This is the key to the effective and efficient management of Government records, and it has become the core of the Authority's mission. The Authority is proud of having pioneered the commercialisation of archives and records management services in Australia, it has built upon this advantage, and it aims to remain the leader among government archives in Australia in relation to the range of activities from which revenue is raised.

During the year the Archives Office continued to operate as a Category C4 'Government Service Activity'. The Authority is pleased to report that, despite the difficult economic situation, the Archives Office raised $181 128 in revenue, exceeding the target figure of $125 000.

The Government Records Repository continued its excellent performance in a competitive commercial environment and, operating off-budget, achieved a cash flow revenue of $2 070 000, which was an increase of 18% on the previous year.

As a result of the recession, high fixed costs, loss of experienced staff and increased competition, the Records Management Office was unable to continue operating off-budget and in August 1992 was returned to the Consolidated Fund budget and reclassified as a C4 core agency activity. Following the appointment of a new Manager in February 1993, the Office undertook a review of its business mix, which resulted in greater emphasis being placed on training services (45% of revenue earned in 1992-93), with the aim of more effectively meeting the Office's policy objective of promoting sound and efficient records management practice throughout the NSW public sector. Total revenue raised during the year by the Records Management Office was $139 242 (target $175 000).

The Treasury Cash Management and Banking System was introduced during 1992-93. The system gives the Authority greater control over its finances with an increased level of responsibility.

## THE ARCHIVES

An important achievement of the year has been the development of the *Electronic Concise Guide* which enables the electronically stored text of the *Concise Guide to the State Archives* to be searched using the text retrieval software ISYS. The flexible access which the *Electronic Concise Guide* provides has been welcomed by the staff who are using it enthusiastically. From July 1993 it will be available to the public when a new service — *FindIt!* — is introduced in the Search Rooms.

The Archives Authority's Customer Council was established in late June 1992 along the lines set out in the Office of Public Management's *Guidelines for the Establishment of Customer Councils*. Set up as an advisory body to evaluate current services, advise on new or modified services and research client needs, its thirteen members represent the broad range of the Authority's clients. The Council met three times during the year and considered a number of issues,

including the Authority's Corporate Strategy, publications and indexing projects.

The Authority's *Guarantee of Service* documents and staff procedures for handling complaints and suggestions were also developed and implemented during 1992-93.

Processing continued as a priority during 1992-93 but limited staff resources meant that fewer records were processed (1 351 metres) compared with the quantity of archives taken in (1 811 metres), thus substantially increasing processing arrears. The Authority remains greatly concerned that in not cataloguing its arrears of unprocessed records it is failing to fulfil its statutory obligations under Section 13 of the Archives Act.

In addition to the total processing arrears of 2 757 metres, some 10 220 metres of records are awaiting appraisal, including 4 930 metres occupying potential revenue-earning space in the Repository. The large quantity of records in this category is cause for concern, not only in relation to potential revenue forgone, but also with respect to the implications for the already substantial processing arrears, and for archival storage planning.

Revision of the *General Records Disposal Schedule* continued during the year with work being undertaken on the *Accounting Records* section. This publication identifies permanently valuable financial records and provides for the efficient, on-going destruction of large quantities of routine records.

In June 1993 the Authority sponsored two workshops by David Bearman, an internationally acknowledged expert on records management and information policy. These highly successful workshops on *Archival Automation* and *Electronic Records Management* were attended by State Archives staff, members of the Task Force on Machine Readable Records, staff from other archival organisations, and representatives from government bodies and academic institutions.

## STAFF ESTABLISHMENT AND RESTRUCTURING

During the year work commenced on developing a Performance Management System which, when completed, will provide a mechanism for staff development, promote a results oriented work outlook, improve levels of communication and provide an equitable, non- discriminatory system. Once the Performance Management System is in place work will begin on an investigation of enterprise bargaining.

The Archives Authority's EEO Annual Report to the Director of Equal Employment Opportunity in Public Employment, which was submitted during the year, included an EEO Management Plan. The EEO Management Plan, the first the Authority has prepared, provided a useful opportunity to reconsider the focus of EEO policy and practice and to revise objectives and strategies.

A revision of the *Code of Conduct* was completed and reissued to Archives Authority staff as a supplement to the Office of Public Management's New South Wales Public Sector Code of Conduct. As well, various new or revised personnel policies were issued.

## ACCOMMODATION

The Archives Authority is accommodated in two buildings: The State Archives building in Globe Street, The Rocks, Sydney which was completed in 1978, and the State Archives and Government Records Repository at Kingswood, which is 55 kilometres west of Sydney. The Authority is disadvantaged by having to pay a high rent for its city headquarters, indeed, it is the only State cultural institution which has to do so. The rent, which constitutes over 30 per cent of its budget, continues to impose a heavy strain on its finances.

Repository space for State archives and government records is practically exhausted and the extra space which will be provided by the Stage 3 extension to the Repository is urgently required. Building of Stage 3 commenced in February 1993 and is proceeding rapidly and within budget. The new building is expected to be ready for occupation early in 1994 and will provide nearly 40 000 linear metres of storage, as well as extra work areas and office space.

During the year investigations were carried out by the Public Works Department into the recurring problem of the leaking flat roof of Stage 1 of the Repository. The Authority has requested Treasury support and is hopeful that funds will be provided to enable urgent repairs to be carried out in late 1993.

## PROGRAM EVALUATION

### EVALUATIONS, 1992-93

*Archives Office Correspondence System*
In accordance with the Authority's three-year rolling plan for program evaluation, the Archives Office Correspondence System was reviewed and the report submitted to the Archives Authority in November 1992.

**Program title:** Archives Office Correspondence System

**Program cost:** *Staff:* $20 000 pa plus unknown cost of action officers' time
*Storage/equipment:* $7 000 pa
*Total:* $27 000 pa

**Estimate %
of recurrent
expenditure:** 0.77%

**Income:** —

*Aims of review*
The major aims of this review were to assess the efficiency, effectiveness and appropriateness of the current Archives Office correspondence system, and to make some general practical recommendations on how the system could be changed or improved to best meet current and future needs within existing budgetary and staffing constraints.

*Program Objectives*
Formal objectives have never been formulated for the correspondence system, but the general aim has been to serve the Office by efficiently and effectively managing the correspondence and reports received and created by the Archives Office.

The review revealed that the system works well overall, despite the limited resources devoted to it. It is managed by a very competent Records Officer, and its strengths include reasonably good file titling and a computerised file management system which generally enhances operational efficiency of the

system. Recommendations were made for improvements in a number of areas, with file movement and the management of reference files requiring the most attention.

OTHER EVALUATIONS

*Machine Readable Records — policy*

It has not been possible to review this area during the past year, as progress in developing guidelines is necessarily dependent upon the outcome of the Australian Archives Electronic Records Project (not yet completed) and is frustrated by constant and rapid technological change. Steps have been taken to reconvene the Task Force, however, and it will meet late in 1993 to discuss guidelines based on the retention-in-agency model and other options.

*Rationalisation of Accommodation*

When the current three-year plan for program review was drawn up in July 1992, it was expected that a timetable for the review of accommodation would be completed by June 1993. This has not been possible as some of the information necessary for preparing a draft timetable has only just become available, the most significant being firm dates for the completion of the Public Works Asset Management Study, and the construction of the low pitched metal roof for the Kingswood Stage 1 building.

*Forthcoming Evaluations*

Over the next few years the focus will be on evaluating, with a view to rationalising, the Authority's accommodation for archival holdings, functions and staff. This will be a very significant priority for the Authority, as it will encompass planning for future records storage needs and the transfer of some staff and functions to Kingswood. It also has the potential to lead to major cost savings by reducing occupation of the State Archives building in the Rocks and thereby reducing the amount of rent paid on that building.

Other evaluations will cover smaller but significant programs such as the Research and Search Room services.

**Schedule of programs to be evaluated**

| Year 1 | Year 2 | Year 3 |
|--------|--------|--------|
| 1. Rationalisation of Accommodation | 1. Rationalisation of Accommodation | 1. Rationalisation of Accommodation |
| 2. Microfilming programs | 2. Research Service | 2. Statutory reform |
| | | 3. Search Room Services |

# III THE PROGRAMS OF THE ARCHIVES AUTHORITY

## RECORDS MANAGEMENT — THE RECORDS MANAGEMENT OFFICE OF NEW SOUTH WALES

(Manager, Mr D. Roberts, B.A., Dip. Arch. Admin.)

The Records Management Office of New South Wales is located in the State Archives building, The Rocks. Its core objective is to promote sound and efficient record keeping and records management practices throughout the New South Wales public sector. In pursuit of this objective, it provides consultancy services, conducts records management training courses, produces keyword thesaurus products and publishes manuals and other publications on records management. As a means of contributing to this core objective, the Office's training courses, thesaurus products and publications are marketed widely beyond the New South Wales public sector.

The Office was established by the Public Service Board in 1976. Its responsibilities do not derive from the Archives Act, but the Archives Authority formally undertook supervision of its activities, by agreement with the Public Service Board, in 1978.

### PROGRAM EVALUATION

As noted in the annual report for 1991-92, a program evaluation reviewing the activities of the Records Management Office and making recommendations on its future directions was undertaken by Mrs Dawn Troy during February to June 1992. Following her report to the Authority on 12 June 1992, Mrs Troy presented further reports which considered the Office's revenue raising capacity in the prevailing economic climate, recommended a re-orientation of its services towards the New South Wales public sector and to enhancing its skills, and made recommendations to improve the management of the licensing of keyword thesaurus products. The recommendations were implemented successively through 1992-93 and a new Manager was appointed in February 1993. In addition to pursuing the general directions for the Office's activities recommended by Mrs Troy, the Office started to consider how its role might need to change to give best effect to the proposed new State records legislation.

### FINANCIAL MANAGEMENT

In 1990-91 and 1991-92 the Records Management Office operated experimentally off-budget as a commercial business unit. However the deepening recession during this period affected its business very seriously, which, combined with high fixed costs and a loss of experienced staff, resulted in significant deficits for those years. In August 1992 the Minister for Finance and Assistant Treasurer approved the return of the Office to the Consolidated Fund budget and its reclassification as a C4 core agency activity. The Office continues to earn revenue from most of its activities. In 1992-93 the Office's revenue was derived as follows: training (45%), consultancy (27.5%), keyword thesaurus (25%), publications (2%) and training room hire (0.5%).

## CONSULTANCY

The Records Management Office provides consultancy services to clients wishing to have all or part of their records systems reviewed. A consultancy can cover the full range of records management functions, including file and correspondence management, records storage and disposal, record keeping in an electronic environment, records management software, staffing, training of staff and users, and implementation strategies. The Office can also assist in the implementation of its recommendations, such as the design of training courses, preparing procedure manuals and selecting staff and software.

In 1992-93 consultancy jobs were undertaken for the State Transit Authority, the Newcastle Region of the Department of Public Works, the Liquor Administration Board, Hammond's Pioneer Homes, the Ministry for Police, the Sydney Opera House Trust, Southern Mitchell Electricity, the Darwin Regional Office of the Aboriginal and Torres Strait Islander Commission, the Sydney Market Authority and the Casino Control Authority. As a matter of policy the Office currently seeks consultancy business only from within the New South Wales public sector.

## TRAINING

Conducting training courses is one of the most effective ways of meeting the Records Management Office's policy objectives. The Office conducts a number of regular training courses in its Training Room in the State Archives building. In 1992-93 these courses comprised *Effective Information Management* (3 days), *Practical Filing Techniques* (1 day), *Keyword Compilers* (3 days), *Keyword Users* (1 Day) and *Advanced Keyword Users* (2 days). In addition, the Office conducted half-day workshops, *How to Successfully Cull Files* and *How to Write and Implement Disposal Schedules*, jointly with the Archives Office of New South Wales. The Office also conducts in-house training for clients and special purpose seminars.

In 1992-93 the Records Management Office conducted twenty-four regular courses which were attended by 237 people, compared with seventeen courses and 161 people in 1991-92. Four *Effective Information Management* courses were attended by 36 people; five *Practical Filing Techniques* courses were attended by 45 people; two *Keyword Compilers* courses were attended by 11 people; five *Keyword Users* courses were attended by 51 people; four *How to Successfully Cull Files* courses were attended by 46 people; and four *How to Write and Implement Disposal Schedules* courses were attended by 48 people.

In addition to the regular courses the Office conducted the *Effective Information Management* and *Practical Filing Techniques* courses in Brisbane, which were attended by people from a variety of Queensland Government agencies and private sector organisations; a course in basic record keeping for ICI Australia; the *Effective Information Management* and *Practical Filing Techniques* courses for the Northern Territory Branch of the Records Management Association of Australia; and the *Keyword Compilers* course for the Queensland Department of Family Services and Aboriginal and Islander Affairs.

During May and June 1993 the Office undertook a fundamental review of its training courses, resulting in a restructured program for 1993-94 which will focus better on the needs of specific market segments and reflect the modern record keeping and records management environment.

## KEYWORD CLASSIFICATION PROGRAM

The Keyword Classification System, developed by the Records Management Office, offers a controlled vocabulary for titling and indexing records. It is based on a hierarchical principle, whereby records are classified by a broad term (keyword) and further specified with the use of successively narrower terms (descriptors).

Fundamental to the Keyword system is the thesaurus of terms comprising those words which can and cannot be used in titling and indexing. The *General Administrative (GADM) Thesaurus* forms the basis of the system and covers administrative terminology common to most organisations. A functional thesaurus of terms relating to an organisation's specific business activities is normally used in conjunction with the *GADM*. In 1992-93, the Office compiled two functional thesauri for clients on a consultancy basis.

The Office, in partnership with the City of Glenorchy Council, has also designed a thesaurus for use by local government. The *Local Government (LOGOV) Thesaurus* is a composite of general administrative and local government terms and suitable for councils operating subject-based or subject/geographically classified records systems. In 1992-93 the *LOGOV* thesaurus was sold to two local government bodies.

In April 1992, the Office purchased a thesaurus management software package to improve and speed up the process of compiling, amending and updating the thesaurus products.

## PUBLICATIONS

The Records Management Office produces a number of publications on records management subjects. A program to revise the *Publications on Records Management* series, originally published over the period 1978 to 1985, commenced during 1992-93 with the publication of a revised edition of *File Format: a Guide to the Physical Design and Construction of Files*. A new series of short publications was also launched, with the publication of three titles.

*Performance Measurement*

Revenue/targets

| 1991-92 | 1992-93 | | 1993-94 |
| --- | --- | --- | --- |
| Revenue | Target | Revenue | Target |
| $213 767 | $175 000 | $159 338 | $175 000 |

# RECORDS STORAGE AND ASSOCIATED SERVICES — THE GOVERNMENT RECORDS REPOSITORY

(Manager, Mr J. Burke, B.A., Dip.Lib., Dip.Arch.Admin.)

The Government Records Repository (GRR) does not come within the provisions of the Archives Act but in 1978 the Archives Authority, by agreement with the Public Service Board, undertook the management of the Government's centralised records repository. The Repository is located at Kingswood, near Penrith, in Sydney's far western suburbs. It meets the records storage needs of

public sector bodies in New South Wales, including Government agencies, local councils, public hospitals and universities. The Repository is a secure, modern, centralised records centre, providing for the special storage requirements of records, their retrieval, and ultimately their disposal, using the most economic methods. The Repository complex also has facilities for the public to use State archives.

Highlights of the GRR's activities in 1992-93 included:

☐ cash-flow revenue increased by 18%

☐ the Consultancy Section increased its revenue by 86%

☐ the total quantity of semi-active records stored in the GRR increased by 13%

☐ commencement of the Stage 3 extension to the Kingswood Repository

☐ implementation of enhancements to the records retrieval system resulting in same day delivery of requests

### STRATEGY

The GRR is dedicated to providing world-class, affordable and effective records storage services for its clients. The core business of the GRR is the provision of records storage services. The GRR's intention is to retain existing satisfied clients and attract new ones, in order to strengthen and develop its business.

The GRR functions in a commercially competitive market in which there are no legislative or administrative requirements overriding normal market forces. Therefore, the GRR is reliant on its resources and excellence of service to maintain its business. Its advantages derive from its economies of scale, its longevity and good reputation, and its pro-active, entrepreneurial approach to business.

The Authority views the GRR as a viable, efficient and competitive business unit which has demonstrated a capacity to withstand the competition posed by its numerous private sector counterparts.

The effectiveness of the Authority's strategy in developing the GRR as a commercial business unit is reflected in the various statistics and performance measures maintained by the Repository; construction of Stage 3 has commenced; the net increase in holdings is substantial but sustainable; records disposal is very active; the percentage of unscheduled records has dropped; sales of storage boxes are strong; file retrieval is increasing; consultancy services are growing and revenue has been rising.

### PERFORMANCE MEASUREMENT

The GRR continued to operate satisfactorily in accordance with its Business Plan. Broadly speaking, the GRR achieved its targets in terms of financial management and gaining new business.

### FINANCIAL MANAGEMENT

The GRR is continuing to perform satisfactorily in the depressed economic conditions and despite strong market competition from an increasing number of competitors.

Since 1 July 1990, the GRR has operated as an off-budget commercialised business unit. The GRR receives no money from the Consolidated Fund and is entirely self-sufficient. Storage constitutes the core business. The other activities are integral to the growth and development of this core business but tend to be subordinate to it.

The GRR's revenue from clients comes from offices under Consolidated Fund (79%); Off-Budget agencies (10%); Public hospitals (8%); Local councils (2%) and other (1%).

In 1992-93, cash flow revenue rose to $2 070 000, which was an increase of 18% on the previous year. An operational cash surplus was not recorded, as a consequence of expenditure on capital works. The GRR's cash flow was distorted by expenditure on the Stage 3 extension and a special one-off payment to Treasury of $166 000 for staff superannuation entitlements accumulated since 1 July 1990.

In June 1993, the Archives Authority, on behalf of the GRR, arranged a $2M loan from the Treasury Corporation to facilitate the completion of the Stage 3 extension.

The GRR's revenue target for 1993-94 has been set at $2.1M with expenditure of $1.7M (excluding capital works).

*Performance Measurement*

Revenue/targets

| | Expenditure | | Revenue | | Surplus | |
|---|---|---|---|---|---|---|
| Year | Target ($) | Actual ($) | Target ($) | Actual ($) | Target ($) | Actual ($) |
| 1991-92 | 1 180 000 | 1 204 000 | 1 600 000 | 1 719 000 | 420 000 | 515 000 |
| 1992-93 | 1 350 000 | 2 541 000 | 2 100 000 | 2 070 000 | 750 000 | * |
| 1993-94 | 1 700 000 | | 2 100 000 | | 400 000 | |

* *Surplus and part of cash revenue spent on capital works*

## ACCOMMODATION

The State Archives and Government Records Repository complex has a storage capacity in excess of 125 000 linear metres of shelving. Stage 1 of the Repository, which was built in 1974-75, is based on a cellular design and is air-conditioned. It contains 45 000 linear metres of static shelving for the storage of State archives and other permanently valuable records, plus staff areas. The GRR is based in Stage 2 of the Repository, which was built in two phases in 1978 and 1983, and contains 75 000 linear metres of mobile compact shelving, plus 5 000 linear metres of static shelving, which has been installed more recently. The Services Building extension, completed in 1987, comprises a public search room and associated facilities for the public. It also has special coolroom vaults for the proper storage of computer tapes and microfilm reels.

The site of the Kingswood Repository is formally vested in the Archives Authority. The Authority has also commissioned the Commercial Development

Branch of the Public Works Department to assess the options for disposing of land surplus to the Repository's needs.

Both the GRR and the Archives Office need additional accommodation. This is primarily required for storage purposes but some office and work areas are also needed. The last extension to the Kingswood Repository for storage was completed in 1983. In particular, the commercial success and increasing holdings of the GRR necessitate the provision of further accommodation. The Stage 3 extension, presently under construction, will provide nearly 40 000 linear metres of storage as well as office and work areas for the GRR's administrative and consultative staff. The Authority also hopes to eventually relocate some staff from The Rocks building with a view to reducing its rental commitment.
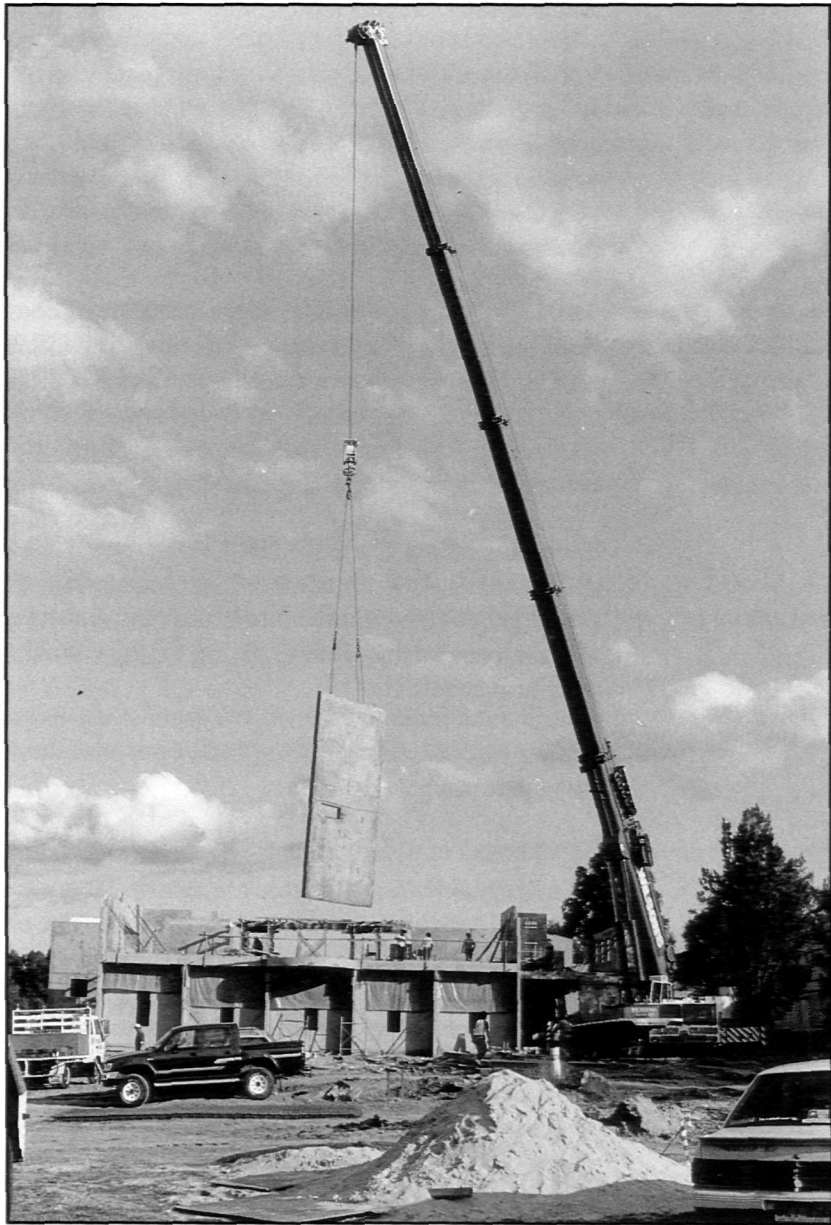


*Construction of Stage 3 of the Government Records Repository complex at Kingswood. The wall section being carefully lowered into place by the 200 tonne crane is one of the largest of the prefabricated panels used in the building.*

The design and plans for the Stage 3 extension were prepared by the Public Works Department in accordance with a brief compiled by the Repository management. The project has a budget of $4.4M, comprising building construction, shelving, office fitout and landscaping. Expenditure in 1992-93 was $1.48M. The contract for construction was awarded to Richard Crookes Constructions Pty Ltd. Site works commenced on 8 February 1993 and by 30 June 1993 the floors and walls were completed and work was concentrated on the roof area. It is hoped to have Stage 3 completed in early 1994.

The Archives Authority has been most concerned at the deterioration of the roof membrane on Stage 1 of the Kingswood Repository. This is of special concern because it is the building which houses the State archives. Following an assessment of the options by the Public Works Department, it is hoped that funds will be made available in 1993-94 to permit the roof to be covered by a sloping metal structure to prevent further water penetration.

## STAFF

As at 30 June 1993, the GRR was operating on an Effective Full Time staff establishment of 31.5 positions, which is the same as last year. These positions were allocated to the following activities: Administration 5; Building services and transport 10; Records retrieval 10.5 and Consultancy 6. Cleaning and maintenance of plant were contracted out.

The 31.5 positions actually comprised 35 staff consisting of 28 full-time and 7 part-time. Only 17 staff were permanent. The GRR employs four categories of staff and the respective numbers are: Clerical Officers 20; Archivists 6; Drivers 7 and Clerks 2. All staff are employed under the Public Sector Management Act and appropriate Public Service awards. Staff do not receive commissions, bonuses or incentives of any kind.

Excluding salary costs, the GRR spent over 1.5% of its salaries allocation on staff training. Staff attended various courses including clerical officers learning word processing and senior staff attending courses on performance management, business planning, marketing and sales. Numerous training videos were also acquired.

During 1992-93, no staff of the GRR were promoted and no additional staff were made permanent.

## HOLDINGS

To manage an efficient records repository, it is essential to know what records are stored and their correct retention periods. The changes that have occurred in the GRR system in recent years have resulted in the Repository management having greater control over the holdings and therefore being able to foster orderly accessioning and disposal conditions.

The quantity of semi-active records accessioned in 1992-93 was 14 377 linear metres, compared with 12 766 linear metres in 1991-92. After allowing for the disposal of records the overall effect of this was to increase Repository holdings by 13% compared with 15% in the previous year.

*Performance Measurement*

**% Increase in Holdings**

| Year | Target (%) | Actual (%) |
|------|------------|------------|
| 1991-92 | 15 | 15 |
| 1992-93 | 15 | 13 |
| 1993-94 | 10 | |

### NON-STATE GOVERNMENT RECORDS

Local Government bodies and public hospitals are not "public offices" as defined in the Archives Act and are therefore not covered by it. However, the records which they create are very diverse and include information which is of considerable interest to researchers and the public in general. The total quantity of records held by these organizations is unknown, but is certainly vast and quite beyond the resources of the Archives Office, in its present form, to handle in any meaningful way. Since 1986, the Authority has had a limited involvement in this area by way of allowing the GRR to assist these organizations on a fee for service basis.

The GRR has been active in the local government area because it produced the *General Records Disposal Schedule for Local Government* in 1988 and will soon publish the *Records Management Checklist for Local Government*, which was commissioned by the Department of Local Government. The GRR stores permanently valuable records for many councils. The GRR also undertakes consultancy work and provides training for records managers in local government.

The GRR has also been active in seeking to store records on behalf of public hospitals. Apart from smaller hospitals, two of Sydney's largest public hospitals are also major clients of the GRR.

Furthermore, as part of the overall commercialisation process, the GRR stores records for non-government bodies seeking a quality service.

### RECORDS RETRIEVAL SERVICE

Provision of an efficient and reliable records retrieval service is a significant component of the GRR's service guarantee to its clients.

The number of individual reference inquiries handled by the Retrieval Service amounted to 94 544 in 1992-93, compared to 91 906 in 1991-92.

**Retrieval Service Statistics**

|  | **1990-91** | **1991-92** | **1992-93** |
|---|---|---|---|
| Number of files requested | 52 555 | 54 219 | 51 685 |
| Number of files issued | 46 366 | 48 140 | 46 572 |
| Number of files returned | 32 588 | 34 973 | 36 448 |
| Number of files added to existing boxes in the Repository | 1 903 | 1 432 | 2 001 |
| Number of items attached to existing files in the Repository | 1 866 | 1 282 | 4 410 |
| **Total Retrieval Operations Performed** | 88 912 | 91 906 | 94 544 |

The above table shows the total statistics of the Retrieval Service conducted for GRR clients. It can be seen that the total number of file retrieval operations in 1992-93 increased by nearly 3% on the previous year.

Clients storing records in the GRR may request their return according to a schedule of options and prices. During the year a number of significant enhancements to the system of retrieving records for clients were implemented. These changes have ensured that the GRR continues to match industry best practice bench marks. Requested records are returned to clients the same day by the Repository's uniformed drivers using secure, unmarked vehicles. Most clients receive two deliveries per day. For urgent requests, the GRR provides an express courier delivery, which although more expensive, guarantees delivery within one and a half hours (no charge is made if the guaranteed time is not met). After-hours retrieval is also available to clients needing 24 hour-a-day service.

The Retrieval Service statistics are arrived at by adding together the number of files requested, the number of files returned, the number of files added to existing boxes in the Repository, and the number of items attached to existing files in the Repository; each time any one of these actions is performed reference has to be made to one box of records and hence the labour input is similar for each operation. No charge is made for the return of items to storage.

*Performance Measurement*

**% of files Issued to Requested**

| Year | Target (%) | Actual (%) |
|---|---|---|
| 1991-92 | 90 | 88 |
| 1992-93 | 90 | 90 |
| 1993-94 | 90 |  |

During 1992-93 the percentage of files issued to files requested was 90%, compared with 88% in 1991-92. It should be noted that this percentage is an average covering all users of the Repository, and that the retrieval rate for some public offices is consistently above the average. In general, the main reasons for

files not being issued are that clients sometimes box records inefficiently before transferring them to the Repository; compile inadequate finding aids; double-order records; or provide inaccurate information on their whereabouts. Occasionally, when an item is not retrieved when first requested through some fault of the GRR, the Repository makes no charge for the subsequent transaction as part of its guarantee of service.

### DISPOSAL OF RECORDS

One of the important functions of the GRR is to ensure that unwanted records do not accumulate in the system. The removal or disposal of records from the Repository usually takes place in one of three ways: recall by the creating agency, destruction or transfer as State archives.

The quantity of semi-active records destroyed in 1992-93 was 5 198 linear metres, compared with 2 514 linear metres in 1991-92.

Records stored in the GRR are destroyed under supervision, at no charge, when they are time expired. Most records are destroyed by pulping under supervision at a nearby paper mill. However, confidential shredding can be undertaken on the premises if the client is prepared to pay for it. For a small fee, the GRR also collects records from client premises for confidential destruction. All waste paper at the GRR is sold for recycling.

The quantity of records currently stored and awaiting disposal action is a matter of growing concern. The quantity of records held in the GRR and pending transfer to the Archives Office continued to increase during 1992-93. This quantity has now reached over 50 000 boxes or about 8.5 kilometres, which is nearly double the quantity last year. The main reason for the large increase is the Consumer Affairs Department handing over records of the former Corporate Affairs Commission. However, a summary of all holdings in this category shows 5 000 boxes requiring transfer as State archives; 14 000 boxes needing appraisal or culling and 15 000 boxes of Corporate Affairs awaiting review. This category also includes 17 000 boxes of Primary Applications from the Land Titles Office and Correspondence files from Local Land Board Offices, which are still pending final disposition, although these two former groups have been relocated to the Stage 1 archival building. All these records are stored gratis.

### CONSULTANCY SERVICES

The GRR also provides a range of consultancy services to its clients, including sorting, boxing and listing records, disposal scheduling, clearance of records accumulations, building appraisals and preparation of publications and training. The Repository employs five professional staff in this area and the provision of this value added service separates the GRR from a variety of commercial competitors in the private sector. As a result of its consultancy services, the Repository has gained new clients for its core records storage function.

The Repository quotes and tenders for such jobs as are referred to it. This is a relatively new activity but it appears to fill a gap in the market. The Stage 3 extension will provide space for this important initiative to continue developing.

### ARCHIVES PROCESSING AND REFERENCE WORK

The Kingswood Repository stores most of the State archives, for which room is not available in the City office. Statistics on archives processing and reference services are given elsewhere in this report.

(Manager, Ms A.J. Barber, B.A., Dip.Arch.Admin.)

This section is located in the State Archives building, The Rocks, Sydney. Its main function is to appraise, cull and dispose of public records referred to the Authority under the Archives Act, 1960, section 14. It is also responsible for records scheduling, the development of guidelines and standards, and the co-ordination of appraisal functions in both the City and Kingswood locations of the Archives Office.

### DISPOSAL — POLICY AND PRACTICE

The Archives Act provides that public records in the custody or under the control of a public office shall not be destroyed or disposed of otherwise than in accordance with a specified procedure. Under this provision a public office may thus retain custody of its own records for as long as it wishes but it may not dispose of them in any way, without the prior approval of the Archives Authority. Once the Authority has been notified of an intention to dispose of public records, the Archives Office staff may inspect and appraise them. The Archives Office then prepares a Disposal Recommendation for consideration by the Authority, which may require any of the records in the notification to be made available to it as State archives, in the same form in which they were maintained in the public office.

The Authority has continued its policy of authorising the destruction of some series of records on a continuing basis; this is appropriate when records considered to be of no further administrative or research use are being continually created without any significant variation in form or content. A continuing authority for the disposal of records, once given, obviates the need for a public office to refer accumulated records of a particular class to the Archives Authority whenever it wishes to dispose of them and naturally results in a saving of time and labour for both the Authority and the public office. At the same time, it may be reviewed or withdrawn if the Authority considers this warranted.

As noted previously, the arrears of records waiting appraisal are a matter of great concern. There are some 10 220 metres of records awaiting appraisal, including 4 930 metres of records occupying valuable space in the Repository. The continuing growth of these arrears is due in part to the time-consuming nature of appraisal work and in part to the priority given to using the limited staff resources for consultancy work and for the appraising and scheduling of records held in agency premises.

### DISPOSAL RECOMMENDATIONS

In 1992-93, the Authority dealt with 204 recommendations for the disposal of records, compared with 259 recommendations in 1991-92. The recommendations covered 1 257 series of records. The known quantity of records covered by these recommendations is 3 252 metres and over 230 000 plans, 64 rolled diagrams, 4 photographic negative and 4 photographic proof sheets.

**Disposal of public records authorised by the Archives Authority**

| | 1991-92 | 1992-93 |
|---|---|---|
| Quantity authorised for transfer and retention | 694 metres | 690 metres |
| Known quantity authorised for transfer and further evaluation | 462 metres | unknown |
| Total quantity authorised for transfer | 1 156 metres | 690 metres |
| Known quantity authorised for destruction | 1 818 metres, 500 000 plans | 2 562 metres 230 000 plans |

### RETENTION OF PUBLIC RECORDS

During the year the Archives Authority authorised the transfer of approximately 690 metres of records as State archives. In addition, a number of the disposal recommendations were functional records schedules and continuing authorities, and will result in an unknown quantity of records being transferred as State archives or for further inspection and appraisal.

### DESTRUCTION OF PUBLIC RECORDS

Authorisation was given during the year for the destruction of a known quantity of at least 2 562 metres of records. In addition, 230 000 plans were authorised for destruction. No attempt has been made to estimate the total quantity of records involved as statistics of destructions during the year were not always supplied. Figures are difficult to gather and verify because continuing destructions have been authorised under the terms of the General Records Disposal Schedule, various functional records schedules, and numerous continuing recommendations, and destructions under such authorities are an agency responsibility.

### DISPOSAL SCHEDULES

Disposal Schedules are listings of records which plan the life of the records from the time of their creation to the time of their disposal, which is either by destruction or retention as State archives. During 1992-93 work was undertaken on the *General Records Disposal Schedule - Accounting Records*, which is being revised to reflect the rapidly changing work practices in the NSW public sector. The Schedule outlines the retention period and disposal action of every major accounting record in every NSW government public office.

Disposal Schedules relating to individual departments are usually compiled by departmental staff and submitted to the Archives Authority for approval.

### CONSULTANCY SERVICES

In addition to its normal disposal and appraisal activities, the Disposal Services section provides a consultancy service aimed at assisting the New South Wales public sector adopt and implement efficient and cost-effective disposal practices. The service offered includes records disposal scheduling, culling of files, and training, and can be tailored to suit the client's needs.

In 1992-93 work was completed by Disposal Services staff on the compilation of disposal schedules for the records of the Office of State Revenue and the Ministry for the Arts. Training and assistance in compiling a schedule was given to the Department of Planning, and work was begun on compiling a disposal

schedule for the State Transit Authority. A consultancy was also commenced for the Supreme Court of New South Wales.

## SPECIAL APPRAISAL ACTIVITY

One of Disposal Service's most significant achievements during 1992-93 was the completion of the appraisal and cull of 455 metres of Crown Solicitor's *Legal Files*. This task resulted in 314 metres being recommended for retention and 141 metres being recommended for destruction.

## OTHER SERVICES

Disposal Services staff, in conjunction with the Records Management Office, co-presented eight workshops on the culling, scheduling and disposal of records. The courses were attended primarily by records managers/officers from NSW Public Sector agencies. Stephen Bedford, Senior Archivist, Machine Readable Records, presented a paper entitled *EDI in the NSW Public Sector* at a seminar on Computers and Records Management on 4 June 1993.

**Revenue/targets**

| 1991-92 | 1992-93 | | 1993-94 |
|---|---|---|---|
| Revenue ($) | Target ($) | Revenue ($) | Target ($) |
| 15 093 | 10 000 | 4 850* | 20 000 |

*\* This figure represents less than 50% of the projected target for 1992-93. This lower than expected figure is a result of some payments being made in 1991-92 for consultancies begun in 1991-92 and completed in 1992-93.*

## SYSTEMS

(Manager, Mrs C.M. Shergold, B.A., Dip.Lib., Dip.Arch.Admin.)

This section is located in the State Archives building, The Rocks, Sydney. It is responsible for the overall development, co-ordination and implementation of archival management systems in the Archives Office, including computerisation of collections control. The Systems Unit is also responsible for fine processing, estrays, sensitive material including Royal Commissions, and special publications.

## THE CONCISE GUIDE

The second edition of the *Concise Guide to the State Archives of New South Wales*, the main finding aid and control guide to the records held as State archives, has continued to sell well. 169 copies of the *Guide*, which consists of a printed Handbook and 22 microfiche, were sold during the year.

To provide enhanced searching of the *Concise Guide* the Systems Unit has set up the *Electronic Concise Guide*.

The *Electronic Concise Guide* is an unstructured free-text database consisting of the text of the *Concise Guide*, 2nd edition, stored electronically as a number of word processing documents which can be searched by means of the text retrieval software ISYS. ISYS is designed to provide rapid access to information contained within huge amounts of textual data in any number of individual files.

The setting up of the *Electronic Concise Guide* took some months to complete as a considerable amount of work was required to convert the *Concise Guide*

documents to the MS-DOS environment in which ISYS operates. In addition to the electronic conversion itself, this operation involved the re-formatting and editing of the documents to ensure that their appearance was similar to that of the documents on the *Concise Guide* fiche. To assist staff to become familiar with the *Electronic Concise Guide* a manual was prepared and a large number of training demonstrations were held.

The *Electronic Concise Guide* has proven to be a most valuable tool and has been embraced enthusiastically by both reference and technical staff.

To date, the *Electronic Concise Guide* has officially been available only to staff. However, from July 1993 a new service, known as **FindIt!**, is to be introduced in the Search Rooms to allow the public direct access to the *Concise Guide* database using the ISYS software.

In addition to facilitating additional means of accessing data in the *Concise Guide*, the conversion of its text to the MS-DOS environment will more readily allow the updating and revision of series and agency information and distribution of that information pending the implementation of automated control systems.
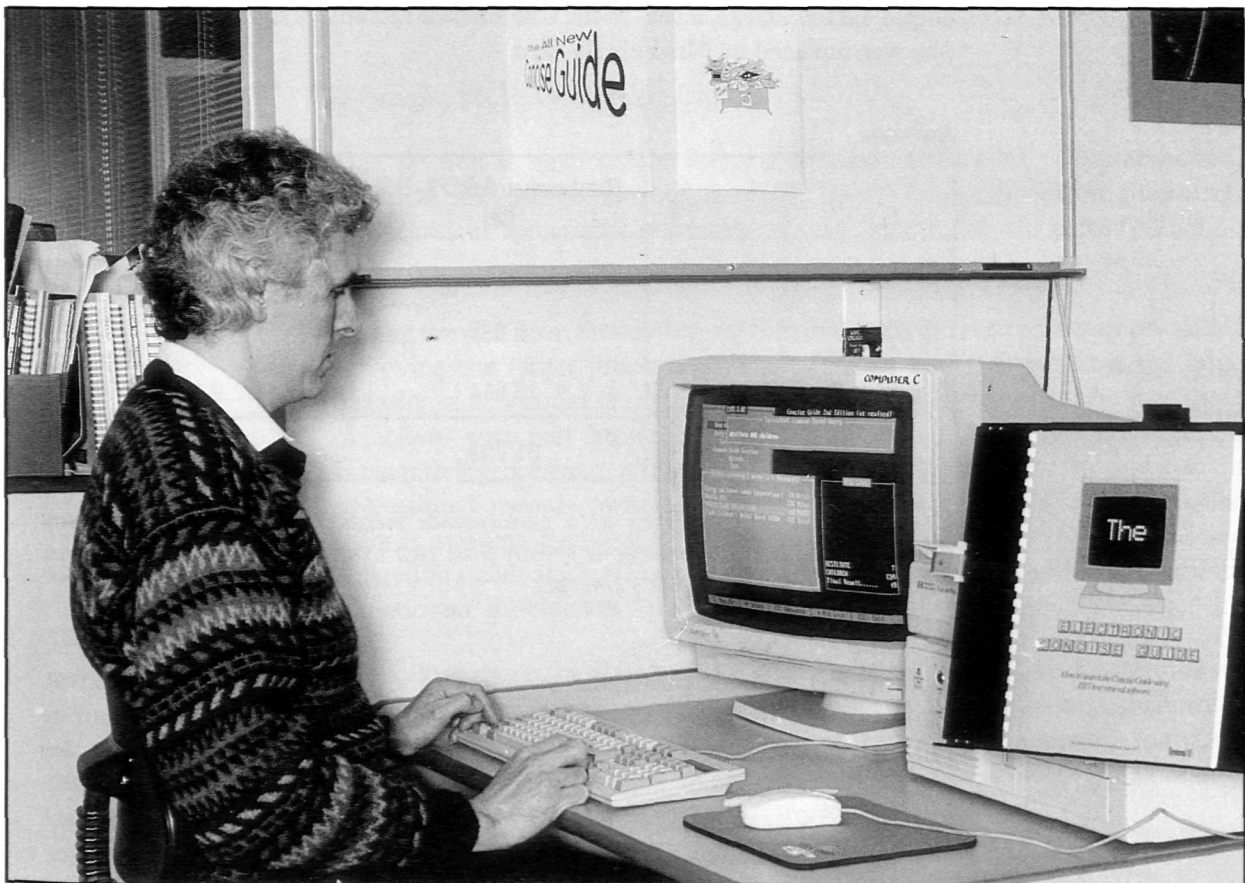


*Michael Allen, Systems Co-ordinator, using the new Electronic Concise Guide.*

### DEVELOPMENT OF COMPUTERISED CONTROL SYSTEMS

The development of computerised control systems for the management of and access to the State archives is presently under investigation by the Systems Unit.

Activity in this area effectively did not commence until April 1993 and was largely confined to the gathering of information on control systems in use by other archival institutions. Systems staff visited the Public Record Office of Victoria and the Queensland State Archives in April and May respectively.

Some preliminary examination of the software and hardware issues has also been undertaken.

### ROYAL COMMISSIONS

The responsibilities associated with access to the records of Commissions were almost exclusively confined to those related to the Royal Commission into Deep Sleep Therapy (Chelmsford Royal Commission).

The level of inquiry relating to the Chelmsford Commission was initially heavy but began to reduce towards the end of 1992. Future activity is dependent upon the progress of a number of matters presently being processed by the legal system. A review of the special administrative and funding arrangements, which were put in place to allow the effective management of records, will be made at the end of September 1993.

Ms Dolores Cummins, Information Co-ordinator — Chelmsford, who had been employed to manage access to the Chelmsford records, resigned in April 1993. She was replaced by Mrs Felicity Siro.

### Revenue

| | Revenue 1991-92 ($) | Revenue 1992-93 ($) |
|---|---|---|
| Storage | — | 29 000 |
| Copying | 15 985 | 5 315 |
| Other | 15 814 | 2 103 |
| **Total** | 31 799 | 36 418 |

*These figures are not given as a performance measure as revenue from Royal Commissions is likely to fluctuate greatly from year to year, and the level of demand is largely outside the Office's control.*

### OTHER ACTIVITIES

Systems has also been involved in assessing a number of possible archival estrays; producing the ninth edition of the annual magazine *Archeion*; and in formatting and typesetting several documents and publications, including the Authority's 1991-92 Annual Report, Technical Paper No.5: *Guide to the Salvage of Water Damaged Records,* the *Records Scheduling and Disposal Handbook,* and the new edition of *How to Dispose of Public Records.* The latter two publications were published as numbers 2 and 3 of the series Standards and Guidelines.

Systems also designed and produced a series of seven *Conservation Notes* based on those appearing in *Archeion* numbers 3 to 9.

Christine Shergold, in her role as one of the Archives Office's representatives on the Council of Federal, State and Territory Archives (COFSTA) Working Party on Descriptive Standards, was engaged in assessing the Office's descriptive practices and preparing a report on them for inclusion in the Working Party's preliminary report to the Council at its meeting on 14 December 1992.

A task which Systems commenced during the year is the conversion of documents from the Remington NBI word processing system to the MS-DOS environment. This is necessary as the Remington system will eventually be completely superseded and it is important that the labour associated with the original production of the many guides, information leaflets and operational documents typed into the system over the last ten years is not lost.

Two databases have been created to provide a shelf number by shelf number and agency by agency record of State archives. The first comprises location information relating to records listed in the *Concise Guide* while the second relates to locations of those archives which do not appear in the *Guide* — for example, those that appear in Special bundle listings in Information Leaflets.

These databases are designed to assist in locating material excluded from the *Guide* as well as in identifying incorrect locations. The databases can be combined and expanded later to act as a master record showing the extent of intellectual control.

## COLLECTION SERVICES

(Manager, Mr R. Gore, B.A., Dip.Lib.)

This section is responsible for accessioning, processing, documentation, location and movement of records, space/accommodation planning, conservation/reprography priorities, regional repositories and access policy.

### OVERVIEW

During the past year, Processing staff have concentrated on two major priorities: achieving the target processing output figures, and ensuring that the large quantity of accessions is adequately documented and controlled. Both of these objectives were met during the year despite limited staff resources, however substantial processing arrears still remain (1 907 metres), in addition to accessioned records awaiting appraisal (2 400 metres) and unaccessioned records awaiting appraisal (7 820 metres). As of 30 June 1993, the processed collection stands at 35 091 metres plus 120 434 maps, plans and documents. Full statistics are provided in Appendix 5.

Repository space for State archives is virtually full. The Stage 3 extensions at Kingswood will provide some reserve capacity, but the known large quantity of archival records awaiting appraisal and/or transfer from agencies and from semi-active storage is cause for concern as it will place considerable pressure on storage facilities within the next few years.

Other activities during the year included a major inspection visit to the Authority's largest regional repository (Charles Sturt University Archives, Wagga Wagga), the commencement of a review of access policy and access conditions, and preliminary planning in relation to future Archives Office
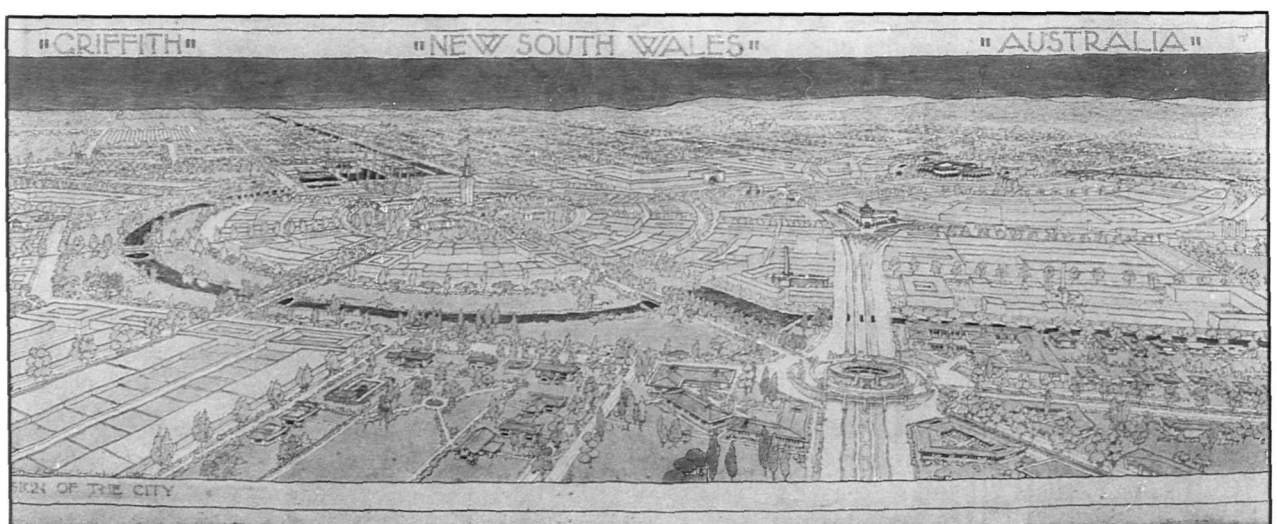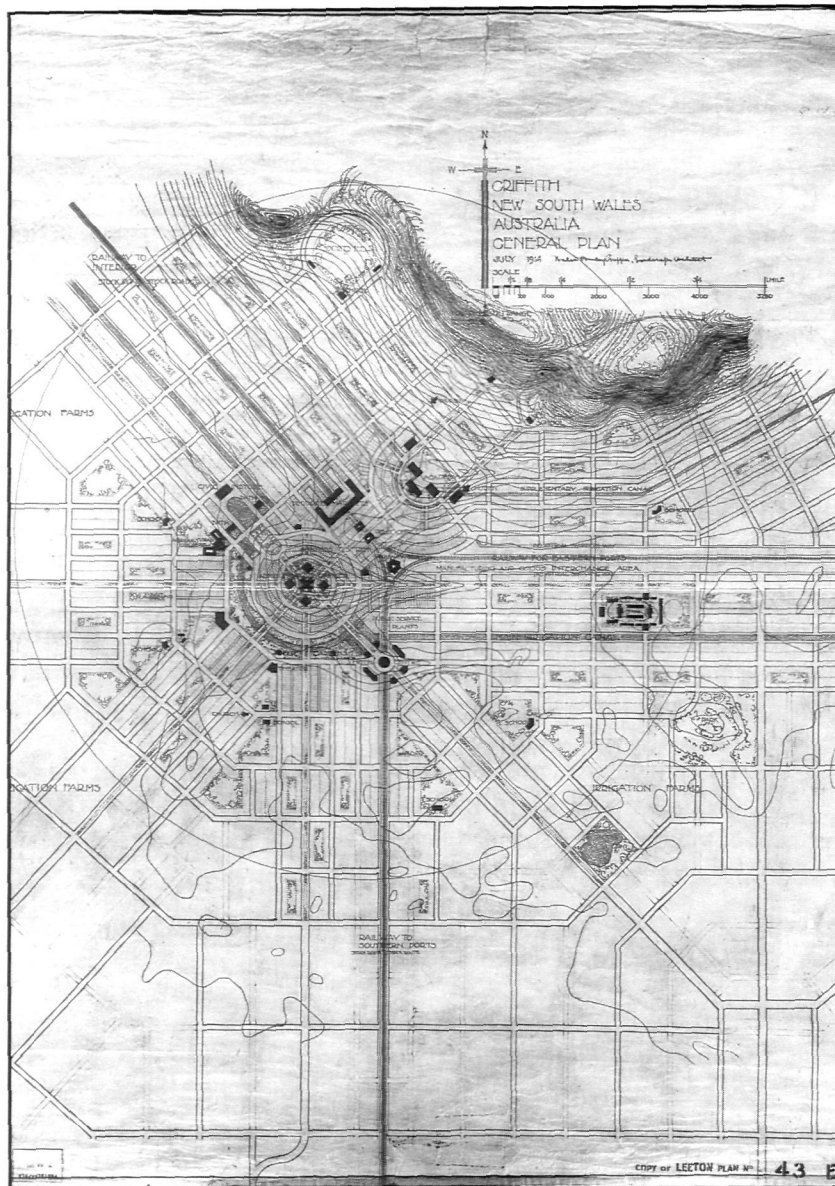
*Walter Burley Griffin's original town plan for Griffith, NSW and an artist's impression of the design. The plan, commissioned by the Water Conservation and Irrigation Commission in 1913, and the delicately tinted water colour design painted on silk, were some of the more interesting items processed during the year.*

operations at Kingswood. Microfilming priorities were also re-ordered during the year, with a greater emphasis placed on the filming of significant series which are currently partially restricted due to fragility.

**ACCESSIONS**

Significant records accessioned during 1992-93 included:

☐ Registry of Co-operatives: Minute books, 1924-90

☐ Auditor General: Reports, 1855-1985

☐ Crown Solicitor: Advisings, 1890-1917

A small number of estrays were also accessioned during the year (estrays are public records which at some stage have passed out of official custody and into private hands). These included Minutes of the NSW Transport and Highways Commission, 1950-52.

**PROCESSING**

The overall target figure of 1 200 metres plus 1 000 plans was exceeded in 1992-93, with 1 351 metres and 1 194 plans processed during the year. Apart from routine Police and Local Court records, material processed included:

*City Office*

☐ Water Conservation and Irrigation Commission: Walter Burley Griffin's Town plans of Leeton and Griffith, c.1914 and artist's impressions of the designs, c.1914

☐ Public Health: Records of Lidcombe State Hospital and Home, c.1929-66

*Kingswood*

☐ Roads and Traffic Authority: Council Correspondence files, 1920- 89

☐ Premier's: Cabinet documents, 1970-88

*Performance Measurement*

**Processing output**

| 1991-92 | 1992-93 | | 1993-94 |
|---|---|---|---|
| Output | Target | Output | Target |
| 1 529.05 metres, c.1 100 plans | 1 200 metres, 1 000 plans | 1 351.16 metres, 1 194 plans | 1 400 metres |

**ACCESS POLICY AND CONDITIONS**

Most State archives are "open" for use when they are 30 years old, a period which the Government adopted in November, 1977 and which conforms with general practice in other archival institutions, both in this country and overseas. The only exceptions are a comparatively small quantity of records which are of a specially confidential nature or contain information, the disclosure of which might harm individuals or infringe upon their rights. The conditions of access to the State archives, while ultimately determined by creating agencies, are

reviewed annually by the Authority. Work commenced during the year on a major review of access policy and access conditions, in association with the legislative review process, and in consultation with other Government Archives throughout Australia.

## STATE ARCHIVES ON LOAN

For many years it has been the policy of the Authority to place records which have been created in public offices in country areas, and which are therefore of particular interest to researchers in those areas, on long-term loan with local universities or libraries. Such records are formally transferred to the custody of the Archives Authority in accordance with the provisions of the Archives Act, and then placed on loan with the institutions. The institutions house the records and make them available for research use in accordance with the requirements of the Act and the conditions stipulated by the Authority.

In the longer term the Authority hopes to develop this policy into a state-wide network of regional repositories. These repositories would serve Government and people in the regions by storing State archives of regional significance, and holding microform copies of selected head office records (especially ones of genealogical value).

In March, 1989 the Minister for the Arts endorsed the Authority's proposals for regionalising repository services and gave his approval, in principle, to their development. This was welcome news, but the development of a State-wide network is unlikely to be possible without some financial assistance. For many years the plan was to develop facilities in each of eleven regions, but in December 1991 the Authority resolved to rationalise the network by reducing the number of proposed repositories to seven.

At present, State archives of regional interest are on loan to the archives of the Charles Sturt University, Wagga Wagga, the University of New England, the University of Newcastle, the University of Wollongong, the Newcastle Region Public Library, and the Broken Hill City Library. In all, well over 3 500 metres of records and some 10 000 maps and plans are held in these institutions, with the greatest quantity being held by the Charles Sturt University Archives in Wagga.

In addition to original records, sets of the Authority's *Genealogical Research Kit* are held by the Charles Sturt University, the University of New England, the University of Wollongong, the Newcastle Region Public Library and Broken Hill City Library. The Authority has also supplied copies of the New South Wales *Colonial Secretary's Papers, 1788-1825* to the Charles Sturt University, the University of New England, the Newcastle Region Public Library and the Broken Hill City Library.

An inspection of the Charles Sturt University Archives at Wagga was carried out on 3-4 May 1993.

*A copy of an 1899 letter from one of the recently accessioned Crown Solicitor's Advisings letter press books.*

## PRESERVATION SERVICES

(Manager: Mr J. Davies, A.M.N.)

Preservation Services operates from three fully equipped conservation, photographic, microfilming and testing laboratories located in the State Archives building, The Rocks, Sydney. It is responsible for executing the conservation policies of the Archives Office, for the repair and preservation of public records, microfilming and reprographic services, and provision of technical advice to Government departments.

### CONSERVATION AND BINDING

During the year work continued on conserving Government Architect plans and drawings dating back to 1879. Staff were also engaged in repairing and preparing items for microfilming. Other significant records to receive attention during the year included:

☐ Court of Criminal Jurisdiction Papers, May 1821 - March 1823

☐ Art Gallery Visitors' book, 1895-1896

Binding of the State archives is done internally by the conservation staff and this year's program saw a total of 162 items bound or rebound.

### MICROFILMING

A highlight of the year was the upgrading of the microfilming facility with equipment which became available when the Public Works Department's microfilming program was discontinued. The acquisition in May 1993 of two additional planetary microfilm cameras, a film processor and a film duplicator allows a full microfilming service to be carried out under secure and controlled conditions on the premises. This has already contributed to a significant increase in microfilming output and a total of 68 rolls of microfilm (35mm x 30.5m) was produced during the year.

### OTHER ACTIVITIES

Mould has affected bound volumes in one of the cells in the Repository. Investigation of the problem indicated that it would be more effective to fumigate the entire cell rather than attempt selective treatment of the affected items, and planning for this is underway.

During the year training in document repair was provided to four Bookbinders from the Land Titles Office for a period of two weeks each and testing of microfilms were conducted on behalf of the National Library of Australia, Canberra. Revenue earned from these services was $3 475.



*Rachel McCormack, Clerical Officer, using the new Extek microfilm duplicator.*

(Manager, Ms C. Yeats, B.A., Dip.Lib., Dip.Arch.Admin.)

The major responsibilities in this area are:

☐ Search Room Services

☐ Research Services (letter and telephone)

☐ Client liaison, extension and reader education

☐ Exhibitions

☐ Publications (other than control guides)

These responsibilities are derived from the Archives Act, 1960, particularly from sections 13 and 17.

## PUBLIC ACCESS AND USE

The Archives Authority's collections are open to all members of the public as well as to government. Admission to the Search Rooms is free and is normally by reader's ticket, which is usually issued for a period of twelve months and is renewable upon application. Readers who visit once or twice only, or who have no appropriate identification which would enable them to apply for a reader's ticket, are granted temporary authority to use copied records, usually for family history purposes.

While Search Room access to the State archives is free, the Authority does impose charges for many of its "value added" services, including photographic work, research inquiries undertaken by staff, specialised seminars and training workshops, and some talks and tours. This policy of free access to basic services in conjunction with charges for specialised services accords with Government policy on admission of the public to the cultural institutions, as conveyed to the Authority by the Minister for the Arts in July 1988 and re-affirmed in March 1991.

## GENERAL TRENDS

Usage figures have increased slightly during the past two years, after declining steadily since the mid-1980s.

## SEARCH ROOM SERVICES

The City Search Room is currently open to the public for 46 hours per week, including Saturdays. The number of reader/visits remains fairly constant with around 32 readers per day. The Kingswood Search Room is open from Tuesday to Saturday (a total of 38 hours per week), and the number of researchers has increased slightly during the past year. Usage of original records has remained high at Kingswood, due to the popularity of the Deceased Estate files. With the current levels of demand, staff are able to provide an efficient, high quality service.

**Search Room Statistics — Summary**

|  | **1991-92** | **1992-93** | **Variation (%)** |
|---|---|---|---|
| Total number of users | 5 963 | 6 091 | 2.1 |
| Total number of reader/visits | 14 086 | 15 111 8 | 7.3 |
| Total number of issues | 103 443 | 112 371 | 8.6 |

*Approximately 85% of users are family historians, with the remaining 15% comprised of local historians, university staff and students, professional historians etc.*

*The "Total number of users" is the number of individual researchers using the Search Room Services.*

*The figure for "reader/visits" is the sum of the daily totals of readers using State archives, many of whom attended for more than one day and some over long periods.*

*The figure for "Total number of issues" is for individual items from the archives (i.e. volumes, boxes of documents, maps, microfilm reels or microfiche) issued to readers in the Search Rooms.*

For more detailed information on use of the State archives see Appendix 7, Tables 1 and 2.



*Janet Knight, Archivist, assisting a researcher in the Search Room at Kingswood.*

*Performance Measurement*

**Response time (request for original material)**

| 1991-92 | 1992-93 | | 1993-94 |
|---|---|---|---|
| Success rate | Target | Success rate | Target |
| 45 minutes (c.95%) | 30 minutes (95%) | 30 minutes (c.98%) | 30 minutes (95%) |

*These figures relate to retrieval of items found to be on the shelf in their correct location. Longer retrieval times are occasionally unavoidable at Kingswood on busy Saturdays, as staff resources are limited.*

### Regional Repositories

Regional repositories report steady usage of microform records, particularly by family historians. Demand remains highest in Wollongong, Newcastle and Wagga Wagga.

### OFFICIAL USE OF STATE ARCHIVES

Although most State archives are no longer regularly required for official purposes, it is important to record that some are still required from time to time in connection with administrative action being taken either by the public offices which transferred them or by others. The first duty of the Archives Authority is the preservation and maintenance of the permanently valuable records of the State and, in providing access to users, the Authority gives priority to the Government's use of its own records. The statistics for the level of reference to State archives and other enquiries from Government departments are set out below:

| | 1990-91 | 1991-92 | 1992-93 |
|---|---|---|---|
| Issues of documents to Government departments | 2 438 | 2 347 | 2 722 |
| Research of State archives on behalf of Government departments | 17 | 10 | 8 |
| Telephone inquiries from Government departments | 318 | 316 | 427 |

**Retrieval — Revenue (City Office only)**

| Revenue 1991-92 | Revenue 1992-93 |
|---|---|
| $2 030 | $3 529 |

### RESEARCH SERVICE

The Reference Services provides a user-pays mail-order research service covering photographic orders, convict research, Deceased Estate files, and other topics at the Office's discretion. The service aims to provide a high quality service to clients, to cover costs, and to ensure that demand is kept at a manageable level, given the Office's limited staff resources. Inquiries researched during the year covered such topics as the records of Mawson's Antarctic expedition and the vocabulary of the Eora dialect of the coastal Darug Aborigines.

In addition to the research service the Office provides a basic 'quick answer' telephone enquiry service, which continues to be heavily used.

**Summary Statistics**

|  | **1990-91** | **1991-92** | **1992-93** |
|---|---|---|---|
| Written inquiries received | 2 204 | 1 643 | 1 616 |
| Paid research inquiries completed | 78<br>plus photographic orders | 201 | 440 |
| Revenue | $8 000 | $8 450 | $23 260 |
| Telephone enquiries received | 6 213 | 5 818 | 6 434 |
| Permission to publish | 61 | 74 | 58 |

Full research statistics are set out in Appendix 7, Table 3.

**Revenue/targets**

| **1991-92**<br>**Revenue** | **1992-93** | | **1993-94**<br>**Target** |
|---|---|---|---|
| | **Target** | **Revenue** | |
| $8 450 | $9 000 | $23 260 | $20 000 |

*Performance Measurement*

**Response times**

|  | **1992-93** | | **1993-94** |
|---|---|---|---|
|  | **Target** | **Success rate** | **Target** |
| Quotations — preparation | 4 weeks | 76%* | 4 weeks |
| Quotations — completion of orders | 2 weeks | 92% | 2 weeks |
| Convict research | 6-8 weeks | 51% | 6-10 weeks |
| Deceased Estates | 4 weeks | 95.6% | 4 weeks |

*\* These figures apply from January 1993 only*

1992-93 was the first full year of operation of the user-pays research service, which was introduced in January 1992. The revenue it earned considerably exceeded the target set for the year, largely due to a higher than anticipated demand for the new full service. In 1992-93 there were 440 paid research inquiries, an increase of 239 over the previous year. As well, a single Convict or Deceased Estate inquiry can contain a request for several files searches, and each file search is charged for on a sliding scale. In the case of Deceased Estate inquiries, a total of 92 files was searched for 51 inquiries.

This higher than expected demand also affected the target time for completion of orders. Although the time was externally advertised as 6-10 weeks, an internal target of 6-8 weeks had been set. Due to the unexpectedly large number of research orders received staff only achieved a 51% success rate in meeting the 8 weeks target, however, a 100% success rate was achieved for the advertised time of 6-10 weeks. The target for 1993-94 has therefore been set as 6-10 weeks.

Archives Office staff continue to be involved in a wide range of extension and educational activities. Fees are charged for most of these activities, including visits by school groups. Talks provided to tertiary students as part of their course curriculum, and special activities such as those held during Senior Citizen's and Heritage Weeks, are free.

Highlights of the past year include:

☐ Senior Citizens Week talks and tours (March 1993)

☐ Heritage Week talks and tours (April 1993)

☐ Visit by a Japanese group to view the Shipping List of the Japanese Antartic Expedition, 1911

☐ Talks and tours for students of information studies

☐ Seminar for students of the Diploma in Family Historical Studies

☐ Workshops on the Concise Guide

☐ Publicity and sales stall at the Annual Conference of the Royal Australian Historical Society.

**Revenue/targets**

| 1991-92 | 1992-93 | | 1993-94 |
|---|---|---|---|
| Revenue | Target | Revenue | Target |
| $3 850 | $3 000 | $3 383 | $3 000 |

There is little scope for increasing revenue from extension services, as staff resources available for such activities are limited.

Statistics on extension activities are provided in Appendix 7, Table 4.

*Exhibitions*

The display mounted in the City Office entitled *Mapping New South Wales - Sydney and the Bush* remained on exhibition during the year. Preliminary planning is underway for a series of small thematic displays to be featured throughout 1993-94. The exhibition *Mountain Pathway - Documenting the History of Penrith* was replaced at Kingswood in April 1993 by a new display entitled *Days of Innocence? A look at the lives of children in New South Wales.*

The loan of a number of original documents to Liverpool City Council for a display at the Liverpool Bicentennial Museum from July to November 1993 was approved by the Archives Authority during the year.

*Members of the Japanese visitors' group viewing the Shipping List of the Japanese Antarctic Expedition, 1911.*

PUBLICATIONS

The Office produces a wide variety of publications which fall into five basic categories. The first consists of guides and finding aids which are published with a view to assisting researchers in using the State archives and enabling the staff to provide advice efficiently and effectively. The second is a series of Technical Papers, designed to assist Government agencies and similar bodies which have technical problems in the records area. The third consists of facsimiles of records held in the archives, which are published in hard copy or microform as teaching, reference and research aids, wall decorations, postcards and souvenirs. The fourth consists of two newsletters, Archeion, which appears annually, and ArchiVista, a quarterly, which are designed to disseminate information about archival holdings, publications and programs. The final series is new and consists of standards and guidelines.

A number of new publications were produced during the year, the most important being the *Records Scheduling and Disposal Handbook. Guidelines on how to write and implement a disposal schedule*, and a published version of *How to Dispose of Public Records*, which was previously available only to New South Wales public agencies. Both of these publications form part of the Standards and Guidelines series. A technical paper entitled *Guide to the Salvage of Water Damaged Records* was also published. Two new tea towels were produced - *Plague Proclamation* and *Emigration* - and have sold well.

A number of publications were either remaindered or sold out during the year including a number of posters — *Men of Wyalong Goldfield – Handbill, 28 March, 1903; Kelly Gang, 1899; Proposed Lilly Bridge Hotel, corner of Ross and Wigram Streets, Forest Lodge, 1887* and *Ambassador's Hotel, Pitt Street, 1924.*

**Publication sales — Revenue/targets**

|  | 1991-92 | 1992-93 | | 1993-94 |
|---|---|---|---|---|
|  | Revenue ($) | Target ($) | Revenue ($) | Target ($) |
| Col. Sec. Papers | 19 992 | 20 000 | 2 500 | 3 000 |
| GRK | 21 443 | 20 000 | 32 911 | 10 000 |
| Other publications | 21 486 | 15 000 | 20 780 | 10 000 |
| **Total** | 62 921 | 55 000 | 56 191 | 23 000 |

Revenue from sales of publications forms a major part of the Archives Office's revenue agreement. As the table shows, sales of the *Colonial Secretary's Papers* and *Index* were below the targets set, due in part to constraints on library budgets, and the continuing recession. Sales of the *Genealogical Research Kit* exceeded the target owing to a large interstate order. Sales of the other publications exceeded the target by approximately 33⅓ % due partly to excellent sales of the *Concise Guide* (169 copies at $45 per copy). An agreement was reached with Styfox Pty Ltd during the year for overseas marketing of some of the Authority's publications.

The *ArchiVista/Archeion* subscription fee remained at $15. The following table shows subscription and re-subscription rates:

| Subscriptions current as at June 1992 | Subscriptions current as at June 1993 |
|---|---|
| 600 | 685 |

**Subscriptions — Revenue/target**

| 1991-92 | 1992-93 | | 1993-94 |
|---|---|---|---|
| Revenue | Target | Revenue | Target |
| $8 172 | $500 | $1 647 | $8 000* |

*\* Subscriptions cover a 2 year period, and the majority will fall due during 1993-94.*

The Publications and Promotions Committee was inaugurated in October 1990 and is convened by the Manager, Reference Services. The Committee is responsible for co-ordinating the production, pricing and marketing of publications, and for promoting the Office and its services. The Committee met regularly during 1992-93. The publications currently offered for sale by the Archives Authority are listed in Appendix 8.

A program of review of the Photographic Service, analysing the full cost to the Office of providing a photographic service to the public and examining the utilisation of staff time and equipment was undertaken in 1991. In response to the major recommendations arising from this review, a policy of full cost recovery for the photographic service has been implemented. The service is equipped with photocopiers, two Canon NP780 plain paper reader/printers, a Nikon FM2 SLR camera, a planetary microfilm camera, a print processor, and a photographic darkroom fitted out with basic equipment needed to develop film and produce prints. As outlined elsewhere in this Report, the microfilming facility has recently been upgraded with equipment from the discontinued Public Works Department's microfilming program.

In addition to the "standard" copies produced in the Search Rooms or the photographic laboratory, the Office supplied copies of 170 unpublished microfilms to individuals, societies and libraries, resulting in additional revenue of $5 107.

*Performance Measurements*

**Revenue/targets**

| | 1991-92 | 1992-93 | | 1993-94 |
|---|---|---|---|---|
| | Revenue ($) | Target ($) | Revenue ($) | Target ($) |
| Search Room/Laboratory service* | 29 500 | 30 000 | 35 000 | 18 000 |
| Unpublished microfilms | 7 100 | 5 000 | 5 170 | 4 000 |

\* *Figures given here do not include photographic work done as part of the Research Service*

**Response times**

| | 1991-92 | 1992-93 | 1993-94 |
|---|---|---|---|
| | Target (Success rate) | Target (Success rate) | Target |
| **Search Room Service:** | | | |
| copies from microforms | 30 minutes (100%) | 30 minutes (99%) | 30 minutes |
| *Xerox copies:* | | | |
| small orders (20 pages or less) | 1 hr (c.90-95%) | 1 hr (100%) | 1 hr |
| large orders | 5 working days (100%) | 5 working days (100%) | 5 working days |
| **Laboratory Service:** | | | |
| standard | 4 weeks (86%) | *4 weeks (100%) | *4 weeks |
| urgent orders | 5 working days (100%) | 5 working days (100%) | 5 working days |

\* *The only problems with response times for the photographic service arise when unavoidable delays occur in repairing specialised laboratory equipment. Under normal circumstances, the four week response time is achieved, but delays of up to 2 weeks can occur in cases of equipment breakdown*

Full statistics on photographic services are given in Appendix 7, Table 5.
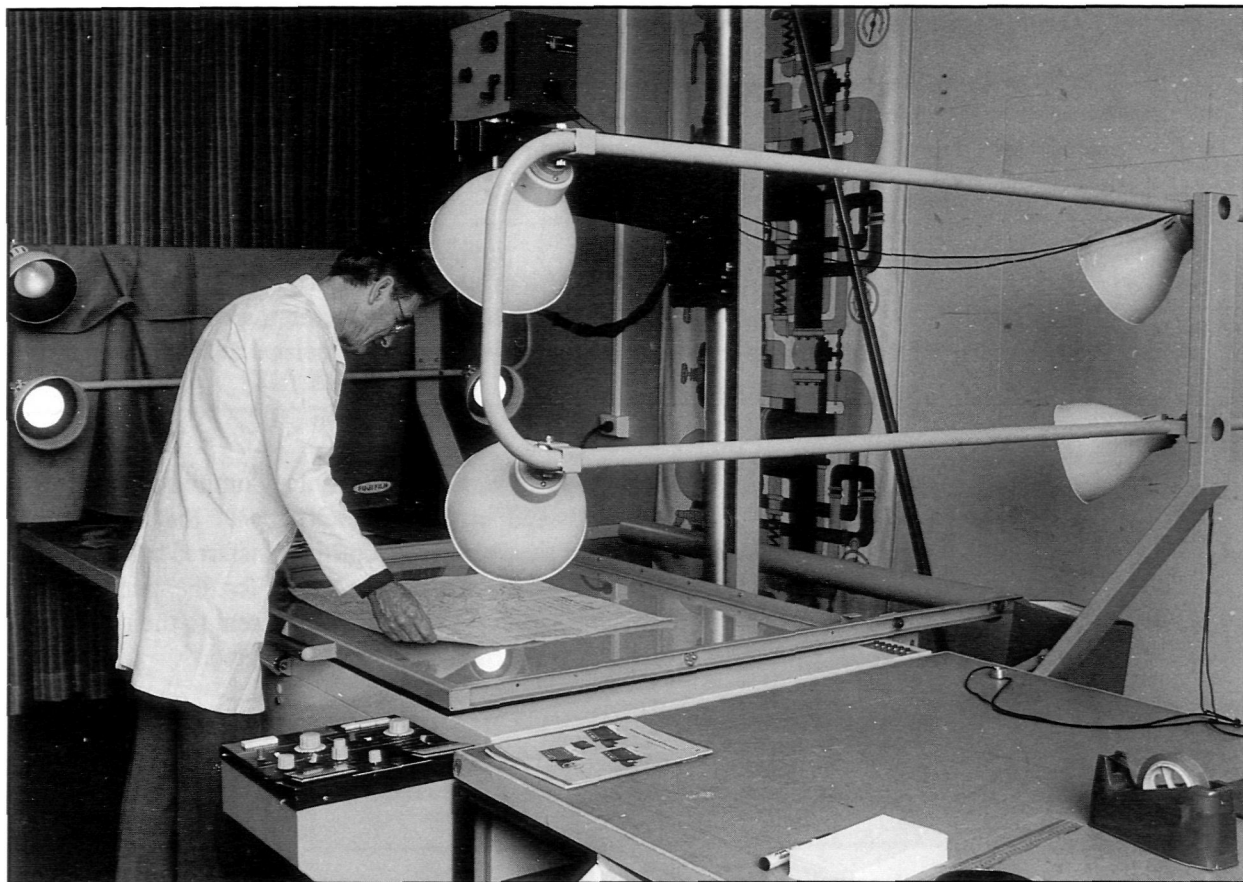
*George Chapman, Clerical Officer, using the new Fuji planetary microfilm camera.*

## ROYAL COMMISSION INTO ABORIGINAL DEATHS IN CUSTODY — IMPLEMENTATION OF RECOMMENDATIONS

There are two recommendations of the Commission which involve the Archives Authority, and both have been fully implemented.

### RECOMMENDATION 53

That Commonwealth, State and Territory Governments provide access to all government archival records pertaining to the family and community histories of Aboriginal people so as to assist the process of enabling Aboriginal people to re-establish community and family links with those people from whom they were separated as a result of past policies of government. The Commission recognizes that questions of the rights to privacy and questions of confidentiality may arise and recommends that the principles and processes for access to such records should be negotiated between government and appropriate Aboriginal organizations, but such negotiations should proceed on the basis that as a general principle access to such documents should be permitted.

### *Action taken*
Relevant records are available to researchers subject to access conditions which take into account appropriate privacy considerations.

Governments agree that:

a. The records of the Commission be held in archives in the capital city of the state in which the inquiry, which gathered those records, occurred; and

b. A relevant Aboriginal body, for example the Aboriginal Affairs Planning Authority in the case of Western Australia, be given responsibility for determining access the material jointly with the normal authority for determining such matters.

*Action taken*
After discussions in October 1991, it was agreed that the Commission records would be most appropriately stored in Regional Offices of the Australian Archives. All the relevant records have been temporarily transferred to the South Australian Regional Office of the Australian Archives for the purpose of arrangement and description; and relevant records will be sent to their state of origin for permanent storage once this task has been completed.

With regard to access to the Royal Commission records, the Archives Authority of New South Wales will have no further involvement, as they have been designated Commonwealth rather than State records.

## FREEDOM OF INFORMATION

The Authority is required under the Freedom of Information Act 1989 (Part 2, SS.13, 14 and 15), to ensure that information concerning the Authority's operations, policy, rules, practices and documents is published, kept up-to-date and made available to the public. This information has been included under various sections in this Report, and supplementary information on documents held and access to these records has been included as Appendix 4. There were no Freedom of Information requests received during the year.

## PERFORMANCE MEASUREMENT — OVERVIEW

The major performance measures currently in use are set out below. Further details on existing and future performance measures are given under the relevant sections elsewhere in the Report.

RECORDS MANAGEMENT OFFICE

**Revenue/targets**

| 1991-92 | 1992-93 | | 1993-94 |
|---|---|---|---|
| Revenue | Target | Revenue | Target |
| $213 767 | $175 000 | $159 338 | $175 000 |

**Revenue/targets**

| Year | Expenditure | | Revenue | | Surplus | |
|---|---|---|---|---|---|---|
| | Target ($) | Actual ($) | Target ($) | Actual ($) | Target ($) | Actual ($) |
| 1991-92 | 1 180 000 | 1 204 000 | 1 600 000 | 1 719 000 | 420 000 | 515 000 |
| 1992-93 | 1 350 000 | 2 541 000 | 2 100 000 | 2 070 000 | 750 000 | * |
| 1993-94 | 1 700 000 | | 2 100 000 | | 400 000 | |

*Surplus and part of cash revenue spent on capital works*

*Holdings*

**% Increase in Holdings**

| Year | Target (%) | Actual (%) |
|---|---|---|
| 1991-92 | 15 | 15 |
| 1992-93 | 15 | 13 |
| 1993-94 | 10 | |

*Retrieval*

**% of files Issued to Requested**

| Year | Target (%) | Actual (%) |
|---|---|---|
| 1991-92 | 90 | 88 |
| 1992-93 | 90 | 90 |
| 1993-94 | 90 | |

ARCHIVES OFFICE

COLLECTION SERVICES

**Processing Output**

| 1991-92 | 1992-93 | | 1993-94 |
|---|---|---|---|
| Output | Target | Output | Target |
| 1 529.05 metres, c.1 100 plans | 1 200 metres, 1 000 plans | 1 351 metres, 1 194 plans | 1 400 metres |

## REFERENCE SERVICES

*Search Room Services*

**Response time (request for original material)**

| 1991-92<br><br>Success rate | 1992-93 | | 1993-94<br><br>Target |
|---|---|---|---|
| | Target | Success rate | |
| 45 minutes (c.95%) | 30 minutes (95%) | 30 minutes (c.98%) | 30 minutes (95%) |

*These figures relate to retrieval of items found to be on the shelf in their correct location.*

*Research Service*

**Response times**

| | 1992-93 | | 1993-94 |
|---|---|---|---|
| | Target | Success rate | Target |
| Quotations — preparation | 4 weeks | 76%* | 4 weeks |
| Quotations — completion of orders | 2 weeks | 92% | 2 weeks |
| Convict research | 6-8 weeks | 48% | 6-10 weeks |
| Deceased Estates | 4 weeks | 95.6% | 4 weeks |

*\* These figures apply from January 1993 only*

*Publications*

**Publication sales — Revenue/targets**

| | 1991-92<br><br>Revenue ($) | 1992-93 | | 1993-94<br><br>Target ($) |
|---|---|---|---|---|
| | | Target ($) | Revenue ($) | |
| Col. Sec. Papers | 19 992 | 20 000 | 2 500 | 3 000 |
| GRK | 21 443 | 20 000 | 32 911 | 10 000 |
| Other publications | 21 486 | 15 000 | 20 780 | 10 000 |
| **Total** | 62 921 | 55 000 | 56 191 | 23 000 |

*Photographic Service*

**Revenue/targets**

| | 1991-92<br><br>Revenue ($) | 1992-93 | | 1993-94<br><br>Target ($) |
|---|---|---|---|---|
| | | Target ($) | Revenue ($) | |
| Search Room/Laboratory service* | 29 500 | 30 000 | 35 000 | 18 000 |
| Unpublished microfilms | 7 100 | 5 000 | 5 170 | 4 000 |

*\* Figures given here do not include photographic work done as part of the Research Service*

**Response times**

|  | 1991-92<br>Target (Success rate) | 1992-93<br>Target (Success rate) | 1993-94<br>Target |
|---|---|---|---|
| **Search Room Service:** | - | | |
| copies from microforms | 30 minutes (100%) | 30 minutes (99%) | 30 minutes |
| *Xerox copies:* | | | |
| small orders (20 pages or less) | 1 hr (c.90-95%) | 1 hr (100%) | 1 hr |
| large orders | 5 working days (100%) | 5 working days (100%) | 5 working days |
| **Laboratory Service:** | | | |
| standard | 4 weeks (86%) | *4 weeks (100%) | *4 weeks |
| urgent orders | 5 working days (100%) | 5 working days (100%) | 5 working days |

*The only problems with response times for the photographic service arise when unavoidable delays occur in repairing specialised laboratory equipment. Under normal circumstances, the four week response time is achieved, but delays of up to 2 weeks can occur in cases of equipment breakdown*

## CONSUMER RESPONSE

ARCHIVES OFFICE

One complaint was received during the year concerning the Research Service. The complaint arose from difficulty in deciphering the client's request and was resolved by a written apology and subsequent fulfilment of the request.

One complaint was received concerning the shortage of working microfilm readers in the City Search Room. New, more reliable readers have since been ordered to alleviate this problem.

In response to the Premier's Statement *New South Wales Facing the World* of 23 March 1992, the Authority's Customer Council was inaugurated in August. The Council met three times during the year and provided advice on a broad range of issues.

The Authority's *Guarantee of Service* documents were completed and, following the development of procedures for handling complaints and suggestions, staff training programs were conducted.

# IV CORPORATE SERVICES

Section 12 of the Archives Act specifies that the officers and employees of the Archives Authority shall be subject to the provisions of the Public Sector Management Act, 1988, during the tenure of their office or employment. In 1988 the Authority's policies and practices relating to personnel and industrial relations were adapted to conform to those adopted by the Ministry for the Arts, the Office of Public Management, and the Department of Industrial Relations, Employment, Training and Further Education. Thereafter the Ministry has provided the Authority with administrative support in the areas of personnel, staff and finance. However, with the introduction of the Treasury Cash Management and Banking System in October 1992 and the appointment of an Administrative Officer in December 1992, the level of support and liaison in these areas has been greatly reduced.

During the year a revised *Code of Conduct* was developed and reissued to Archives Authority staff as a supplement to the Office of Public Management's New South Wales Public Sector Code of Conduct. See Appendix 3.

## STAFFING

At the end of June 1993 the Archives Authority had seventy three permanent positions which were distributed as follows:

Administration, including the Principal Archivist and
the Deputy Principal Archivist................................................................. 7

Archives Office, including Support Services................................................ 40

Records Management Office......................................................................... 5

Government Records Repository ................................................................. 21

Total ................................................................................................. 73

## Allocation of Staff Resources

|  | 1989-90 (%) | 1990-91 (%) | 1991-92 (%) | 1992-93 (%) |
|---|---|---|---|---|
| Administration | 11 | 11 | 8 | 9 |
| Archives Office | 51 | 51 | 55 | 54 |
| Records Management Office | 8 | 8 | 8 | 8 |
| Government Records Repository | 29 | 29 | 29 | 29 |
| Parliament House | 1 | 1 | — | — |
| **Total** | 100 | 100 | 100 | 100 |

At the end of June 1993 the Archives Authority's seventy three positions consisted of the following classifications:

Senior Executive Service.......................................................................... 1

Archivists.................................................................................................. 29

Clerks........................................................................................................ 9

Clerical Officers ...................................................................................... 28

Other (eg. Conservator, etc) .................................................................... 6

        Total ........................................................................................ 73

**Classification of Persons Employed**

|  | **1989-90 (%)** | **1990-91 (%)** | **1991-92 (%)** | **1992-93 (%)** |
|---|---|---|---|---|
| Senior Executive Service | 1 | 1 | 1 | 1 |
| Archivists | 42 | 43 | 41 | 40 |
| Clerks | 12 | 11 | 12 | 13 |
| Clerical Officers | 41 | 38 | 38 | 38 |
| Other (eg. Conservator, etc) | 4 | 7 | 8 | 8 |
| **Total** | 100 | 100 | 100 | 100 |

During the year, the interim restructure implemented in 1990-91 was finalised. This resulted in establishment changes for the following positions: Administrative Assistant, Records Management Office was regraded from Clerical Officer Grade 1/2 to 3; Manager, Records Management Office was regraded from Clerk Grade 9/10 to 9; Senior Administrative Officer was regraded from Clerk Grade 5/6 to 7/8; new position of Administrative Officer Clerk Grade 3/4 created; new position of Manager, Collection Services, Archivist Grade 6 created; new position of Manager, Reference Services, Archivist Grade 4 created; Manager, Technical Services, Archivist Grade 6 reclassified as Manager, Systems at the same grade; Senior Archivist, Maps and Plans, Archivist Grade 3 reclassified as Processing Co-ordinator at the same Grade; Senior Archivist, Processing, Archivist Grade 3 reclassified as Systems Co-ordinator at the same Grade; Extension Officer was regraded from Archivist Grade 2 to 3 and retitled Client Liaison Officer; and Manager, Reference Services, Archivist Grade 5; Program Co-ordinator, Clerk Grade 5; and Senior Archivist, Search Room, Archivist Grade 2 were deleted. A full list of permanent staff is given in Appendix 2.

**Details of Employee Related Costs**

|  | 1989-90 ($) | 1990-91 ($) | 1991-92 ($) | 1992-93 ($) |
|---|---|---|---|---|
| Salaries, wages, national wage | 1 906 999 | 2 207 289 | 2 270 533 | 2 472 624 |
| Leave on Termination — Provision | 42 062 | 49 464 | — | 16 750 |
| Overtime | 38 473 | 46 227 | 34 381 | 53 239 |
| Workers Compensation | 9 427 | 13 344 | 7 202 | 7 366 |
| Payroll tax | 114 326 | 144 032 | 164 453 | 131 501 |
| Superannuation | 33 985 | 64 791 | — | 183 456 |
| **Total** | 2 145 272 | 2 525 147 | 2 476 569 | 2 864 936 |

PERSONNEL POLICIES

During the year the following personnel policies were issued (or revised) and implemented: Sick Leave; Cost of Travel To and From Work; Staff Attendance At Professional Meetings, Seminars and Conferences; Grievance and Dispute Resolution Procedures; and Performance Management System.

In addition, with the establishment and filling of the position of Administrative Officer, many of the functions which were previously undertaken by the Ministry for the Arts were transferred to the Archives Authority. This necessitated several internal changes and shifted some new responsibilities to supervisors and managers.

CONSULTANTS AND CONTRACTORS

In 1992-93 the Archives Authority used the services of ten different consultants at a total cost of $69 815.56 ($65 753.84 in 1991-92). The projects undertaken by the consultants included: engineering advice; staff development training; policy investigation, review and development; printing the Annual Report; development of administrative systems; capital works advice; records seminar; executive assistance; and oversight of accounting systems and provision of advice.

In addition, the Archives Authority contracted out the following services in 1992-93: cleaning; building maintenance; fleet maintenance; travel; furniture and equipment disposal; payroll; and stores/equipment.

PERFORMANCE MANAGEMENT

During the year, much discussion and effort was put into developing an appropriate Performance Management System. Discussions involved senior staff from the Archives Authority, the Ministry for the Arts, the Office of Public Management, and various other organisations.

The system developed has focused on the broad requirements of a Performance Management System, with the main objectives being:

☐ to promote a results oriented work outlook and improve individual and organisational performance;

☐ to improve levels of communication and provide constructive feedback on individual performance in the context of the Archives Authority's objectives;

☐ to provide a mechanism for identifying staff development needs and for providing training and development support; and

☐ through assessing performance using job related criteria, to provide a system which is equitable, open and free from race, sex and other bias.

It is anticipated implementation of the system will reveal the need for some fine-tuning but that the end result will be an effective tool for both supervisors and the Archives Authority as a whole.

### EQUAL EMPLOYMENT OPPORTUNITY (EEO)

The Archives Authority supports equality of employment opportunity and during the year it prepared an EEO Annual Report for the Director of Equal Employment Opportunity in Public Employment which contained various statistical information, a narrative report and also an EEO Management Plan. This was the first time that the Authority had prepared an EEO Management Plan and it was seen as the first step in the development of carefully designed objectives, evaluation procedures and reporting practices.

With this in mind, the following objectives were established:

☐ to meet the EEO Annual Reporting requirements and to meet the objects of Part IXA of the Anti- Discrimination Act, 1977;

☐ to link the Corporate Planning process with an EEO focus;

☐ to ensure senior management commitment is evident; and

☐ to establish an EEO Advisory Committee.

To meet these objectives, various strategies were set with implementation dates ranging to the end of 1993.

The following statistical information has been supplied to indicate the representation by various target group members:

**Representation and Recruitment of Aboriginal Employees**

|  | 1991-92 | | 1992-93 | |
| --- | --- | --- | --- | --- |
|  | **Total Staff** | **Aboriginal People** | **Total Staff** | **Aboriginal People** |
| Total | 87 | 2<br>2.2% | 95 | 2<br>2.1% |
| Recruited in the year | 30 | 1<br>3.4% | 19 | 1<br>5.25% |

**Representation of EEO Target Group Members**

| | 1991-92 | | | 1992-93 | | |
|---|---|---|---|---|---|---|
| | Total Staff | Women | NESB* | Total Staff | Women | NESB* |
| Below $15 866 pa. | 0 | 0 | 0 | 0 | 0 | 0 |
| $15 866 - $24 093 | 38 | 24 | 6 | 38 | 22 | 5 |
| $24 094 - $27 636 | 18 | 14 | 7 | 18 | 14 | 7 |
| $27 637 - $37 016 | 20 | 13 | 1 | 24 | 18 | 0 |
| $37 017 - $47 892 | 6 | 4 | 1 | 9 | 5 | 1 |
| $47 893 - $58 132 | 3 | 1 | 0 | 4 | 2 | 1 |
| Above $58 132 pa | 2 | 1 | 0 | 2 | 1 | 0 |
| **Total** | 87 | 57 | 15 | 95 | 62 | 14 |

*Non-English Speaking Background*

### STAFF TRAINING AND STAFF DEVELOPMENT

In accordance with the provisions of the Training Guarantee Act 1990, the Archives Authority spent a total of $64 922 in 1992-93 on eligible training activities (the minimum training expenditure requirement was $37 888). These activities included structured internal and external training courses, attendance at various professional activities, workshops, seminars, and departmental representation at relevant functions.

Staff rotation, work experience and acting in promotional positions as a form of staff development was also encouraged whenever appropriate.

### LEAVE

Jimena Galleguillos, Roslyn Beard, Amanda Barber and Angela Kavuzlu all took maternity leave during the year.

Sue Coleman, John Maugueret, Michael Allen and Gail Davis all took extended leave during the year.

### PROMOTIONS AND APPOINTMENTS

Bernard Edwards was promoted to the position of Senior Administrative Officer on 7 October 1992.

Rachel McCormack was appointed to the position of Clerical Officer on 14 December 1992.

Nigel Richardson was appointed to the position of Administrative Officer on 14 December 1992.

Richard Gore, B.A.,Dip.Lib., was promoted to the position of Manager, Collection Services on 3 February 1993.

David Roberts, B.A., Dip.Inf.Man(Arch.Admin), was appointed to the position of Manager, Records Management Office on 15 February 1993.

Christine Shergold, B.A., Dip.Lib., Dip.Arch.Admin., was directly appointed to the position of Manager, Systems on 16 February 1993 following reclassification of the position.

Wendy Gallagher, B.Sc., Grad.Dip.Arts(Lib &Info.Sc.) was promoted to the position of Processing Co-ordinator on 6 May 1993.

Martyn Killion, B.A.,Dip.App.Sc(Inf.), was promoted to the position of Client Liaison Officer on 14 May 1993.

Christine Yeats, B.A., Dip.Lib., Dip.Arch.Admin., was appointed to the position of Manager, Reference Services on 14 May 1993.

### RESIGNATIONS AND RETIREMENTS

Gerald Purkis resigned on 19 October 1992.

Megan Birch resigned on 4 June 1993.

### PROFESSIONAL ACTIVITIES

Fifteen senior staff attended a "Performance Management" training course run by Buttrose Communicators on 3 August 1992.

Tracy Bradford and David Brumby attended a "Senior First Aid Certificate" training course run by St John's Ambulance on 13-14 August 1992 and 31 August - 1 September 1992 respectively.

Leonie Jennings and Tracy Anderson attended an "Effective Information Management" training course run by the Records Management Office of NSW on 17 - 20 August 1992.

Megan Birch and David Brumby attended a "Train the Trainer" training course run by Training Services on 28 - 29 September 1992 and 8 - 9 October 1992 respectively.

Denise Bechert attended a "Hands on Computers" training course run by First State Computing on 2 September 1992.

Bernard Edwards attended an "Introduction to Windows" training course run by First State Computing on 14 September 1992.

Denise Bechert attended an "Introduction to Word" training course run by First State Computing on 21 September 1992.

Frances Lemmes and Bernard Edwards attended an "Enterprise Bargaining" seminar run by the Department of Industrial Relations, Employment, Training and Further Education on 23 September 1993.

David Brumby attended an "Introduction to Lotus" training course run by First State Computing on 25 September 1992.

John Cross and Stephen Bedford attended a "Just Trade" seminar run by the Independent Commission Against Corruption on 12 October 1992.

Megan Birch attended a "Word - Advanced" training course run by First State Computing on 12 - 13 October 1992.

Wendy Gallagher attended the New South Wales Association of Family History Societies conference at Newcastle on 17 - 18 October 1992.

John Cross and Frances Lemmes attended a "Building for the Future" seminar run by the Royal Institute of Public Administration Australia on 2-3 November 1992.

Bernard Edwards attended a "Grievances Handling" seminar run by the Department of Industrial Relations, Employment, Training and Further Education on 6 November 1993.

Janet Knight attended the Royal Australian Historical Society and Affiliated Societies annual conference at Parramatta on 7 - 8 November 1992.

Bernard Edwards attended an "Accrual Budgeting" workshop run by NSW Treasury on 10 November 1992.

Megan Birch attended a "Techniques for Supervisors" training course run by the Human Resource Development Centre on 9 - 10 & 16 November 1992.

Christine Shergold attended a "Documenting Corporate Operations" training course run by Communications Publishing on 17-18 November 1992.

Elizabeth Page attended a "Financial Statements" training course run by the Office of State Revenue on 25 November 1992.

Rhonda Campbell and Elizabeth Page attended a "Women's Information Day" seminar run by the Central Co-ordinating Committee of Spokeswomen on 14 December 1992.

John Cross attended a Council of Federal, State and Territory Archives Group meeting in Hobart on 14 December 92 .

John Cross attended the Official opening of the Queensland State Archives building on 20 January 1993.

Phillip Martin and Rachel McCormack attended a "Hands on Microcomputers" training course run by First State Computing on 1 February 1993.

Nigel Richardson, Elizabeth Page, Robin Carlysle, Bee Leong Pang, and Rosana Guevara attended an "Introduction to Windows" training course run by First State Computing on 5 February 1993.

Bernard Edwards attended a "Telecommunications" seminar run by British Telecom Australasia on 10 February 1993.

Robin Carlysle and Rosana Guevara attended a "Word for Windows — Introduction" training course run by First State Computing on 15 - 16 February 1993.

John Davies attended the Heads of Conservation Laboratories meeting held at the Australian Museum on 19 February 1993.

Richard Gore and Bernard Edwards attended a "Managing Controls" training course run by Implementing Fraud and Corruption Prevention Pty Ltd on 22 February 1993.

Richard Gore attended a "Protecting Information Privacy" training course run by I.I.R. Pty Ltd on 24 - 25 February 1993.

Christine Shergold and Michael Allen attended a "Paradox 4.0 — Introduction" training course run by First State Computing on 25 - 26 February 1993.

Bernard Edwards and Nigel Richardson attended a First State Superannuation seminar run by the State Superannuation and Investment Management Corporation on 8 March 1993.

John Burke, Jennifer Stapleton, Sally Irvine-Smith, and Deborah Sims attended a "Direct Marketing" seminar run by Australia Post on 10 March 1993.

Phillip Martin attended a "Supervise Effectively" training course run by Commercial Services Group Training Services on 10 - 11 March 1993.

John Cross attended the official launch of the Land Information Centre's "Technology to Manage the Future: Revolution in Spatial Information, Capture, Management and Analysis" in Bathurst on 18 March 1993.

John Cross attended a meeting of the Charles Sturt University Archives Sub-Committee in Wagga Wagga on 19 March 1993.

John Burke and Jennifer Stapleton attended a "Sales Pursuit '93" seminar run by Sales Pursuit on 18 March 1993.

Sally Irvine-Smith, Deborah Sims, Shannon Searle, Kristy McMahon and Kate Musgrave attended a "Records and the Law" seminar run by Records Management Association of Australia on 31 March 1993.

Bernard Edwards attended a "Managing Workplace Stress" seminar run by Premier's Department on 16 April 1993.

Andre Queree attended a "Netware 3.11 — Advanced" training course run by Comtech Communications on 19 - 21 April 1993.

Christine Shergold and Michael Allen visited the Public Records Office of Victoria on 28 - 29 April 1993.

Sally Irvine-Smith attended a "Paradox 4.0" training course run by First State Computing on 29 - 30 April 1993.

David Brumby and Denise Bechert attended a "Train the Trainer" training course run by Training and Development Services on 28 - 30 April and 26 - 28 May 1993, respectively.

Kate Musgrave and Kristy McMahon attended a "Word 5.5" training course run by Integrated Business on 21 - 22 April 1993.

Christine Shergold and Richard Gore visited the Charles Sturt Regional Archives in Wagga Wagga on 4 - 5 May 1993.

Andre Queree attended a "Microsoft Access" training course run by Drake Training on 6 - 7 May 1993.

John Cross attended a "Working with Statutes" seminar run by the Royal Institute of Public Administration Australia on 14 May 1993.

Forty three staff attended ISYS training provided by the Systems Unit in April and May 1993.

Christine Shergold and Richard Gore visited the Queensland State Archives on 25 - 26 May 1993.

Clara Cesarone and Gillian Corrigan attended a "Current Methods in Pest Control" seminar run by the NSW Division of the Australian Institute for the Conservation of Cultural Material on 26 May 1993.

Clara Cesarone and Gillian Corrigan attended a "Preservation of Archives" meeting run by the Australian Libraries Information Association Special Interest Group on 27 May 1993.

Deborah Sims and Sally Irvine-Smith attended a "Records Management and Computers" training course run by Longman Professional on 3 - 4 June 1993.

Eighteen staff attended the David Bearman "Archival Automation" workshop sponsored by the Archives Authority on 7 June 1993.

Thirteen staff attended the David Bearman "Electronic Records Management Policy and Practice" workshop sponsored by the Archives Authority on 8 June 1993.

Deborah Sims attended a "Better Business Writing" training course run by I.I.R. Pty Ltd on 8 June 1993.

John Cross attended the Annual meetings of the Council of Federal, State and Territory Archives and the Australian Council of Archives Inc., in Melbourne on 15 - 16 June 1993.

Frances Lemmes and David Roberts attended the Australian Society of Archivists Inc., National Conference in Melbourne on 17 - 19 June 1993.

David Roberts attended a "Understanding Electronic Information Systems" training course at Monash University on 21 June - 2 July 1993.

Bernard Edwards and Elizabeth Page attended several Accounting and Finance Officers Group meetings throughout the year.

Bernard Edwards and Nigel Richardson attended several Personnel Management Group meetings throughout the year.

Frances Lemmes and Bernard Edwards attended several Human Resources Directors meetings throughout the year.

Christine Shergold, Michael Allen, Bernard Edwards and Nigel Richardson attended several product demonstrations and workshops during the year.

John Davies attended several Australian Council of Libraries and Information Services — NSW Committee on Conservation meetings throughout the year.

Videos bought for training purposes during the year were: "Creating Quality"; "Looking After Yourself and Your Organisation"; "Telephone Presentation and Telephone Etiquette"; "Working with Display Screen Equipment"; "Blood Borne Pathogens in the Workplace"; and "Face to Face (Performance Appraisal)".

## FINANCIAL RESOURCES

The Archives Authority's financial statements have been prepared on an accrual accounting basis for the year ended 1992-93, with the operations during the year on also being carried out an accrual accounting basis. Details of these are provided in the financial statements section of this report.

The operations during the year differed from the previous year owing to the introduction of the Treasury Cash Management and Banking System. Under this system, the amount of funding appropriated to the Archives Authority was distributed on a fortnightly basis over the whole year. The cash disbursements received were dependent upon the advice provided by the Authority and the accounts were required to always have a positive balance. This system affected the way in which funds were expended and gave the Authority greater control over its finances, with an increased level of responsibility.

During this period Mr Nicholas Stafford-Gaffney, B.Bus.(Acc), ASCPA, has continued to be employed as a consultant on a part-time basis for the purpose of advising, assisting and monitoring the procedures related to the financial operations. A Key Result Area of the Corporate Strategy was to ensure that improved financial systems existed which would meet the Authority's needs for financial control, accountability, management and forecasting. A performance indicator to monitor the effectiveness of this outcome was the reduction of external assistance by twenty per cent by June 1993. The amount spent in 1991-92 was $36 909 and the amount spent in 1992-93 was $26 800; a reduction of twenty seven and a half per cent.

The internal audit program for the year consisted of the following areas: Review of the New Accounting System, including Accounts Payable, Accounts Receivable, and Collections/Banking; Review of Plant and Equipment and Fixed Assets; Review of Subscription System; Review of Invoiced Sales - City Office; Review of File Retrieval System; Review of Consultancy Services - Repository; Review of Storage Boxes; and Review of Waste Paper Disposal System. The audits were conducted by the Internal Audit Bureau as part of the Ministry for the Arts overall audit program.

In 1992-93 the Archives Authority paid an audit fee of $20 000 in respect of its accounts to the Auditor-General's Office ($19 600 in 1991-92). During the interim audit carried out in May 1993, the following areas were reviewed: cash receipts; cash payments; fixed assets; and general ledger.

In the subsequent Management Letter sent by the Auditor-General's Office, two areas were identified as needing attention, namely: the documentation of procedures for monthly returns to Treasury; and the capitalisation of acquisition costs associated with fixed assets. Appropriate remedial action has since been taken in these areas.

In 1991-92 the Archives Authority ordered four hundred and fifty copies of the Annual Report to be printed at a cost of $9.89 each. In 1992-93 four hundred and fifty copies have been ordered at a cost of $11.91 each.

## EXPENDITURE OF FINANCIAL RESOURCES

For reporting purposes, the line items in which financial resources have been expended, have been grouped together into the following six areas: Salaries and Allowances; Rental and Cleaning; Equipment and Purchases; Printing and Publications; Gas and Electricity; and Other.

The expenditure of funds amongst these areas has been shown, on a comparative basis with previous years, in the following table.

**Expenditure of Financial Resources**

|  | 1990-91 (%) | 1991-92 (%) | 1992-93 (%) |
|---|---|---|---|
| Salaries and Allowances | 53.8 | 52.3 | 54.8 |
| Rental and Cleaning | 25.5 | 25.9 | 23.6 |
| Equipment and Purchases | 6.4 | 6.8 | 6.3 |
| Printing and Publications | 0.5 | 0.6 | 1.1 |
| Gas and Electricity | 4 | 3.9 | 4.4 |
| Other | 9.8 | 10.5 | 9.8 |
| **Total** | 100 | 100 | 100 |

## REVENUE

Over the past four years, the revenue raised by the Archives Authority has continued to grow. The commercialisation of the Government Records Repository, the revenue agreement between the Archives Office, Records Management Office and Treasury, and the adoption where possible of the user pays principle, have been the main factors contributing to this increased revenue.

**Revenue Raised (cash basis)**

|  | 1990-91 ($) | 1991-92 ($) | 1992-93 ($) |
|---|---|---|---|
| Archives Office | 136 211 | 197 078 | 185 050 |
| Government Records Repository | 1 207 287 | 1 719 200 | 2 044 735 |
| Records Management Office | 370 202 | 213 767 | 139 242 |
| **Total** | 1 713 700 | 2 130 045 | 2 369 027 |

## CAPITAL WORKS

In 1992-93, the Archives Authority commenced work on extensions to the Kingswood Repository. As the new Stage 3 building will be housing both Archives Office and Government Records Repository staff and functions, the funding arrangements have also been shared.

The source of funding will therefore consist of: Consolidated Fund — Other; Global Borrowings; and Authority Reserves.

**Source of Funds**

|  | **1992-93 ($)** | **1993-94 ($)** |
|---|---|---|
| Consolidated Fund — Other | 528 000 | 450 000 |
| Global Borrowings | 2 000 000 | 0 |
| Authority Reserves | 950 000 | 0 |
| **Total** | 3 478 000 | 450 000 |

In 1992-93, the Archives Authority sought approval for funding to commence an additional Capital Works project in 1993-94. This project is to repair the roof of the Stage 1 Repository building which houses the State archives held at Kingswood. This project would be totally funded by Consolidated Fund - Other and an amount of $408 000 has been sought.

#### PAYMENT PERFORMANCE INDICATORS

The following payment performance indicators for 1992-93 provide details of when accounts were paid in relation to the due dates. The figures have been consolidated and provided in quarterly periods, namely, as at the end of September, December, March and June.

**Accounts Paid in 1992-93**

|  | **No.** | **September Amount** | **%** |
|---|---|---|---|
| Current (within due date) | 308 | 647 152 | 84.39 |
| Less than 30 days overdue | 50 | 27 366 | 13.70 |
| Between 30 and 60 days overdue | 4 | 1 062 | 1.10 |
| Between 60 and 90 days overdue | 2 | 1 107 | 0.54 |
| More than 90 days overdue | 1 | 120 | 0.27 |
| **Total** | 365 | 676 807 | 100 |

**Accounts Paid in 1992-93**

|  | **No.** | **December Amount** | **%** |
|---|---|---|---|
| Current (within due date) | 316 | 1 475 278 | 87.78 |
| Less than 30 days overdue | 40 | 44 219 | 11.11 |
| Between 30 and 60 days overdue | 2 | 3 205 | 0.55 |
| Between 60 and 90 days overdue | 1 | 50 | 0.28 |
| More than 90 days overdue | 1 | 140 | 0.28 |
| **Total** | 360 | 1 522 892 | 100 |

**Accounts Paid in 1992-93**

| | No. | March Amount | % |
|---|---|---|---|
| Current (within due date) | 306 | 1 348 058 | 87.18 |
| Less than 30 days overdue | 43 | 17 210 | 12.25 |
| Between 30 and 60 days overdue | 2 | 10 455 | 0.57 |
| Between 60 and 90 days overdue | 0 | 0 | 0 |
| More than 90 days overdue | 0 | 0 | 0 |
| **Total** | **351** | **1 375 723** | **100** |

**Accounts Paid in 1992-93**

| | No. | June Amount | % |
|---|---|---|---|
| Current (within due date) | 358 | 2 533 419 | 85.44 |
| Less than 30 days overdue | 57 | 40 994 | 13.60 |
| Between 30 and 60 days overdue | 2 | 832 | 0.48 |
| Between 60 and 90 days overdue | 0 | 0 | 0 |
| More than 90 days overdue | 2 | 1 145 | 0.48 |
| **Total** | **419** | **2 576 390** | **100** |

The performance indicators set for the payment of accounts were that at least eighty per cent of accounts were to be paid by the due date; and that not more than fifteen percent of accounts were to be more than thirty days overdue.

### RISK MANAGEMENT AND INSURANCE

In May 1989, a comprehensive Risk Evaluation Report was prepared for the Archives Authority by Richard Oliver Risk Managers. Recommendations made in this report were subsequently implemented and have been maintained on an on-going basis since then. On an annual basis, a Risk Management Identification Questionnaire is completed by the Authority. This questionnaire, along with previous claims history, forms the basis of the premiums setting process by the Government Insurance Office.

The Senior Administrative Officer is responsible for the co-ordination of all risk management practices within the Authority, including liaison with the Government Insurance Office and risk assessors where necessary. The managers and their staff are responsible for maintaining safe working practices and workplaces.

The Archives Authority also maintains membership to the Association of Risk and Insurance Managers of Australia.

During the year the Archives Authority maintained insurance policies with the Government Insurance Office as Fund Manager of the Treasury Managed Fund for the following areas: Worker's Compensation; Motor Vehicles; Property; Public Liability; and Miscellaneous.

**Insurance Premiums**

|  | 1990-91 ($) | 1991-92 ($) | 1992-93 ($) |
|---|---|---|---|
| Worker's Compensation | 13 344 | 7 202 | 7 366 |
| Motor Vehicles | 2 208 | 4 575 | 6 795 |
| Property | 27 250 | 32 300 | 38 244 |
| Public Liability | 5 210 | 4 600 | 3 680 |
| Miscellaneous | 100 | 1 800 | 1 760 |
| **Total** | **48 112** | **50 477** | **57 845** |

**Claims History**

|  | 1990-91 | 1991-92 | 1992-93 |
|---|---|---|---|
| Worker's Compensation | 1 | 5 | 3 |
| Motor Vehicles | 4 | 1 | 0 |
| Property | 1 | 1 | 0 |
| Public Liability | 0 | 0 | 0 |
| Miscellaneous | 0 | 0 | 0 |
| **Total** | **6** | **7** | **3** |

# V   FINANCIAL REPORT

**THE ARCHIVES AUTHORITY OF NEW SOUTH WALES**
Statement in Accordance With Section 41C(1)(c)
of Public Finance and Audit Act, 1983

In accordance with a resolution of the Archives Authority, 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 1993.

(b) the financial statements have been prepared in accordance with Statements of Accounting Concepts, applicable Australian Accounting Standards, the requirements of the Public Finance and Audit Act and Regulations, and the Financial Reporting Directives published in the Financial Reporting Code Under Accrual Accounting for Inner Budget Sector Entities.

(c) we are not aware of any circumstances which would render any particulars included in the financial statements to be misleading, or inaccurate.

SIGNED: *Kenneth W Knight*

DATE: *13 August 1993*

CHAIRPERSON
ARCHIVES AUTHORITY

SIGNED: *John Cross*

DATE: *13 August, 1993*

PRINCIPAL ARCHIVIST

SIGNED: *[signature]*

DATE: *3 August 1993*

MEMBER
ARCHIVES AUTHORITY

**ARCHIVES AUTHORITY OF NEW SOUTH WALES**
**Notes to and Forming Part of the Financial Statements**

**30 June 1993**

**CONTENTS**

## ARCHIVES AUTHORITY OF NEW SOUTH WALES
**Operating Statement**
For the year ended 30 June 1993

| | Notes | Actual 1993 $'000 | Budget 1993 $'000 | Actual 1992 $'000 |
|---|---|---|---|---|
| **EXPENSES** | | | | |
| Operating Expenses | | | | |
| Employee Related | 4(a) | 2 922 | 2 903 | 2 662 |
| Other Operating Expenses | 4(b) | 2 105 | 2 475 | 2 090 |
| Depreciation | 4(c) | 362 | 346 | 357 |
| Grants & Subsidies | 4(d) | — | — | 17 |
| Other Services | | 20 | — | 49 |
| **Total Expenses** | | 5 409 | 5 724 | 5 175 |
| | | | | |
| **REVENUES** | | | | |
| User Charges | 5(a) | 79 | 286 | 111 |
| Grants & Subsidies | 5(b) | 40 | — | 12 |
| Other | 5(c) | 1 947 | 2 114 | 1 892 |
| **Total Revenues** | | 2 066 | 2 400 | 2 015 |
| | | | | |
| Net loss on sale of Property, Plant and Equipment | | (11) | — | (2) |
| Abnormal Items | 4(e) | (168) | — | — |
| | | | | |
| **NET COST OF SERVICES** | 3 | (3 522) | (3 324) | (3 162) |
| **GOVERNMENT CONTRIBUTIONS** | | | | |
| Consolidated Fund Recurrent Appropriation | | 3 352 | 3 620 | 3 132 |
| Consolidated Fund Capital Appropriation | | 528 | 528 | — |
| Acceptance by State of Authority liabilities | 4(f) | 163 | 158 | 151 |
| **Surplus/(Deficit) for the year** | | 521 | 982 | 121 |
| **Accumulated Surplus/(Deficit) at the beginning of the year** | | 11 952 | 11 952 | 11 831 |
| **Accumulated Surplus/(Deficit) at the end of the year** | | 12 473 | 12 934 | 11 952 |

The accompanying notes form part of these statements.

# ARCHIVES AUTHORITY OF NEW SOUTH WALES
**Statement of Financial Position**
As at 30 June 1993

| | Notes | Actual 1993 $'000 | Budget 1993 $'000 | Actual 1992 $'000 |
|---|---|---|---|---|
| **Current Assets** | | | | |
| Cash | 6 | 2 336 | 2 114 | 764 |
| Receivables | 7 | 414 | 658 | 658 |
| Inventories | 8 | 97 | 129 | 129 |
| **Total Current Assets** | | 2 847 | 2 901 | 1 551 |
| **Non-Current Assets** | | | | |
| Receivables | 7 | 1 | 1 | 1 |
| Property, Plant and Equipment | 9 | 16 695 | 17 149 | 15 517 |
| **Total Non-Current Assets** | | 16 696 | 17 150 | 15 518 |
| **TOTAL ASSETS** | | 19 543 | 20 051 | 17 069 |
| **Current Liabilities** | | | | |
| Creditors | 10 | 72 | 119 | 119 |
| Provisions | 11a | 170 | 170 | 170 |
| **Total Current Liabilities** | | 242 | 289 | 289 |
| **Non-Current Liabilities** | | | | |
| Borrowings | 11b | 2 000 | 2 000 | — |
| **Total Non-Current Liabilities** | | 2 000 | 2 000 | — |
| **TOTAL LIABILITIES** | | 2 242 | 2 289 | 289 |
| **NET ASSETS** | | 17 301 | 17 762 | 16 780 |
| **Equity** | | | | |
| Accumulated Surplus/(Deficit) | | 12 473 | 12 934 | 11 952 |
| Reserves | 12 | 4 828 | 4 828 | 4 828 |
| **TOTAL EQUITY** | | 17 301 | 17 762 | 16 780 |

The accompanying notes form part of these statements.

ARCHIVES AUTHORITY OF NEW SOUTH WALES
**Cash Flow Statement**
For the year ended 30 June 1993

| | Notes | Actual 1993 $'000 | Budget 1993 $'000 | Actual 1992 $'000 |
|---|---|---|---|---|
| **CASH FLOW FROM OPERATING ACTIVITIES** | | | | |
| Payments: | | | | |
| — Employee Related | | (2 866) | (2 745) | (2 512) |
| — Maintenance & Working | | (2 138) | (2 475) | (2 047) |
| — Grants & Subsidies | | — | — | (4) |
| — Other | | (20) | — | (62) |
| | | (5 024) | (5 220) | (4 625) |
| Receipts: | | | | |
| — User Charges | | 79 | 286 | 133 |
| — Grants & Subsidies | | — | — | 12 |
| — Interest Received | | 25 | — | 55 |
| — Other | | 2 175 | 2 114 | 1 836 |
| | | 2 279 | 2 400 | 2 036 |
| **Total Net Cash Outflow on Operating Activities** | | (2 745) | (2 820) | (2 589) |
| **CASH FLOW FROM INVESTING ACTIVITIES** | | | | |
| Purchase of Property, Plant & Equipment | 15 | (1 563) | (1 978) | (54) |
| **Total Net Cash Outflow on Investing Activities** | | (1 563) | (1 978) | (54) |
| **CASH FLOW FROM FINANCING ACTIVITIES** | | | | |
| Proceeds from Borrowings | | 2 000 | 2 000 | — |
| **Total Net Cash Inflow from Financing Activities** | | 2 000 | 2 000 | — |
| **Net Cash Outflow From Operating, Investing and Financing Activities** | | (2 308) | (2 798) | (2 643) |
| **GOVERNMENT FUNDING ACTIVITIES** | | | | |
| Consolidated Fund Recurrent Appropriation | | 3 352 | 3 620 | 3 132 |
| Consolidated Fund Capital Appropriation | | 528 | 528 | — |
| **Total Net Cash Provided by Government** | | 3 880 | 4 148 | 3 132 |
| **Net Increase In Cash** | | 1 572 | 1 350 | 489 |
| **OPENING CASH BALANCE** | 6 | 764 | 764 | 275 |
| **CLOSING CASH BALANCE** | 6 | 2 336 | 2 114 | 764 |

The accompanying notes form part of these statements

ARCHIVES AUTHORITY OF NEW SOUTH WALES
**Cash Flow Statement**
For the year ended 30 June 1993

**Notes to the Cash Flow Statement.**

1. RECONCILIATION FOR CASH

   For the purposes of the Cash Flow Statement, the Authority considers cash to include cash on hand and in the bank, including operating and commercial activities accounts. Cash at the end of the reporting period is reconciled at Note 6.

2. RECONCILIATION OF NET CASH USED IN OPERATING ACTIVITIES TO SURPLUS/(DEFICIT) FOR THE YEAR

   |  | 1993 $'000 | 1992 $'000 |
   |---|---|---|
   | SURPLUS/(DEFICIT) FOR THE YEAR | 521 | 121 |
   | Consolidated Funds Recurrent Appropriation | (3 352) | (3 132) |
   | Consolidated Funds Capital Appropriation | (528) | — |
   | Abnormal items - non-cash items | 61 | — |
   | Grants & Subsidies - non-cash receipt | (40) | — |
   | Depreciation | 362 | 357 |
   | Loss on Sale of Fixed Assets - non-cash loss | 2 | 2 |
   | (Increase)/Decrease in Receivables | 244 | 533 |
   | (Increase)/Decrease in Stock | 32 | 22 |
   | Increase/(Decrease) in Creditors | (47) | 57 |
   | Increase/(Decrease) in Provisions | — | (378) |
   | Increase/(Decrease) in Equity | — | (171) |
   | NET CASH USED IN OPERATING ACTIVITIES | (2 745) | (2 589) |

The accompanying notes form part of these statements

# ARCHIVES AUTHORITY OF NEW SOUTH WALES

Supplementary Information

**Cash Flow Statement for reconciliation with Operating Statement**

For the year ended 30 June 1993

| | Notes | Actual 1993 $'000 | Budget 1993 $'000 | Actual 1992 $'000 |
|---|---|---|---|---|
| **Cash Flow From Operating Activities** | | | | |
| NET COST OF SERVICES | | (3 522) | (3 324) | (3 162) |
| Adjustments for items not involving cash: | | | | |
| Depreciation | | 362 | 346 | 357 |
| Acceptance by the State of Authority liabilities | | 163 | 158 | 151 |
| Non cash revenues | | (40) | — | — |
| (Increase)/decrease in receivables | | 244 | — | 533 |
| (Increase)/decrease in inventories and prepayments | | 32 | — | 22 |
| Increase/(decrease) in payables | | (47) | — | (321) |
| Increase/(decrease) in Equity | | — | — | (171) |
| Net (gain)/loss on sale of property, plant and equipment | | 63 | — | 2 |
| **Net Cash Used on Operating Activities** | | (2 745) | (2 820) | (2 589) |
| Funded by: | | | | |
| Consolidated Fund recurrent appropriation | | 3 352 | 3 620 | 3 132 |
| **Net Increase/(Decrease) in Cash from Operating Activities (A)** | | 607 | 800 | 543 |
| **Cash Flow From Investing Activities** | | | | |
| Purchases of Property, Plant & Equipment | 15 | (1 563) | (1 978) | (54) |
| **Net Cash Used on Investing Activities** | | (1 563) | (1 978) | (54) |
| Funded by: | | | | |
| Consolidated Fund capital appropriation | | 528 | 528 | — |
| **Net Increase/(Decrease) in Cash from Investing Activities (B)** | | (1 035) | (1 450) | (54) |
| **Cash Flow From Financing Activities** | | | | |
| Proceeds from Borrowings | | 2 000 | 2 000 | — |
| **Net Increase/(Decrease) in Cash from Financing Activities (C)** | | 2 000 | 2 000 | — |
| **Net Increase/(Decrease) in Cash (A+B+C)** | | 1 572 | 1 350 | 489 |
| Opening cash balance | | 764 | 764 | 275 |
| **CLOSING CASH BALANCE** | | 2 336 | 2 114 | 764 |

This statement links cash flows with the Operating Statement via the Net Cost of Services and reconciles between Net Cost of Services, which is an accrual concept, and Consolidated Fund support, which is a cash concept.

The accompanying notes form part of these statements

ARCHIVES AUTHORITY OF NEW SOUTH WALES
**Notes to and Forming Part of the Financial Statements**
For the year ended 30 June 1993

1. REPORTING ENTITY

    The Archives Authority of New South Wales (Authority) comprises all the operating activities and entities under the control of the Authority. It also encompasses funds which, while they may be restricted for specified uses by the grantor or donor, are nevertheless controlled by the Authority.

    All transactions and balances between the funds and entities comprising the Authority have been eliminated in the process of preparing the financial statements.

2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

    (1) BASIS OF PRESENTATION

    The Authority's Financial Report has been prepared in accordance with Statements of Accounting Concepts, applicable Australian Accounting Standards, the requirements of the Public Finance and Audit Act and Regulations, and the Financial Reporting Directives published in the Financial Reporting Code Under Accrual Accounting for Inner Budget Sector Entities (the Code).

    The Operating Statement and Statement of Financial Position are prepared on an accrual basis. The Cash Flow Statement is prepared on a cash basis using the direct method.

    A Supplementary Cash Flow Statement has been included in the accounts. This has been done at the request of Treasury.

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

    (2) ACCOUNTING RECORDS

    The Authority maintains proper accounts and records for all its operations in terms of Section 41(1) of the Public Finance and Audit Act, 1983.

    (3) ACCOUNTING POLICIES

    a)  The amounts expected to be paid to employees for their pro rata entitlement to annual leave are accrued annually at current pay rates.

    The cost of employee entitlements for long service leave and superannuation are included in employee related expenses. However, as the Authority's liabilities for long service leave and superannuation are assumed by the State, the Authority accounts for the liability as having been extinguished resulting in non-monetary revenue described as "Acceptance by State of the Authority's liabilities".

    The Government Records Repository's (GRR) liability for superannuation is not assumed and accepted by the State as it is an off-budget activity.

    b)  Land and buildings are revalued at no more than five yearly intervals. Independent assessments are obtained of the value of land and buildings based on existing use. Valuations adopted in the financial statements do not exceed these independent assessments. The Valuer General last valued land and buildings in August 1989.

    The Authority's archive collection, which will be retained in perpetuity, is valued at $1.00. The basis of this value is the result of the "Accounting Guidelines for Reporting Physical Assets in the Budget Sector" issued by Treasury in November 1989 and the adoption of the

ARCHIVES AUTHORITY OF NEW SOUTH WALES
**Notes to and Forming Part of the Financial Statements**
For the year ended 30 June 1993

Code (Refer point 2(1) of the Code). Additions to the Authority's archive collection are valued at cost. The Authority's archive collection is not depreciated.

All other assets are recorded at cost, in accordance with the historical cost convention.

c) Depreciation is provided for on a straight line basis so as to write off the carrying amount of fixed assets during their expected useful life, with the exception of individual assets acquired for less than $5,000, which are written off in the year of acquisition.

d) Inventories are stated at the lower of cost or net realisable value. Cost is determined using the "first in first out" method of stock valuation.

## 3. BUDGET REVIEW

The actual net cost of services was higher than budget by $198 000, of which $168 000 was due to Abnormal Items as disclosed in Note 4(e).

|  | 1993 $'000 | 1992 $'000 |
|---|---|---|

## 4. EXPENSES

(a) Employee related expenses comprise the following specific items:

|  | 1993 | 1992 |
|---|---|---|
| Salaries and wages | 2 333 | 2 101 |
| Payroll tax and fringe benefit tax | 129 | 189 |
| Recreation leave | 216 | 174 |
| Workers compensation insurance | 7 | 7 |
| Other | — | 40 |
| Superannuation | 185 | 141 |
| Long service leave | 52 | 10 |
|  | 2 922 | 2 662 |

(b) Other operating expenses comprise the following specific items:

|  | 1993 | 1992 |
|---|---|---|
| Rent | 1 194 | 1 194 |
| Gas and Electricity | 197 | 246 |
| Alterations, Repairs and Charges | 113 | 115 |
| Minor Stores | 152 | 145 |
| Consultants | 48 | 49 |
| Motor Vehicle Expenses | 70 | 57 |
| Postage, Telephone and Printing | 87 | 74 |
| Other | 244 | 210 |
|  | 2 105 | 2 090 |

ARCHIVES AUTHORITY OF NEW SOUTH WALES
**Notes to and Forming Part of the Financial Statements**
For the year ended 30 June 1993

|  | | 1993 $'000 | 1992 $'000 |
|---|---|---|---|
| (c) | Depreciation & Amortisation are charged as follows: | | |
| | Buildings | 290 | 290 |
| | Office Furniture & Fittings | 32 | 22 |
| | Computers | 40 | 45 |
| | | 362 | 357 |
| (d) | Grants & Subsidies comprise the following specific items: | | |
| | Chelmsford Royal Commission | — | 4 |
| | Broken Hill Library Subsidy | — | 13 |
| | | — | 17 |
| (e) | Abnormal Items: | | |
| | Superannuation | | |
| | Government Records Repository | 107 | — |
| | Fixed Assets under $5 000 written off | | |
| | Archives Office | 33 | — |
| | Government Records Repository | 19 | — |
| | Records Management Office | 9 | — |
| | | 61 | — |
| | | 168 | — |

| Reporting Period | Superannuation | Fixed Assets | Total |
|---|---|---|---|
| 1984/85 | | 1 | 1 |
| 1985/86 | | 1 | 1 |
| 1986/87 | | 2 | 2 |
| 1987/88 | | 4 | 4 |
| 1988/89 | | 3 | 3 |
| 1989/90 | | 18 | 18 |
| 1990/91 | 49 | 32 | 81 |
| 1991/92 | 58 | | 58 |
| | 107 | 61 | 168 |

ARCHIVES AUTHORITY OF NEW SOUTH WALES
**Notes to and Forming Part of the Financial Statements**
For the year ended 30 June 1993

|  | 1993<br>$'000 | 1992<br>$'000 |
|---|---|---|

### Fixed Assets

Fixed Assets acquired prior to 1 July 1991 having an initial cost price of less than $5 000 have been written off in the current year. This was done so that the Authority could fully comply with the Treasury Directives regarding Fixed Assets.

### Superannuation

The GRR made payments during the current year to fully cover its employer liabilities in relation to superannuation. The full extent of the liability was only made available during the current year and as such the GRR has been unable to recognise this liability in past years. The liability for the current year was $76 000 and is disclosed in the Operating Statement under Employee Related Expenses.

| | | 1993 | 1992 |
|---|---|---|---|
| (f) | State Accepted Liabilities | | |
| | Superannuation | 109 | 141 |
| | Long Service Leave | 54 | 10 |
| | | 163 | 151 |

**5. REVENUES**

| | | 1993 | 1992 |
|---|---|---|---|
| (a) | User charges comprise the following items: | | |
| | Sale of Publications | 14 | 12 |
| | Sale of Microfilm | 23 | 34 |
| | Sale of Boxes | 41 | 64 |
| | Sale of Souvenirs | 1 | 1 |
| | | 79 | 111 |
| (b) | Grants & Subsidies comprise the following items: | | |
| | Chelmsford Royal Commission | 20 | 12 |
| | Public Works Department | 20 | — |
| | | 40 | 12 |

ARCHIVES AUTHORITY OF NEW SOUTH WALES
**Notes to and Forming Part of the Financial Statements**
For the year ended 30 June 1993

|  |  | 1993<br>$'000 | 1992<br>$'000 |
|---|---|---|---|
| (c) | Other comprise the following items: |  |  |
|  | Storage | 1 024 | 980 |
|  | File Retrieval | 429 | 422 |
|  | Consultancy | 260 | 190 |
|  | Interest Received | 25 | 55 |
|  | Photocopies | 52 | 41 |
|  | Royal Commission | 37 | 22 |
|  | Training | 63 | 34 |
|  | Other | 57 | 148 |
|  |  | 1 947 | 1 892 |

**6.  CURRENT ASSETS — Cash**

|  | 1993 | 1992 |
|---|---|---|
| Cash | 2 336 | 9 |
| Special Deposits | — | 755 |
| Balance 30 June | 2 336 | 764 |

**7.  CURRENT ASSETS — Receivables**

|  | 1993 | 1992 |
|---|---|---|
| Trade debtors | 391 | 644 |
| Provision for doubtful debts | (7) | (7) |
|  | 384 | 637 |
| Prepayments | 30 | 21 |
| Security Deposits | 1 | 1 |
|  | 415 | 659 |
| Current Assets — Receivables | 414 | 658 |
| Non Current Assets — Receivables | 1 | 1 |
| Balance 30 June | 415 | 659 |

## Invoicing

The GRR has adjusted its invoicing policy regarding Storage and Retrieval Services. The prior policy was to invoice six monthly in arrears, the new policy is to invoice quarterly or monthly in arrears. This was done to bring the GRR into line with commercially accepted practices and to enhance its cash flow situation.

ARCHIVES AUTHORITY OF NEW SOUTH WALES
**Notes to and Forming Part of the Financial Statements**
For the year ended 30 June 1993

|  | 1993<br>$'000 | 1992<br>$'000 |
|---|---|---|

### 8. CURRENT ASSETS — Inventories

|  | | |
|---|---|---|
| Stock on hand | 97 | 129 |
| Balance 30 June | 97 | 129 |

### 9. NON-CURRENT ASSETS — Property, Plant and Equipment

|  | Land<br>[note (a)]<br>$'000 | Buildings<br>[note (a)]<br>$'000 | Buildings<br>work in<br>progress<br>$'000 | Office<br>Furniture &<br>Fittings<br>$'000 | Computers<br>$'000 | Typewriters<br>$'000 | Total<br>$'000 |
|---|---|---|---|---|---|---|---|
| **At cost or valuation** | | | | | | | |
| Balance 1 July 1992 | 4 500 | 11 590 | — | 311 | 320 | 4 | 16 725 |
| Additions | — | — | 1 478 | 106 | 19 | — | 1 603 |
| Disposals | — | — | — | (111) | (131) | (4) | (246) |
| Balance 30 June 1993 | 4 500 | 11 590 | 1 478 | 306 | 208 | — | 18 082 |
| **Accumulated depreciation** | | | | | | | |
| Balance 1 July 1992 | — | 849 | — | 144 | 213 | 2 | 1 208 |
| Depreciation for the year | — | 290 | — | 32 | 40 | — | 362 |
| Writeback on disposal | — | — | — | (70) | (111) | (2) | (183) |
| Balance 30 June 1993 | — | 1 139 | — | 106 | 142 | — | 1 387 |
| **Written Down Value** | | | | | | | |
| At 1 July 1992 | 4 500 | 10 741 | — | 167 | 107 | 2 | 15 517 |
| At 30 June 1993 | 4 500 | 10 451 | 1 478 | 200 | 66 | — | 16 695 |

**Notes:**

(a) 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 August 1989 valuation was carried out by the Valuer General's Department.

(b) In accordance with AAS10 "Accounting for the Revaluation of Non-Current Assets", the Authority, being a "not for profit entity" has not adopted the recoverable amount test to Non Current Assets, the service potential of which is not related to the generation of Net Cash Inflow.

ARCHIVES AUTHORITY OF NEW SOUTH WALES
**Notes to and Forming Part of the Financial Statements**
For the year ended 30 June 1993

|  |  | 1993<br>$'000 | 1992<br>$'000 |
|---|---|---|---|
| **10.** | **CURRENT LIABILITIES — Creditors** | | |
| | Trade Creditors | 57 | 66 |
| | Accrued Charges | 15 | 53 |
| | Balance 30 June | 72 | 119 |

**11. a) CURRENT LIABILITIES — Provisions**

The movement in the provision for employee annual leave is as follows:

| | | 1993 | 1992 |
|---|---|---|---|
| | Balance 1 July | 170 | 171 |
| | Increase/(Decrease) in provisions | — | (1) |
| | Balance 30 June | 170 | 170 |

Recreation leave paid has been charged directly to the operating statement.

**b) NON CURRENT LIABILITIES — Borrowings**

| | | 1993 | 1992 |
|---|---|---|---|
| | NSW Treasury Corporation | 2 000 | — |
| | Balance 30 June | 2 000 | — |

During the year the above loan was taken out for the purpose of funding the construction of Stage III at Kingswood (GRR).

**12. RESERVES — Asset Revaluation**

| | | 1993 | 1992 |
|---|---|---|---|
| | Balance 1 July | 4 828 | 4 828 |
| | Movements during the year | — | — |
| | Balance 30 June | 4 828 | 4 828 |

**13. COMMITMENTS FOR EXPENDITURE**

**(a) Capital Commitments**

Aggregate capital expenditure contracted for at balance date but not provided for in the accounts payable

| | | 1993 | 1992 |
|---|---|---|---|
| | Not later than one year | 872 | — |
| | Later than one year but not later than 2 years | — | — |
| | Later than 2 years but not later than 5 years | — | — |
| | Later than 5 years | — | — |
| | | 872 | — |

ARCHIVES AUTHORITY OF NEW SOUTH WALES
**Notes to and Forming Part of the Financial Statements**
For the year ended 30 June 1993

| | 1993<br>$'000 | 1992<br>$'000 |
|---|---|---|
| **(b) Lease Commitments** | | |
| Aggregate operating lease expenditure contracted for at balance date but not provided for in the accounts: | | |
| Not later than one year | 1 185 | 1 194 |
| Later than one year but not later than 2 years | 1 185 | 1 194 |
| Later than 2 years but not later than 5 years | 3 555 | 3 582 |
| Later than 5 years | 1 185 | 2 388 |
| | 7 110 | 8 358 |

This non cancellable lease represents the lease of 2 Globe St, The Rocks. It is a 10 year lease commencing May 1989 with a two yearly review of rental commencing December 1990.

14. CONTINGENT LIABILITIES

The Authority is unaware of any contingent liability pending at the date of this report.

15. NOTE TO CASH FLOW STATEMENT

| | 1993<br>$'000 | 1992<br>$'000 |
|---|---|---|
| Purchases of Property, Plant and Equipment | | |
| Additions at cost | 1 603 | 54 |
| Non-cash donations and industry contributions | (40) | — |
| Cash Paid | 1 563 | 54 |
| Disposal of Property, Plant and Equipment | | |
| Cost or value | 246 | 14 |
| Less: Accumulated depreciation | 183 | 12 |
| Loss on sale | (63) | (2) |
| Cash Received | — | — |

If applicable, 50% of the proceeds of any sale would have been transferred to the State.

ARCHIVES AUTHORITY OF NEW SOUTH WALES
**Notes to and Forming Part of the Financial Statements**
For the year ended 30 June 1993

| | Notes | 1993 $'000 | 1992 $'000 |
|---|---|---|---|
| **16. PROGRAM INFORMATION** | | | |
| **Budget Number and Program:** 62.1.1. Archives Authority | | | |
| **Program Objective:** To preserve, maintain and administer the State archives, to promote efficient records management in the public sector and to provide repository facilities. | | | |
| **Expenses** | | | |
| Grants & subsidies | | — | (17) |
| Other | | (5 577) | (5 158) |
| **Total Expenses** | | (5 577) | (5 175) |
| **Revenue** | | | |
| User charges | | 79 | 111 |
| Other revenue | | 1 987 | 1 904 |
| Gain/(loss) on sale of non-current Assets | | (11) | (2) |
| **NET COST OF SERVICES** | | (3 522) | (3 162) |
| Government allocations | (a) | 4 043 | 3 283 |
| **Surplus/(Deficit) for the year** | | 521 | 121 |
| **Total Assets** | | 19 543 | 17 069 |
| (a) Government Allocations | | | |
| Consolidated Fund recurrent appropriation | | 3 352 | 3 132 |
| Consolidated Fund capital appropriation | | 528 | — |
| State acceptance of liabilities | | 163 | 151 |
| | | 4 043 | 3 283 |
| **17. AUDIT FEES** | | | |
| The fee for the audit of the Authority's accounts and records by the New South Wales Auditor General's Office was | | 20 | 20 |

The Auditor-General received no other benefits.

End of audited Financial Statements.

# AUDITOR-GENERAL'S OPINION

## ARCHIVES AUTHORITY OF NEW SOUTH WALES

**To Members of the New South Wales Parliament and Members of the Archives Authority of New South Wales**

## Scope

I have audited the accounts of the Archives Authority of New South Wales for the year ended 30 June 1993. The preparation and presentation of the financial statement, consisting of the accompanying statement of financial position, operating statement and statement of cash flows, together with the notes thereto , and the information contained therein is the responsibility of the Authority. My responsibility is to express an opinion on these statements to Members of the New South Wales Parliament and Members of the Authority based on my audit as required by Sections 34 and 41C(1) of the Public Finance and Audit Act 1983. My responsibility does not extend here to an assessment of the assumptions used in formulating budget figures disclosed in the financial statements.

My audit has been conducted in accordance with the provisions of the Act and Australian Auditing Standards to provide reasonable assurance as to whether the financial statements are free of material misstatement. My procedures included examination, on a test basis, of evidence supporting the amounts and other disclosures in the financial statements, and the evaluation of accounting policies and significant accounting estimates. These procedures have been undertaken to form an opinion as to whether, in all material respects, the financial statements are presented fairly in accordance with the requirements of the Public Finance and Audit Act 1983, and Australian accounting concepts and standards so as to present a view which is consistent with my understanding of the Authority's financial position and the results of its operations and its cash flows.

This audit opinion has been formed on the above basis.

## Audit Opinion

In my opinion, the financial statements of the Archives Authority of New South Wales comply with Section 41B of the Act and present fairly in accordance with Statements of Accounting Concepts and applicable Accounting Standards the financial position of the Authority as at 30 June 1993 and the results of its operations and its cash flows for the year then ended.

R. C. HENDERSON, FCA
DIRECTOR OF AUDIT
(duly authorised by the Auditor-General of New South Wales
under Section 41C(1A) of the Act)

SYDNEY
1 October 1993

## Budget Number and Program: 62.1.1 Archives Authority
Detailed Budget in Accordance with Section 7 (1) (a) (iii) of Annual Reports (Statutory Bodies) Act, 1984 — For Financial Year 1992-93 — Cash Basis

### Archives and Records Management Office

| Item | Allocation 1992/93 ($) | Expenditure 1992/93 ($) |
|---|---|---|
| **SALARIES AND PAYMENTS** | | |
| A.1 Salaries and Wages, Penalties etc. | 1 694 000 | 1 642 983 |
| National Wage adjustment | 17 000 | 1 000 |
| A.3 Overtime | 31 000 | 33 266 |
| A.5 Workers Compensation Insurance | 5 596 | 5 281 |
| A.7 Payroll Tax Expense | 113 404 | 87 095 |
| **Sub-total "A" Items** | **1 861 000** | **1 769 625** |
| | | |
| **MAINTENANCE AND WORKING EXPENSES** | | |
| B.2 Expenses in Connection with Building | | |
| Rent | 1 367 000 | 1 193 790 |
| Rates | 4 000 | 2 192 |
| Maintenance | 131 000 | 74 213 |
| Cleaning | 26 000 | 26 232 |
| | | |
| B.3 Subsistence and Transport | | |
| Travelling and Subsistence | 25 000 | 13 244 |
| Motor Vehicles and Running Costs etc. | 16 000 | 19 314 |
| | | |
| B.4 General Expenses | | |
| Training and Seminars | 18 000 | 26 452 |
| Advertising and Publicity | 18 000 | 4 604 |
| Books and Periodicals | 9 000 | 8 802 |
| Fees for Services Rendered | 79 500 | 71 582 |
| Gas and Electricity | 163 000 | 189 941 |
| Other Insurance | 35 000 | 33 241 |
| Postal and Telephone | 40 000 | 35 552 |
| Printing | 17 000 | 13 683 |
| Stores and Equipment | 97 500 | 138 871 |
| Minor and Out of Pocket Expenses | 4 000 | 3 075 |
| Maintenance Contracts | 9 000 | 7 878 |
| **Sub total "B" Items** | **2 059 000** | **1 862 666** |
| | | |
| **CAPITAL WORKS** | | |
| F.100 Stage 3 Extensions | 528 000 | 528 000 |
| **Sub total "F" Items** | **528 000** | **528 000** |
| | | |
| **PROGRAM TOTAL** | **4 448 000** | **4 160 291** |

## Archives and Records Management Office

| Item | Allocation 1993-94 ($) |
|---|---|
| **REVENUE** | |
| CONSOLIDATED FUND — RECURRENT | 3 390 000 |
| CONSOLIDATED FUND — CAPITAL WORKS | 744 000 |
| ARCHIVES OFFICE REVENUE | 133 000 |
| RECORDS MANAGEMENT OFFICE REVENUE | 175 000 |
| FUNDS TRANSFERRED FROM THE MINISTRY FOR THE ARTS | 128 000 |
| USE OF RESERVES | 50 000 |
| **Total Revenue** | **4 620 000** |
| **EMPLOYEE RELATED PAYMENTS** | |
| A.100 Salaries, Wages, Penalties etc. | 1 678 000 |
| A.101 National Wage Adjustment | 16 000 |
| A.300 Overtime | 33 000 |
| A.500 Workers Compensation Insurance | 6 300 |
| A.700 Payroll Tax Expense | 100 000 |
| **Total Employee Related Payments** | **1 833 300** |
| **MAINTENANCE AND WORKING EXPENSES** | |
| B.201 Building Rent and Cleaning | 1 184 000 |
| B.202 Rates | 4 000 |
| B.203 Maintenance | 111 000 |
| B.205 Cleaning — Kingswood | 26 000 |
| B.301 Travelling and Subsistence | 14 000 |
| B.302 Motor Vehicles and Running Costs | 14 000 |
| B.303 Training and Seminars | 43 700 |
| B.401 Advertising | 25 000 |
| B.402 Books and Periodicals | 9 000 |
| B.403 Fees for Services Rendered | 79 000 |
| B.404 Gas and Electricity | 180 000 |
| B.406 Insurance | 33 000 |
| B.407 Postal and Telephone | 35 000 |
| B.408 Printing | 14 000 |
| B.409 Stores | 132 000 |
| B.410 Minor and Out of Pocket Expenses | 3 000 |
| B.412 Maintenance Contracts | 8 000 |
| **Total Maintenance And Working Expenses** | **1 914 700** |
| **CAPITAL WORKS** | |
| F.100 Stage 3 Extensions — Kingswood Repository | 464 000 |
| F.102 Stage 1 Roof Repairs — Kingswood Repository | 408 000 |
| **Total Capital Works** | **872 000** |
| **TOTAL** | **4 620 000** |

# VI  ADDITIONAL INFORMATION

# APPENDICES 1 – 3

# CORPORATE SERVICES

# ORGANISATION STRUCTURE

**ARCHIVES AUTHORITY OF NEW SOUTH WALES**          **MINISTRY FOR THE ARTS**

**PRINCIPAL ARCHIVIST**

**DEPUTY PRINCIPAL ARCHIVIST**

**ARCHIVES OFFICE**

| DISPOSAL SERVICES | SYSTEMS | COLLECTION SERVICES | PRESERVATION SERVICES | REFERENCE SERVICES | CORPORATE SERVICES | REPOSITORY SERVICES | RECORDS MANAGEMENT OFFICE |
|---|---|---|---|---|---|---|---|
| Manager (AG4) | Manager (AG6) | Manager (AG6) | Manager | Manager (AG4) | Senior Admin Officer (A&C8) | Manager (A&C12) | Manager (A&C9) |
| SA, Machine Readable Records | Systems Co-ordinator | Processing Coordinator<br><br>Processing Supervisor, Kingswood | Assistant Conservator<br><br>Photographer | SA, Research<br><br>SA, Reference<br><br>Client Liaison Officer<br><br>Publications Officer | Admin Officer<br><br>Finance Officer<br><br>Executive Assistant<br><br>Records Officer<br><br>OIC Support Services<br><br>2IC Support Services | Deputy Manager<br><br>Marketing Manager<br><br>Senior Consultant<br><br>SA, Consultancy<br><br>Records Manager<br><br>OIC Retrieval<br><br>Admin Officer | Records Management Officers (3)<br><br>Administrative Assistant |

Establishment = 73

Archivists and support staff are distributed among the sections on a rotational basis according to availability and priorities.

March 1993

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Appendix 1

# PERMANENT STAFF AS AT 30 JUNE 1993

*Principal Archivist*
John Cross

*Deputy Principal Archivist*
Frances Lemmes

## Archives Office

*Manager, Systems*
Christine Shergold

*Manager, Collection Services*
Richard Gore

*Manager, Disposal Services*
Amanda Barber

*Manager, Preservation Services*
John Davies

*Manager, Reference Services*
Christine Yeats

*Systems Co-ordinator*
Michael Allen

*Senior Archivist, Research*
Gail Davis

*Senior Archivist, Reference* (Kingswood)
Roslyn Beard (maternity leave)

*Processing Co-ordinator*
Wendy Gallagher

*Client Liaison Officer*
Martyn Killion

*Processing Supervisor*
vacant

*Senior Archivist, Machine Readable Records*
Stephen Bedford

*Assistant Conservator*
Clara Cesarone

*Publications Officer*
Sandra Orellana

*Photographic Officer*
Rudi Gottl

*Archivists*
Tracy Bradford (Grade 2 - salary maintenance)
Rhonda Campbell
Vanessa Follett (leave without pay)
Leonie Jennings (leave without pay)
Angela Kavuzlu (part time)
Janet Knight
Fabian LoSchiavo
Cheri Lutz
Janette Pelosi (leave without pay)
Laraine Tate
Kathleen Verdich
Vacant

## Corporate/Support Services

*Senior Administrative Officer*
Bernard Edwards

*Administrative Officer*
Nigel Richardson

*Finance Officer*
Elizabeth Page

*Executive Officer*
Robin Carlysle

*Records Officer*
Bee Leong Pang

*Officer In Charge — Support Services*
John Maugueret

*Second In Charge — Support Services*
Jimena Galleguillos (part time)

*Clerical Officers*
Patricia Beavis (part time)
Andrew Delves
Rosana Guevara
Michael Holland (part time)
Annette Lennon (seconded to the Records
Management Office)
Tuula Lepisto

Heather Lighezzolo
Rachel McCormack
Phillip Martin
Dianne Morgan (part time)
Coral Searle

## Records Management Office

*Manager*
David Roberts

*Records Management Officers*
Denise Bechert
David Brumby
vacant

*Administrative Assistant*
Annette Lennon (acting)

## Government Records Repository

*Manager*
John Burke

*Deputy Manager*
Jennifer Stapleton

*Marketing Manager*
Sally Irvine-Smith

*Senior Consultant*
Deborah Sims

*Senior Archivist — Consulting*
Vacant

*Senior Archivist — Consulting*
Vacant

*Records Manager*
Robert Wright

*Officer In Charge — Retrieval/Returns*
Sue Coleman

*Second In Charge — Retrieval*
Douglas Slade

*Second In Charge — Returns*
Sheryl Coles

*Administrative Officer*
Vacant

*Clerical Officers*
Robert Byrne
Alan Cartwright
Mary Cleanthous
Josephine Lee
Linda McConnell (part time)
Richard Taylor
Vacant

*Drivers/General Assistants*
Stephen Hauer
John McGuiggan
Tom Pittman

# THE ARCHIVES AUTHORITY OF NEW SOUTH WALES

## CODE OF CONDUCT

### 1. Introduction

1.1 The Archives Authority of New South Wales is a statutory corporation responsible to the Minister for the management of the Archives Office of New South Wales, the New South Wales Government Records Repository, and the Records Management Office of New South Wales. The officers and employees of the Archives Authority are subject to the provisions of the Public Sector Management Act, 1988, the Public Finance and Audit Act, 1983, and other relevant legislation/regulations.

1.2 The *New South Wales Public Sector Code of Conduct* (1991) sets out the general obligations and responsibilities of public servants in relation to ethical conduct. The *Archives Authority Code of Conduct* is designed as a supplementary code for all staff and other persons working for or on behalf of the Archives Authority of New South Wales (including permanent, temporary and seconded staff, and persons employed as consultants), and should be used in conjunction with the *Public Sector Code*.

1.3 The code will be supplemented where appropriate by clauses in individual contracts covering projects or consultancies in other organisations. Staff should also be aware of the existence of codes of ethics prepared by professional associations, as these may assist in clarifying some aspects of particular ethical issues.

### 2. General principles of conduct

2.1 You are specifically required to carry out diligently and conscientiously the policies of the Archives Authority of New South Wales as directed by the Principal Archivist, and to accept responsibility for your own acts or omissions.

2.2 In all aspects of your work you must maintain the dignity, good reputation and standards of the Archives Authority.

2.3 All Archives Authority staff should promote and encourage sound and efficient records management practices throughout the records continuum in the NSW public sector.

2.4 If you are a supervisor or manager, you are responsible for ensuring that staff under your direction understand what their duties are and how they should be carried out, what results are expected, and that their performance will be regularly and formally appraised. The best results will only be achieved, however, when leadership is exercised in a climate of consultation, co-operation and mutual support.

## 3. Confidentiality of information

3.1    All staff are covered by the confidentiality clauses of the *Archives Act*, 1960. You therefore have a special responsibility to treat as confidential information in restricted records (including records in government agencies, semi-active records and archives). Information from such records in Authority custody may be given only to officials of the creating agency, or to persons with specific formal authorization from the head of that agency (see *Archives Act*, 1960, Section 14 (6) (a), (b), (c) — extract attached as *Appendix A*).

3.2    You are entitled to examine restricted public records in the course of your duties. Such records should, however, be examined only when a demonstrated need exists, eg. during the course of appraisal/processing, for file retrieval or following a request for information from the creating/transferring agency.

3.3    With regard to the Authority's own records, the FOI section of the *Annual Report* sets out guidelines for providing access to this material for members of the public.

## 4. Conflict of interest/outside employment

4.1    You must notify the Principal Archivist of any outside employment (including part-time or casual work).

4.2    You must ensure that outside employment, personal interests and activities (including financial interests) do not conflict with your work. Conflicts of interest may arise in a wide range of areas, for example you may have a financial interest in, or be a relative or friend of a person involved with, a company tendering or quoting for the supply of goods or services to the Archives Authority.

4.3    You are responsible for being aware of potential conflicts of interest, and for bringing them to the attention of senior management. If you have any doubts as to whether a conflict might exist, you should consult senior staff. As a general rule, disclosure is always preferable.

4.4    You must not use your knowledge of operational matters or any information gained during consultancy or other work for personal financial gain or any other private purpose.

## 5. Responsibilities of persons undertaking consultancy work

5.1    You are responsible for maintaining the highest professional standards when providing reports and advice to clients.

5.2    You should treat all material obtained during the course of consultancy as confidential unless:

☐    it is already in the public domain or can be shown to be readily available to the public;

☐    the client has requested disclosure of designated material in writing;

☐  you have sought and received written permission to divulge designated material in a specified way.

5.3    It is vital that clear understanding and agreement is reached with the client as to the nature and scope of a consultancy before work commences. Full details of the terms of any consultancy should be documented, and agreement should be confirmed in writing by both parties.

5.4    As far as practicable, you should ensure that the terms of agreement reached with a client are fully complied with during the course of a consultancy.

5.5    When dealing with clients, due regard should be taken of their obligations under all relevant legislation or regulations. In particular, when consultancy work involves public records in New South Wales public offices, you must ensure that all recommendations made conform to the provisions of the *Archives Act*, 1960.

5.6    You should avoid gratuitous criticism of clients or other organizations, and should not comment adversely on the services provided by rival consultants.

5.7    Should doubts be raised as to the appropriateness or legality of the activities or recommendations of other consultants, you should consult with your supervisor or manager before taking action to alert a client.

5.8    You must take particular care not to inadvertently pass on commercially confidential information to competitors, eg. when socialising during conferences or meetings of professional associations.

## 6.    Improper or corrupt conduct

6.1    All Archives Authority staff must avoid conduct which could be interpreted as improper or corrupt. Corrupt conduct is defined in the *Independent Commission Against Corruption Act*, 1988. The definition is intentionally as broad as possible, in order to avoid loopholes, but one of the key notions is misuse of public office in the public sector. Corrupt conduct happens when:

☐  A public official carries out public duties dishonestly or unfairly;

☐  Anyone (including a public official) does something that could result in a public official carrying out public duties dishonestly or unfairly;

☐  Anyone (including a public official) does something that has a detrimental effect on official functions, and which involves any of a wide range of matters, including (for example) fraud, bribery, official misconduct, violence;

☐  A public official (or former public official) breaches public trust; or

☐  A public official (or former public official) misuses information or material obtained in the course of duty.

Conduct is not corrupt unless it involves (or could involve):

    ☐   a criminal offence;

    ☐   a disciplinary offence; or

    ☐   reasonable grounds to dismiss a public official.

6.2     If you become aware of improper or corrupt conduct, you should notify your manager, or senior management. Any complaints made in good faith will be dealt with by senior management. Complaints about corrupt conduct may also be made to the Independent Commission against Corruption.

6.3     Sanctions may be applied if any person is involved in

    ☐   unsatisfactory performance of duties

    ☐   breaches of terms and conditions of employment

    ☐   breaches of codes of conduct

    ☐   actions which may be prosecuted as breaches of the ICAC Act

The sanctions to be applied will depend on how serious the breaches are, and/or how often they are repeated. They may include:

    ☐   counselling by supervisors or senior management

    ☐   a record of behaviour documented and placed on file

    ☐   not being recommended for permanency, a further term of employment or a salary increment

    ☐   dismissal

    ☐   prosecution

## 7.    Post-separation employment

The following general provisions apply to all staff leaving the employ of the Archives Authority. Persons working under contract may also be subject to more specific requirements under the terms of their contract.

7.1     You may legitimately make use of the experience gained during your employment with the Authority. You must not, however, make public or otherwise use any confidential knowledge or information gained as a consequence of your employment with the Authority eg. commercially confidential information relating to product development, clients or pricing.

7.2     At the end of your employment you must return any documents or copies of documents (in whatever format) or other items which relate to the Authority's work and which are not otherwise publicly available.

7.3     You must respect Crown copyright in any non-confidential materials publicly or commercially available from the Authority, eg. publications, training materials.


**DECLARATION**

I have read, fully understand and undertake to observe the provisions of the *New South Wales Public Sector Code of Conduct* and the *Archives Authority Code of Conduct*.


| | | |
|---|---|---|
| Name of Officer | Signature | Date |


*Revised edition*
*March 1993*

**APPENDIX A**

Extract from the *Archives Act*, 1960

SECTION 14 "(6) (A) Where the person in charge of any public office makes available to the Authority any public records he may, by notice in writing given to the Authority –

(i)     inform the Authority that any such public record contains information, the disclosure or divulging of which by any person is by virtue of any enactment prohibited; or

(ii)     impose such conditions as he thinks fit prohibiting the Authority from making any such public record available for inspection by any person for any period specified in the notice or restricting the class of persons to whom the Authority may make any such public record available for inspection.

(b)     Any conditions referred to in subparagraph (ii) of paragraph (a) may be varied or revoked by the person for the time being in charge of the public office from which the public records were made available to the Authority.

(c)     Notwithstanding any other provision of this Act, it shall be the duty of the Authority and every member and employee thereof -

(i)     not to disclose or divulge any information contained in any public record referred to in any notice given to the Authority under subparagraph (i) of paragraph (a) except with the approval of the person in charge of the public office from which such public record was made available to the Authority; and

(ii)     not to make any public record to which a notice given under subparagraph (ii) of paragraph (a) relates available for inspection by any person in contravention of any condition applicable to such public record under this subsection."

# APPENDIX 4

# FREEDOM OF INFORMATION

# ARCHIVES AUTHORITY OF NEW SOUTH WALES

**Supplementary Information required under the Freedom of Information Act 1989**

## A. Major kinds of documents held by the Archives Authority

1. Files

   a) *Administrative files*

   These cover most aspects of the Authority's operations, including recruitment and staffing, purchase of equipment, financial matters, etc.

   b) *Policy files*

   These records contain reports and correspondence on the full range of matters of concern to the Authority, from Records Management and Repository Services to Collection Services and reference activities.

   c) *Disposal files*

   Disposal files record administrative details relating to the transfer or destruction of public records.

   d) *Reference files*

   These comprise inquiries from individuals and institutions seeking information from archival records held by the Archives Authority.

2. Records relating to Archives Authority meetings (Minutes and Meeting Papers)

3. Disposal/accession and related records

   These give details of records approved for destruction or transfer as State archives.

4. Reference Services — working records

   Refence Services maintains a range of records, the most significant of which relate to Search Room/Research Services.

5. Procedure Manuals

   These are chiefly designed for Authority staff and other government employees.

6. Publications — brochures and pamphlets

   The Archives Authority publishes an extensive range of maps, posters and souvenir items as well as guides, finding aids, technical papers and publications relating to records management and disposal. Detailed and summary lists of publications are available on request to the City Office.

   A range of brochures outlining services offered by the Government Records Repository is available from the Kingswood Repository. Reference Services has also prepared a number of leaflets to assist researchers, covering family/local history research, Search Room, Research, Photographic and Extension Services.

## B. Availability/Access to records/publications

### 1. General

To gain access to information in the records listed under 1-5 above, enquirers should contact the Manager, Collection Services (2 Globe Street, The Rocks, Sydney 2000; telephone: (02) 237 0132. Where possible, informal access will be arranged, and if copies are required charges will be levied. Where informal access is not possible, formal FOI procedures and fees will apply. Access would normally be given during office hours (9.00 am to 5.00 pm, Monday to Friday).

Most items referred to under 6. above are available during Office hours from both the City Office and the Repository:

| *Head Office:* | *Repository:* |
|---|---|
| 2 Globe Street | O'Connell Street |
| The Rocks | Kingswood NSW 2747 |
| Sydney NSW 2000 | |
| | |
| *Telephone:* | |
| (02) 237 0254 | (02) 673 1788 |

Leaflets on Repository Services are available only from the Repository.

All requests by mail (except for Repository leaflets) should be addressed to the Head Office.

### 2. Documents concerning personal affairs

The only Archives Authority records relating to personal affairs are the Reader's ticket register and Reference files. Access to an individual's own entry or file is not restricted, and all requests should be made to the Manager, Reference Services (Head Office) during office hours.

Many State archives in the custody of the Archives Authority contain information on individuals' personal affairs. Most archives more than 30 years old are not restricted, but some government agencies have placed longer restrictions on certain records. Individuals wishing to gain access to restricted records containing information on their personal affairs should contact the agency which created the records and advice will be given on the appropriate way to apply for access (either through an FOI request or by other means).

# APPENDICES 5 – 8

# THE PROGRAMS OF THE ARCHIVES AUTHORITY

# COLLECTION SERVICES STATISTICS

**Table 1**                                  State of the collection as at 30 June 1993

| | |
|---|---|
| **A.   IN ARCHIVES AUTHORITY PREMISES** | |
| **Processed records** | |
| Archives Office strokes [1] | 34 010 metres |
| Regional strokes | 934 |
| Total strokes | 34 944 |
| Non-standard material [2] | 147 |
| **Total** | 35 091 metres |
| Maps/plans/documents | 120 434 items |
| **Records awaiting appraisal/processing** | |
| Accessioned records awaiting appraisal | 2 400 metres<br>52.2 cubic metres of maps and plans |
| Unaccessioned records awaiting appraisal [3] | 7 820 metres |
| Total records awaiting appraisal | 10 220 metres<br>52.2 cubic metres of maps and plans |
| Accessioned records awaiting processing | 1 907 metres<br>128.1 cubic metres of maps and plans |
| Unaccessioned records awaiting processing [4] | 850 metres |
| Total records awaiting processing | 2 757 metres<br>128.1 cubic metres of maps and plans |
| **Total records awaiting appraisal/processing** | 12 977 metres<br>180.3 cubic metres of maps and plans |
| **Total archival holdings in Archives Authority premises** | 48 068 metres<br>120 434 maps/plans/documents<br>180.3 cubic metres of maps and plans |
| Proportion of holdings awaiting appraisal [5] | 21.3% |
| Proportion of holdings awaiting processing [5] | 5.7% |
| Proportion of holdings awaiting appraisal and/or processing [5] | 27% |
| **B.   IN REGIONAL REPOSITORIES** [6] | c.3 500 metres<br>c.10 000 maps and plans |
| **C.   TOTAL ARCHIVAL HOLDINGS** | c.51 568 metres<br>c.130 434 maps/plans/documents<br>c.180.3 cubic metres of maps and plans |

[1] *A "stroke" is a block of location numbers for "standard" material (boxes and volumes)*

[2] *Microfilms, tapes, discs, glass negatives, cassettes, videos, films etc.*

[3] *Includes 4 930 metres in semi-active storage awaiting appraisal/culling, and 2 890 metres of Land Titles Office and Local Land Board Office records in archival storage*

[4] *In semi-active storage awaiting transfer*

[5] *Excludes maps and plans*

[6] *Figures given here are approximate only and actual figures are likely to be higher*

Table 2            Accessioning, destruction and processing of records

| | City | | | Kingswood | | | Total | | |
|---|---|---|---|---|---|---|---|---|---|
| | 1990-91 | 1991-92 | 1992-93 | 1990-91 | 1991-92 | 1992-93 | 1990-91 | 1991-92 | 1992-93 |
| **Quantity of records accessioned (metres):** | | | | | | | | | |
| non-continuing | 911 | 989.83 | 287.37 | 644 | 119.62 | 67.41 | 1 555 | 1 109.45 | 354.78 |
| continuing | 235 | 249.16 | 203.42 | 117 | 639.55 | 972.62 | 352 | 888.71 | 1 176.04 |
| for appraisal[1] | | | 263.68 | | | 16.27 | | | 279.95 |
| total | 1 146 | 1 238.99 | 754.47 | 761 | 759.17 | 1 056.30 | 1 907 | 1 998.16 | 1 810.77 |
| **Other accessions:** [2] | | | | | | | | | |
| microfilm (reels) | * | 805 | 7 | * | 96 | — | * | 901 | 7 |
| film (rolls) | * | 74 | — | * | | — | * | 74 | — |
| plans | * | 978 | 7 | * | | — | * | 978 | 7 |
| Quantity of records destroyed [3] | 153 | 189.78 | 154.81 | | 291.63 | 74.61 | 153 | 481.41 | 229.42 |
| Quantity of records processed | 1 350 | 608.12 c.1 100 maps/plans | 604.02 1 194 plans | 790 | 920.93 | 747.14 303 microfilms | 2 140 | 1 529.05 c.1 100 maps/plans | 1 351.16 1 194 plans, 303 microfilms |

[1] *Separate figures for this category have only been kept since January 1993. Prior to this date, records accessioned for further appraisal were recorded under "non-continuing"*

[2] *These figures relate to "non-standard" material, quantities of which cannot be readily expressed in metres. Please note that exact figures for items marked with an asterisk (*) were not kept before 1991-92*

[3] *The "records destroyed" figure relates only to the destruction of accessioned records culled by Archives Office staff. It does not cover records destroyed by or on behalf of government agencies acting on decisions of the Archives Authority*

# PRESERVATION SERVICES STATISTICS

|  | 1990/91 | 1991/92 | 1992/93 |
|---|---|---|---|
| **Repair:** | | | |
| Manuscripts: | | | |
| *Paper* | *11 477 | 5 345 | 1 146 |
| *Parchment* | — | 45 | — |
| Maps | 6 | 41 | 1 |
| Plans | 191 | 684 | 321 |
| Prints and drawings | 101 | 116 | 96 |
| **Binding, rebinding and repairs to binding:** | | | |
| State Archives | 170 | 16 | 71 |
| Reference books and guides | 7 | 27 | 91 |
| **Mounting for display in exhibitions/Preparing records for microfilming** | 201 | 126 | 74 |
| **Box making:** | | | |
| Solander boxes | — | 5 | 5 |
| Phase preservation cases | — | 11 | 53 |
| Slip cases/map folders | — | 4 | 141 |
| **In-house Microfilming Program:** | | | |
| Microfilms (35mm roll films) | 2 | 25 | 68 |
| Testing of microfilms: | | | |
| *Silver Sulphide Densitometric Method* | 96 | 12 | 46 |
| *Methylene Blue Photometric Method* | 5 | 37 | 71 |
| **Photography:** | | | |
| Film negatives/frames | 967 | 912 | 560 |
| Photographic prints | 350 | 180 | 301 |
| Reader/printer copies | 864 | 616 | 297 |

*\* Includes items damaged by water*

# REFERENCE SERVICES STATISTICS

**Table 1**                                    **Number of Users**

|                                                      | 1991-92 | 1992-93 | Variation (%) |
|------------------------------------------------------|---------|---------|---------------|
| Number of new readers tickets issued                 | 2 905   | 3 083   | 6.1           |
| Number of readers tickets renewed                    | 1 815   | 1 644   | -9.4          |
| Total readers tickets                                | 4 710   | 4 727   | .4            |
| Proportion of new/total readers tickets              | 61.7%   | 65.2%   | 3.5           |
| Number of daily undertakings (temporary tickets)     | 1 253   | 1 364   | 8.8           |
| Total number of users                                | 5 963   | 6 091   | 2.1           |
| Average number of visits per user                    | 2.4     | 2.5     | 4.2           |

**Table 2**                                    **Search Room Statistics**

|                                              | 1990-91 | | | 1991-92 | | | 1992-93 | | |
|----------------------------------------------|---------|-------|--------|---------|--------|---------|---------|--------|---------|
|                                              | City    | K/w   | Total  | City    | K/w    | Total   | City    | K/w    | Total   |
| No. of originals issued (volumes/boxes)      | *9 174  | 15 498 | 24 672 | 8 967  | 15 851 | 24 818  | 9 964   | 13 209 | 23 173  |
| No. of original maps issued                  | *1 069  | 2 590 | 3 659  | 451     | 2 233  | 2 684   | 913     | 1 764  | 2 677   |
| No. of aperture card maps issued             | *2 818  | —     | 2 818  | 2 994   | 122    | 3 116   | 3 700   | 104    | 3 804   |
| No. of microfilm reels issued                | *20 075 | 10 572 | 30 647 | 17 939 | 11 146 | 29 085  | 19 092  | 11 405 | 30 497  |
| No. of microfiche issued                     | *16 571 | 23 636 | 40 207 | 15 317 | 24 201 | 39 518  | 18 511  | 28 119 | 46 630  |
| No. of CODs issued (Xerox copies of original documents) | *3 575 | 616 | 4 191 | 3 468 | 754 | 4 222 | 4 808 | 782 | 5 590 |
| Total no. of issues                          | *53 282 | 52 912 | 106 194 | 49 136 | 54 307 | 103 443 | 56 988 | 55 383 | 112 371 |
| Total no. of reader/visits                   | *8 912  | 4 924 | 13 836 | 8 824  | 5 262  | 14 086  | 9 637   | 5 481  | 15 118  |
| Average no. of issues per user               | 6.0     | 10.7  | 7.7    | 5.6     | 10.3   | 7.3     | 5.9     | 10.1   | 7.4     |

*City Search Room closed for stocktaking 26 November 1990 - 1 January 1991*

**Table 3**                                     **Research Service Statistics**

| Correspondence dealt with | 1991-92 | 1992-93 |
|---|---|---|
| Inquiries returned/referrals/forms sent | 1 072 | 920 |
| Non-standard correspondence | 375 | 133 |
| Quotations sent | $^+$196 | 563 |
| Total written inquiries | 1 643 | 1 616 |
| **Paid Research:** | | |
| Quotations accepted | $^+$113 | 334 |
| Convict research inquiries | 58 | 52 (*56) |
| Deceased Estate inquiries | $^+$29 | 51 (*92) |
| Other paid research inquiries | 1 | 3 |
| Total paid research inquiries | 201 | 440 |
| | | |
| **Revenue:** | | |
| Quotations | 3 742 | 17 162 |
| Convict Research | 3 960 | 4 130 |
| Deceased Estates | 1 310 | 2 280 |
| Total revenue | 9 012 | 23 572 |
| Refunds | 562 | 312 |
| **Net revenue** | $8 450 | $23 260 |
| Telephone inquiries | 5 818 | 6 434 |
| Permission to publish | 74 | 58 |

\* *Total number of Convicts or Deceased Estate records/files checked on behalf of enquirers*

$^+$ *New system: January-June 1992 only*

**Table 4**                                   **Extension Service Statistics**

|  | 1990-91 | 1991-92 | 1992-93 |
|---|---|---|---|
| **Activities for which fees were charged:** | | | |
| Seminars/workshops/conferences | 5 | 5 | 7 |
| Detailed talks/tours | 12 | 8 | 11 |
| **Free talks/tours for groups:** | | | |
| Archives/library students, TAFE/Aboriginal/history students, etc. | 42 | 32 | 34 |
| School groups* | 4 | 4 | - |
| **Individual visitors:** | | | |
| Archivists/librarians, etc. | 14 | 1 | 3 |
| Work experience students | 15 | 12 | 13 |
| **Other:** | | | |
| Papers given at outside conferences | 2 | 3 | - |
| Stalls/publicity activities | 4 | 1 | 4 |

*From 1 January 1992 fees have been charged for this activity. The four groups visiting during the year came during the period July - December 1991*

**Table 5**                                   **Photographic Service Statistics**

| | 1991-92 | | | 1992-93 | | |
|---|---|---|---|---|---|---|
| | **City** | **Kingswood** | **Total** | **City** | **Kingswood** | **Total** |
| **In the Search Rooms:** | | | | | | |
| Photocopies | 18 822 | 27 176 | 45 998 | 16 984 | 26 526 | 43 510 |
| Reader/Printer copies | 6 690 | 3 043 | 9 733 | 8 408 | 2 956 | 11 364 |
| Aperture Card negatives | 220 | 243 | 463 | 204 | 200 | 404 |
| Photographic prints | 54 | 21 | 75 | 181 | 11 | 192 |
| **Arising from Written Inquiries:** | | | | | | |
| Photocopies | | | 1 426 | | | 5 226 |
| Reader/Printer copies | | | 741 | | | 982 |
| Aperture Card negatives | | | 40 | | | 114 |
| Photographic prints | | | 1 | | | 9 |
| **Totals:** | | | | | | |
| Photocopies | | | 47 424 | | | 48 736 |
| Reader/Printer copies | | | 10 474 | | | 12 328 |
| Aperture card negatives | | | 503 | | | 518 |
| Photographic prints | | | 76 | | | 201 |
| **Unpublished microfilms** | | | 256 | | | 170 |

# CURRENT PUBLICATIONS OF THE ARCHIVES AUTHORITY

*For a complete list of the publications of the Archives Authority, see the Archives Authority of NSW, Annual Report, 1989-1990 Appendix 2.*

## (a) Inventories and Guides

(2) Colonial Secretary: Naturalization and Denization records (First edition published by the Public Library of New South Wales, Archives Section, 1959; new and revised edition 1967; revised and reprinted 1979; third edition, 1982)

(13) Concise Guide to the State archives of New South Wales (Second edition, 1992)

(14) Guide to Convict Records in the Archives Office of New South Wales. (Second edition, 1981; with Supplement, 1985)

(16) Index to Assisted Immigrants Arriving Port Phillip, 1839-51. (1976; reprinted 1985)

(17) Guide to Shipping and Free Passenger Records. (1977; Second edition, 1984)

(19) Government (Colonial) Architect, 1837-c.1970 (1979)

(21) Immigration: Index to Assisted Immigrants arriving Sydney, 1880-96 (1980)

(23) Surveyor General: Select List of Maps and Plans, 1792-1886 (1980)

(24) Clerk of the Peace: Part 1 — Quarter Sessions Records, 1824-1920 (1982)

(26) Surveyor General: Select list of Maps and Plans, 1792-1886. Supplement (1984)

(27) Immigration: Index to Assisted Immigrants arriving Moreton Bay (Brisbane), 1848-59 (1985)

(28) Immigration: Index to Assisted Immigrants arriving Sydney, 1860-79 (1985) With Supplement, 1985

(29) Immigration: Index to Assisted Immigrants arriving Sydney and Newcastle, 1844-59 (1987)

(30) Index to the Papers of the New South Wales Colonial Secretary, 1788-1825 (1990)

## (b) Information Leaflets

(2) Publicans' Licences

(3) Electoral Rolls

(4) Birth, Death and Marriage Records

(6) Maps and Plans

(7)   Land Grants, 1788-1856

(11)  Colonial Secretary: Indexes and Registers to Letters Received, 1826-1900

(14)  Surveyor-General: Surveyors' Field books, 1794-1830

(24)  Department of Education: Subject files, 1875-1948

(29)  Returns of the Colony — 'Blue Books'

(35)  Attorney General and Justice — Registry of Births, Deaths and Marriages: Microfilm copies of Registers of Baptisms, Burials and Marriages, 1787-1856

(37)  How to Use the Genealogical Research Kit

(38)  Muster and Census Records

(39)  Index to Abstracts of all Licences for Marriage granted to Free Persons, March 1813 - December 1827

(40)  The Colonial Secretary's Papers, 1788-1825

(41)  Professions and Occupations: A Select List of Sources

(42)  Probate Index, 1800-1984

(43)  An Introduction to Sources for Genealogical Research

(44)  Attorney General and Justice — Registry of Births, Deaths and Marriages: Microfiche copies of Indexes to Births, Deaths and Marriages, 1788-1905

(45)  Indexes in the Archives Office Search Rooms

**(c)   Technical Papers**

(1)   Preservation of Books and Related Materials

(2)   Preventive Conservation — Basic Conservation Techniques

(3)   Guidelines in Establishing a Microfilming Programme

(4)   Microfilming of Records

(5)   Guide to the Salvage of Water Damaged Records

## (d) Document Kits

(1) From Cato Street to Botany Bay: Convict Case Studies from material in the Archives Office of New South Wales (1979)

## (e) Publications in Microform

(1) *Genealogical Research Kit*
The *Genealogical Research Kit* (*GRK*) comprises the most important and heavily-used New South Wales official records relevant to family history research. It was published in four stages between 1984 and 1988, and consists of 523 reels of microfilm, 416 microfiche and a number of associated indexes, guides, leaflets and finding aids (see *GRK* order forms for full details).

(2) *Colonial Secretary's Papers, 1788-1825*
These papers are available on 72 reels of 35mm vesicular roll microfilm and 312 diazo microfiche. Two printed publications — an index (Guide No.30), comprising a printed handbook and 63 microfiche, and Information Leaflet No.40, a guide to the microforms — complete the package (see Prospectus for full details).

## (f) Other Publications

(1) Annual Reports of the Archives Authority of New South Wales

(2) Archeion: The Magazine of the State Archives

(3) ArchiVista: News and Views from the State Archives

## (g) Postcards

(1) Police telegram reporting whereabouts of the Kelly gang of bushrangers, 7th January, 1880

(9) Construction of Sydney Harbour Bridge: View from McMahons Point, September, 1930

(10) Construction of Sydney Harbour Bridge: Erection of Deck, October, 1930

(11) Construction of Sydney Harbour Bridge: Erecting the Deck, December, 1930

(12) Opening of Sydney Harbour Bridge: Official cars crossing Bridge, March, 1932

## (h) Maps

(1) An outline of the settlement of New South Wales, 1817

(2) Plan of the Settlement and Garrison Farm, Norfolk Island, May 1829

**(i)**     **Posters**

        (2)    Sydney Harbour Bridge Celebrations, 1932

        (3)    The Australian Mail Steamer "Orient"

        (5)    Harbour Bridge construction from Circular Quay, c.1930

        (6)    Harbour Bridge opening, March 1932

**(j)**     **Hotel Plans**

        (1)    Proposed Lilly Bridge Hotel, corner of Ross and Wigram Streets, Forest Lodge, 1887

**(k)**     **Souvenirs**

        (1)    Plague Proclamation tea towel

        (2)    Emigration Poster tea towel

        (3)    Ticket of leave blank

        (4)    "Documints", individually wrapped after dinner mints

**(l)**     **Standards and Guidelines**

        (1)    General Records Disposal Schedule — Personnel

        (2)    Records Scheduling and Disposal Handbook. Guidelines on how to write and implement a disposal schedule

        (3)    How to Dispose of Public Records

**(m)**     **Records Management Publications**

        (1)    File format

        (2)    File creation

        (3)    File Movement and Resubmit Systems

        (4)    Records Storage Information Handbook

        (5)    File Titling and Indexing

**(n)**     **Government Records Repository Publications**

        (1)    The General Records Disposal Schedule for Local Government in New South Wales