



# Annual Report

1995-96



THE ARCHIVES  
AUTHORITY OF  
NEW SOUTH WALES

The Hon. Robert John Carr, M.P.  
Premier, Minister for the Arts and Minister for Ethnic Affairs  
Parliament House  
SYDNEY NSW 2000

31 October 1996

Dear Mr Carr,

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; the Annual Reports (Statutory Bodies) Regulation 1995; and the Archives Act, 1960, its thirty sixth Annual Report and Financial Statements, covering the year ended 30 June 1996.

On behalf of the Authority,

Yours sincerely,

A handwritten signature in black ink, appearing to read 'David Levine', with a stylized flourish at the end.

The Hon. Justice David Levine RFD  
Chairperson  
The Archives Authority  
of New South Wales

A handwritten signature in black ink, appearing to read 'K.G. Schmude', with a stylized flourish at the end.

K.G. Schmude  
Deputy Chairperson  
The Archives Authority  
of New South Wales



*Bob Carr, MP*  
*Premier and Minister for the Arts and Minister for Ethnic Affairs*

## New South Wales



### Minister for the Arts

1995-96 was a very successful year for the Archives Authority of New South Wales. High priority was given to activities associated with the *Economic Appraisal for the Provision of Storage for Semi-Active and Archival Records*, and the preparation of the new State records legislation which will give the Authority responsibility for setting and monitoring recordkeeping standards across the New South Wales public sector.

The Authority can be proud of the sound financial results achieved. The Government Records Repository has again achieved outstanding results as an off-budget activity providing records storage, retrieval and related services in a competitive marketplace. This year the Repository generated revenue of over \$3.1 million compared with \$2.4 million in 1994-95 and it remains a world leader among government archives in the field of commercial repository services.

The Authority established an Electronic Recordkeeping Project to implement the "whole of government" strategies for electronic recordkeeping outlined in *Documenting the Future: Policy and Strategies for Electronic Recordkeeping in the New South Wales Public Sector* which was released in July 1995. Later in 1995 the Authority released *Keyword AAA*, a major new records management thesaurus product. The Authority can also be proud of its innovative work and growing international reputation in the area of electronic recordkeeping.

Substantial progress has also been made in improving the efficiency of the Authority's services. A new revised edition of the *General Records Disposal Schedule - Administrative Records* was published in June 1996. This *Schedule* identifies permanently valuable administrative records and provides for the on-going destruction of large quantities of routine records, resulting in substantial cost savings to the Government.

It is pleasing to note the development of activities aimed at increasing community awareness of the Authority's role and functions and promoting the view of archives as vital to the work of Government and a key to accountability. A major initiative in this area has been the establishment of the Authority's Web site on the Internet to promote awareness of the proposed new legislation and to publicise the Authority's services and products.

I congratulate the Members of the Authority and the staff on their fine work, their commitment to archives and recordkeeping services of the highest quality and on the achievement of successful results in 1995-96. I would also like to thank the Hon. T.W. Waddell, who retired in December 1995, for his invaluable contribution as Chairperson during 1995.

A handwritten signature in black ink, appearing to read "Bob Carr".

Bob Carr, MP

Premier and Minister for the Arts and Minister for Ethnic Affairs



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**REPORT**  
**OF THE**  
**ARCHIVES AUTHORITY**  
**OF NEW SOUTH WALES**  
**1995-96**

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# I THE ARCHIVES AUTHORITY OF NEW SOUTH WALES

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## 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. 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.

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## MISSION

The Authority exists to serve the Government and people of New South Wales by improving the management and accessibility of State 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 the records continuum — creation, transmission, maintenance, storage, disposal, archiving and preservation.

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## OBJECTIVES

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

- ☐ To improve the quality and keeping of official records so that they facilitate the transaction, monitoring and auditing of official business
- ☐ 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 continuing 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 continuing value and arrange for their speedy and economic destruction immediately they cease to be of administrative use to the offices which created them

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## MEMBERSHIP

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
  - Mr Peter J. Debnam, M.B.A., M.P.  
Member for Vacluse
- ☐ one is to be nominated by the Chief Justice of the Supreme Court
  - The Hon. Thomas W. Waddell, Q.C. (Chairperson to 31 December 1995), formerly Chief Judge in Equity, Supreme Court of New South Wales (retired 16 April 1993)  
Chairman, Board of Management, Seymour Theatre Centre
  - The Hon. Justice Lancelot John Priestley (member from 1 January 1996)  
Judge of Appeal, Supreme Court of NSW
- ☐ one is to be nominated by the Premier
  - Mr David T. Richmond, M.Ec. (Deputy Chairperson to 31 December 1995)  
Director General, Olympic Co-ordination Authority
  - Ms Helen Bauer, B.A., M.Ed. (member from 1 January 1996)  
Director General, Department of Industrial Relations  
Council Member, Royal Institute of Public Administration (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
  - Hilary Golder, BA, Ph.D (member from 4 October 1995)  
Historian
  - Mr Graham R. Ireland, LL.B. (member to 31 December 1995)  
Executive Advisor to Insurance Council of Australia
  - Mrs Gabrielle Kibble, B.A., Dip.T.C.P.  
Director-General, Department of Urban Affairs and Planning  
Member, Central Sydney Planning Committee  
Board Member, St. Vincent's Hospital, Sydney  
Board Member, Women's College of the University of Sydney
  - Mr John Leek (member from 1 January 1996)  
Director, Government Information Management Division, Department of Public Works and Services
  - The Hon. Justice David Levine RFD (Chairperson from 1 January 1996)  
Judge of Supreme Court of NSW  
President, Arts Law Centre of Australia
  - Mr Peter Luck (resigned 22 August 1995)



- Mr Karl G. Schmude, B.A., Dip.Lib., M.Litt., A.A.L.I.A. (Deputy Chairperson from 16 February 1996)  
University Librarian, University of New England  
Deputy Chairperson, Advisory Body, National Preservation Office  
Member, National Council of ACLIS
- Mr F. Evan Williams  
Secretary, Ministry for the Arts  
Board Member, Sydney Festival Ltd  
Chief Film Critic, The Australian  
Executive Member, NSW Arts Advisory Council  
Member, Cultural Advisory Committee, 2000 Olympic Games  
Convenor, Archives Working Group, Cultural Ministers Council

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ATTENDANCES AT  
MEETINGS

There were eight meetings of the Archives Authority during 1995-96, of which six were ordinary business meetings and two were special meetings held to consider the *Economic Appraisal for the Provision of Storage for Semi-Active and Archival Records*. The attendances were as follows:

Ms H. Bauer (appointed 1 January 1996) .....	3
Mr P.J. Debnam, M.L.A. ....	8
Dr H. Golder (appointed 4 October 1995) .....	4
(Excused for her absence from two meetings)	
Mr G.R. Ireland (Term expired 31 December 1995) .....	4
(Excused for his absence from one meeting)	
Mrs G. Kibble .....	4
(Excused for her absence from four meetings)	
Mr J. Leek (appointed 1 January 1996) .....	3
The Hon. Justice D. Levine (Chairperson from 1 January 1996) .....	6
(Excused for his absence from two meetings)	
The Hon. Justice L.J. Priestley (appointed 1 January 1996) .....	3
Mr. D.T. Richmond (Deputy Chairperson to 31 December 1995) .....	4
(Excused for his absence from one meeting)	
Mr K.G. Schmude (Deputy Chairperson from 16 February 1996) .....	6
(Excused for his absence from two meetings)	
The Hon. T.W. Waddell (Chairperson to 31 December 1995) .....	5
Mr. F.E. Williams .....	4
(Excused for his absence from four meetings)	

The Principal Archivist and the Deputy Principal Archivist attended eight 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.

In addition, in the course of reviewing its building program, the Authority made a special visit to Kingswood on Saturday, 1 June 1996 to inspect the Repository site.

Mr Peter Luck resigned from the Authority on 22 August 1995 and Dr Hilary Golder was appointed to replace Mr Luck as a member of the Authority from 4 October 1995.

The Hon. T.W. Waddell, Mr David T. Richmond and Mr Graham Ireland all retired as members of the Authority upon the expiry of their terms of office on 31 December 1995. The Hon. T.W. Waddell, Q.C., had been a member of the Authority since 29 February 1984 and its Chairperson since 1 January 1995. Mr Richmond had served three terms on the Authority, having been first appointed on 12 February 1982. He resigned in February 1985 but was reappointed 1 June 1988 and was elected Deputy Chairperson in October 1988. Mr Ireland had been a member since 1 January 1990.

At its meeting on 15 December 1995 the Authority paid tribute to the contributions which all three retiring members had made to its work, expressed regret at their retirements, and extended to them its warm thanks and best wishes for the future.

Ms Helen Bauer, Mr John Leek and the Hon. Justice L.J. Priestley were appointed as members of the Authority from 1 January 1996.

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THE AUTHORITY'S  
SENIOR MANAGERS

<i>Principal Archivist/Chief Executive Officer</i>	Mr John Cross, B.A., Dip.Lib.
<i>Deputy Principal Archivist/Secretary to the Authority</i>	Mrs Frances Lemmes, B.A., M.Lib., A.A.L.I.A.
<i>Senior Administrative Officer</i>	Mrs Surangani Kulasinghe, FCMA, AIB (SL)
<i>Manager, Government Records Repository</i>	Mr John Burke, B.A., Dip.Lib., Dip.Arch.Admin.
<i>Deputy Manager, Government Records Repository</i>	Ms Jennifer Stapleton, B.A., Dip.Arch.Admin.
<i>Manager, Records Management Office</i>	Mr David Roberts, B.A., Dip.Arch.Admin.
<i>Manager, Systems</i>	Mrs Christine Shergold, B.A., Dip.Lib., Dip.Arch.Admin.
<i>Manager, Collection Services</i>	Mr Richard Gore, B.A., Dip.Lib.
<i>Manager, Disposal Services</i>	Ms Amanda Barber, B.A., Dip.Arch.Admin.
<i>Manager, Preservation Services</i>	Mr John Davies, A.M.N. (to December 1995)
<i>Manager, Reference Services</i>	Ms Christine Yeats, B.A., Dip.Lib., Dip.Arch.Admin.

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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 and the Association for Information and Image Management.

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STRUCTURE

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

- ☐ the Records Management Office
- ☐ the Government Records Repository
- ☐ the Archives Office of New South Wales

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

A *Management Committee* meets regularly to set policy, assess strategic directions, and ensure that there is a co-ordinated approach to the provision of services across the organisation.

The Archives Office has five sections:

- ☐ Disposal Services
- ☐ Systems
- ☐ Collection Services
- ☐ Preservation Services
- ☐ Reference Services

The activities of the Archives and Records Management Offices are co-ordinated through the *Strategic Management Group*. This Group meets frequently, with the primary objective of ensuring that financial and staff resources are utilised as effectively and efficiently as possible in accordance with corporate objectives and priorities.

An Organisation Chart is attached, as Appendix 1.

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THE ARCHIVES AUTHORITY OF NEW SOUTH WALES

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DIRECTORY

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**Archives Office of New South Wales**

Level 3  
66 Harrington Street  
The Rocks  
SYDNEY NSW 2000

*Telephone:*  
(02) 9237 0200 (Switch)  
(02) 9237 0254 (Reference enquiries)  
(02) 9237 0149 (Administration)

**Records Management Office**

Level 3  
66 Harrington Street  
The Rocks  
SYDNEY NSW 2000

*Telephone:*  
(02) 9237 0120

**Government Records Repository**

143 O'Connell Street  
KINGSWOOD NSW 2747

*Telephone:*  
(02) 9673 1788

*Postal Address:*

PO Box 516, KINGSWOOD NSW 2747

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PUBLIC ACCESS – HOURS OF OPENING

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**Search Room and Exhibition, City**

2 Globe Street  
The Rocks, SYDNEY NSW 2000

*Monday - Friday:*  
9.00 am - 5.00 pm

*Saturday:*  
10.00 am - 4.00 pm

**Search Room, Kingswood Repository**

143 O'Connell Street  
KINGSWOOD NSW 2747

*Tuesday - Friday:*  
9.00 am - 5.00 pm

*Saturday:*  
10.00 am - 4.00 pm

Closed Sundays and Public Holidays

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## II OVERVIEW 1995-96

The Archives Authority of New South Wales is a dynamic organisation responding to change, whether professional, technological, administrative, legislative or political. It is a very different organisation from the one established in 1961 and is continuing to evolve.

This evolutionary process has never been more evident than at present. Legislative changes which the Authority has been endeavouring to have enacted over a number of years are still being finalised, but are expected in the near future. While the proposed new State Records Act is the major change agent impacting on the Authority's future, implementation of the strategies of the *Economic Appraisal for the Provision of Storage for Semi-Active and Archival Records*, the planned reduction of City Office accommodation, the implementation of policy directions for electronic recordkeeping in the New South Wales public sector, and the computerisation of archival collection controls, are others. The Authority also needs to more fully assimilate Information Technology and Telecommunications (IT&T) into its operational environment and it needs to determine its future directions in relation to disposal compliance, pricing policies, functional analysis and collection rationalisation, as well as placing more emphasis on developing standards and on servicing government agencies.

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### ACCOMMODATION

The Archives Authority is accommodated in two buildings: "The State Archives" building in Globe Street, Sydney which was completed in 1978 and the State Archives and Government Records Repository at Kingswood, which is 55 kilometres west of Sydney.

The Kingswood complex, which has a total storage capacity of 180 linear kilometres of records, has been constructed in stages since 1973. The latest addition, a small extension known as the Stage I Annex, was completed in September 1995.

The Authority pays a high rent for its city headquarters. The rent, which is no longer a "protected item", constitutes well over 30 per cent of its budget and imposes a heavy burden on its finances. Concern about this and the perpetual accommodation problems led the Authority to commission an economic appraisal of its accommodation and storage needs, which formed the basis of a submission to Treasury earlier this year for funding the progressive construction of new facilities at Kingswood to meet the Authority's projected storage demands over the next 10-15 years.

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### FINANCIAL STRATEGIES

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 has increased dramatically over the past five years, continues to grow.

Total revenue raised in 1995-96 was \$3 467 237 (compared to \$2 722 352 in 1994-95). The Government Records Repository, which operates as an off-budget commercial activity, had a particularly successful year financially and achieved revenue of \$3.2m, compared with \$2.5m in 1994-95. The Archives Office raised \$211 384 (target \$180 000) and the Records Management Office raised \$80 016 (target \$80 000).

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LEGISLATION

High priority was once again given to the preparation of the new State Records Bill, 1996 with a view to introducing the new legislation into the spring session of Parliament in September 1996.

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IT&T STRATEGIES

The Authority's *IT&T Strategic Plan 1996-1999* was developed to provide a framework to guide the integration and assimilation of IT&T within the Authority to support its businesses and objectives. The *Plan's* key strategies will require the Authority to undertake a major re-engineering of its processes and to adopt new methods of service delivery to its clients. The *Plan* was submitted to the June meeting of the Authority and it received the Authority's approval in principle, subject to further development.

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RECORDKEEPING  
STANDARDS

The new State records legislation, among other things, will give the Authority responsibility for establishing and monitoring recordkeeping standards and codes of best practice across the New South Wales' public sector. During the year, the Authority released exposure drafts of the two most fundamental standards required in preparation for the legislation and continued to take an active role in such developments as the new Australian Standard on records management, the selection of standard records management software products, and the work of the Australian Council of Archives on standards and guidelines.

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ELECTRONIC  
RECORDKEEPING

The Authority released a discussion paper, *Documenting the Future: Policy and Strategies for Electronic Recordkeeping in the New South Wales Public Sector*, in July 1995. This contained proposals for a policy approach and a range of strategies, based on progressive world best practice, for electronic recordkeeping across the whole of Government, both within agencies and within the Archives Authority. The Authority established a two-year Electronic Recordkeeping Project in November 1995 to implement the strategies outlined in *Documenting the Future*. Among other early tasks in the project, the Authority released exposure drafts of a "whole of government" policy on electronic recordkeeping and of a policy relating to electronic messages as records. The Authority's innovative work in both recordkeeping standards and electronic recordkeeping received favourable national and international attention from the recordkeeping community during the year.

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KEYWORD AAA  
THESAURUS OF  
GENERAL TERMS

The Authority released *Keyword AAA*, a thesaurus of general administrative terms, in November 1995. A major new records management thesaurus product, *Keyword AAA* replaced the Authority's *General Administrative (GADM) Thesaurus* which, since 1979, had been Australia's most successful general thesaurus.

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THE GOVERNMENT  
RECORDS REPOSITORY

The Government Records Repository (GRR) has continued to operate very successfully as an off-budget commercial activity providing storage, retrieval and related services on a full cost-recovery basis in a competitive marketplace. Demand for its services continued to grow strongly as public sector agencies increasingly rationalise their accommodation, decentralise, and outsource their records management. To meet the high level of demand for storage, the Repository completed a small extension in September known as the Stage I Annex, and in 1996-97 it will use its own funds to construct a large extension, to be known as Stage 4, which when fully developed will provide an additional 100 linear kilometres of record storage space.

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THE ARCHIVES OFFICE  
OF NEW SOUTH WALES

1995-96 was generally a year of consolidation and review for the Archives Office with high priority being given to activities associated with the *Economic Appraisal*, the preparation of the State Records Bill 1996, and the special projects linked to the proposed new legislation. In addition:

- ☐ the processing function was transferred to the Kingswood facility in July 1995. Processing continued as a priority, but the complexity of processing tasks meant fewer records processed compared with previous years.
- ☐ there was a small but steady increase in Search Room usage and in the number of research enquiries undertaken. Shipping, Convict and Deceased Estate enquiries remained the most popular of the paid research undertaken.
- ☐ in January 1996 the Disposal Compliance - Scheduling Project commenced. This special project aims to improve the disposal compliance performance of government agencies and to assist agencies to meet their statutory obligations.
- ☐ a new revised edition of the *General Records Disposal Schedule - Administrative Records* was published in June 1996

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COMMUNITY  
AWARENESS OF THE  
ROLE OF ARCHIVES

The Authority continued to be concerned about the public and the media's perception of its role and functions, and as a result, the Archives Office developed a number of extension and outreach activities aimed at increasing community awareness of its services and promoting a different view of archives, stressing that archives are vital to the activities of government and a key to accountability. These activities included:

- ☐ the special release arrangements made to provide public access to copies of various records relating to the Hilton Bombing in September 1995.
- ☐ a joint lecture tour of family and local history organisations in the Central West of New South Wales as part of a cooperative venture with the Australian Archives, NSW Regional Office, in April 1996.
- ☐ the release in May 1996 of the correspondence between Jørn Utzon and the Hon. Davis Hughes relating to Utzon's resignation as architect of the Sydney Opera House.
- ☐ participation in a number of inter-agency meetings to discuss access and related issues in preparation for the National Inquiry into the Separation of Aboriginal and Torres Strait Islander Children from their Families.
- ☐ the establishment of the Authority's Web site on the Internet to promote community awareness and understanding of the proposed new State Records legislation and to publicise the Authority's activities, products and services.

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PROGRAM EVALUATION

EVALUATIONS, 1995-96

***The Economic Appraisal***

In July 1995, the Archives Authority commissioned Tooher Gale and Associates to undertake an *Economic Appraisal for the Provision of Storage for Semi-Active and Archival Records*, which found that the Authority is projected to require approximately 145 linear kilometres of additional storage capacity over the next ten years, representing an 80% increase to the current (and almost full) facilities. The Final Report, dated 7 November 1995, provided an assessment of the principal options available to the

Authority to address its projected storage requirements. The recommended lowest cost option was the staged construction and fitout of three new buildings at Kingswood over a six year works program. The consultants said that with the introduction of the new State records legislation, increased electronic recordkeeping and improved demand management, this building program had the potential to satisfy the Authority's accommodation and storage requirements for up to 15 years.

The *Economic Appraisal* and its recommendations became the basis of a submission to Treasury for capital funding. A Value Management Study was undertaken by the Department of Public Works and Services which confirmed the need for the building program, identified further improvements and reviewed the implementation plan.

The Budget Committee of Cabinet supported the building program, identifying two components: the c.\$6m required from the Consolidated Fund for an airconditioned Archives building; and the c.\$3m required for two non-airconditioned Government Records Repository (GRR) buildings which the Authority planned to fund from other sources. The Budget Committee decided that no funds would be available "at this stage" from the Consolidated Fund, but that the Authority should be permitted to proceed, using its own funds, with the construction of a building for the GRR.

The Department of Public Works and Services were engaged in April 1996 to investigate the feasibility and cost of constructing a simple and economical extension to the GRR. The *Government Records Repository Stage 4 Development - Advanced Proposal Report*, dated 7 June 1996, recommended the construction of a sprinklered, single compartment connected warehouse building to the south of the existing Kingswood Stage I Annex, with a floor area of 3030m<sup>2</sup> and a storage capacity of 101.3 linear kilometres. The Procurement Program envisaged that preparatory work would commence in July 1996 and the building would be completed by July 1997.

The GRR's Stage 4 Development will free about 12 linear kilometres of space in Stage 3 for new accessions of State archives, however, this reserve space will not last beyond 1999 and would be too small to permit the Authority to proceed with plans to rationalise its City accommodation. It is therefore imperative that the "in principle" support for the c.\$6m airconditioned Archives Building be translated into Capital Works Funds in the 1997-98 financial year.

#### ***Asset Management Plan***

The Authority is required to develop asset management plans for all existing assets, including identification of any catch-up maintenance work that may be necessary. The Authority's major physical assets are its buildings, its collections and its plant/equipment.

The Authority's *Asset Management Plan* is being developed in stages, commencing with a report on the *Development Options of the Stage I building*, dated February 1994. This report verified the structural soundness of the building, identified major building maintenance liabilities and outlined the work required to bring the building up to Building Code of Australia Standards with respect to fire safety etc. The *Economic Appraisal*, together with the background information provided by the Value Management Study, forms the second stage. The final stage, which looks at costs and includes the valuation of collection assets and the development of asset maintenance programs for the Authority's more recent buildings, plant and equipment will be undertaken in 1996-97.



***Forthcoming Evaluations***

Evaluations over the next few years will continue to focus on rationalising the Authority's accommodation for archival holdings, functions and staff. Planning for future archival storage needs and the transfer of some staff and functions to Kingswood remains a significant priority for the Authority. It 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.

### III THE PROGRAMS OF THE ARCHIVES AUTHORITY

#### THE RECORDS MANAGEMENT OFFICE — RECORDS MANAGEMENT

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

The Records Management Office is located in the State Archives building, the Rocks. Its role in the Authority's mission is to improve the quality and keeping of official records so that they facilitate the transaction, monitoring and auditing of official business. In essence this means establishing a *recordkeeping regime* across the whole of Government whereby the business of government is adequately documented, and the resulting evidence, in the form of records, is effectively managed in order to:

- ☐ support the delivery of services and the management of business by Government agencies (ie. the *business domain* of recordkeeping)
- ☐ ensure that Government agencies and their employees can account for their decisions and actions (ie. the *accountability domain* of recordkeeping), and
- ☐ contribute to the cultural resources of the State in the form of official records (ie. the *cultural domain* of recordkeeping).

#### Highlights

- ☐ Issue of exposure drafts of two primary recordkeeping standards in preparation for the new State records legislation
- ☐ Release of discussion paper, *Documenting the Future: Policy and Strategies for Electronic Recordkeeping in the New South Wales Public Sector*
- ☐ Establishment of Electronic Recordkeeping Project to implement the policy and strategies across government and within the Authority
- ☐ Issue of exposure drafts of two whole of government policies on electronic recordkeeping
- ☐ Release of *Keyword AAA*, a new general records management thesaurus

The Office pursues this role by:

- ☐ developing and promoting Government-wide standards, codes of best practice and guidelines for the keeping and management of official records in all formats
- ☐ developing and implementing Government-wide strategies for recordkeeping in the electronic environment
- ☐ developing and marketing keyword products and services based on the Keyword Classification System.

To support these programs, the Office provides regular and customised training and publishes manuals, guides and other publications on a range of recordkeeping-related topics.

The Office was established by the then Public Service Board in 1976. While its responsibilities do not derive from the Archives Act, the Office has functioned as an operational arm of the Archives Authority since 1978.

#### FINANCIAL MANAGEMENT

Since August 1992 the Records Management Office has operated under the Consolidated Fund as a C4 core agency activity. In 1995-96 the office received additional funding for special projects associated with preparation for the new State records legislation. In addition, it earns revenue from its training services and the sale of keyword thesaurus products and publications.

The Office's revenue target for 1995-96 was \$80 000, while it earned \$80 016. Revenue from training fell considerably below target, due to declining demand. This was offset by increased revenue from new thesaurus licences and upgrades, following the release of *Keyword AAA* (see *Keyword thesaurus products* below), and by recovery of costs associated with work for other archives institutions.

#### RECORDKEEPING STANDARDS

Key provisions of the new State records legislation will require public offices to:

- ☐ make and keep records that fully and accurately document their operations and administration, and
- ☐ establish and maintain a records management program to be managed in conformity with standards and codes of best practice formulated by the (new) State Records Authority.

In preparation for the new legislation, the Records Management Office drafted two of the key standards that need to be ready when the legislation comes into operation. Exposure drafts of the two standards, on *Full and Accurate Recordkeeping* and *Records Management Programs* respectively, were released for comment in May 1996 to major agencies and to interested parties outside the New South Wales public sector. The Office also undertook substantial work on standards and associated guidelines for records storage and for the management of records of joint (particularly inter-government) bodies.

The two draft standards released in May are intended to stand at the top of a framework of standards, codes of best practice and other forms of guidance on specific records management matters. Together they will represent authoritative statements of the responsibilities of agencies in relation to records and records management and of the means of meeting these responsibilities. All are based on national and international best practice and are being developed in consultation with government archives authorities and other relevant bodies around Australia. They will be introduced progressively following consultation. Where possible, the Authority expects to adopt, endorse or adapt existing standards, guidelines and other best practice documents.

The standards and codes of best practice will help clarify and codify recordkeeping requirements and best practice in records management, which are currently ill-defined or spread through a range of disparate sources of authority and guidance. This will lead to better recordkeeping practices in agencies and, thereby, to improved accountability and efficiency in service delivery and public administration.

The Manager continued to play an active role in the work of the Standards Australia committee ('IT/21') preparing an Australian Standard on records management. Australian Standard AS 4390, *Records Management*, was issued on 5 February 1996

and represents a major milestone in the development of Australian records management practice. The Archives Authority adopted the Standard as policy for the New South Wales public sector at its February meeting. The Standard will have a prominent place in the Authority's framework of standards, codes of best practice and other forms of guidance under the new legislation.

National collaboration included participation in the Australian Archives' Advisory Group on Documentation Standards.

The Office was actively involved in the selection of records management software under the Government Selected Application Systems (GSAS) program, with the Manager chairing the Application Review Committee. Two products, *RecFind* and *TRIM*, were selected for GSAS-RMS ITS2017 Common Use Period Contract, which was approved by the State Contracts Control Board on 23 April 1996. The use of these products will contribute to the widespread adoption of common standards of records management practice across the New South Wales public sector.

#### ELECTRONIC RECORDKEEPING

A fundamental challenge for the Archives Authority is to ensure that the business of government conducted in the electronic environment is adequately documented and that the resulting electronic records are managed effectively as evidence in short and long terms.

In July 1995, the Archives Authority released a discussion paper, *Documenting the Future: Policy and Strategies for Electronic Recordkeeping in the New South Wales Public Sector*. The paper was distributed to records managers and information technology managers in major agencies and to other interested bodies and people around Australia and overseas. It was also made available on the Internet. *Documenting the Future* contained proposals for a policy approach and a range of strategies, based on progressive world best practice, for electronic recordkeeping across the whole of Government, within agencies and within the Archives Authority.

Following the analysis of comments on *Documenting the Future* the Office established the Electronic Recordkeeping Project in November 1995. This is a two-year project to implement the strategies outlined in *Documenting the Future*. Two Project Officers with strong electronic recordkeeping expertise were recruited in late 1995.

As an early task in the project, exposure drafts of a general whole of government policy on electronic recordkeeping and of a policy relating to electronic messages as records were released for comment in April 1996 to major agencies and to other interested parties. Other work in the project including the drafting of supporting guidelines, the design of a strategy for developing the capabilities of Authority staff for archives/records work in the electronic environment and investigations aimed at identifying the costs of storing and migrating electronic records. Much of this work involved collaboration with the Government Information Management Division (Department of Public Works and Services), which coordinates information technology policy and planning across Government, and with other archives institutions, notably the Australian Archives and Public Record Office of Victoria.

Staff of the Office played a major role in designing, and were the principal lecturers in, a Masters subject in the management of electronic records at the University of New South Wales during March to May 1996.

The Office took an active part in organising a workshop (as an initiative of the Australian Council of Archives) aiming at establishing a common national position on electronic

recordkeeping. The workshop, with representatives from leading organisations and individual practitioners involved in electronic recordkeeping, along with the relevant professional associations, was held on 23 October 1995. The outcomes of the workshop were developed into a statement, *Corporate Memory in the Electronic Age, Statement of a Common Position on Electronic Recordkeeping*, that was adopted by the Australian Council of Archives at its annual general meeting in May 1996.

#### KEYWORD THESAURUS PRODUCTS

The Keyword Classification System, developed by the Records Management Office, offers a controlled vocabulary for classifying records. Fundamental to the Keyword system is the *thesaurus* of terms comprising those words which can and cannot be used in titling and indexing records. Using a keyword thesaurus ensures that records are classified in a consistent way, making retrieval quick and easy. A keyword thesaurus normally combines *general administrative* terms, common to most organisations, with functional terms, reflecting the unique functions of the organisation, to provide comprehensive vocabulary control.

The Office released *Keyword AAA*, a thesaurus of general administrative terms, on 28 November 1995. *Keyword AAA* replaced the previous *General Administrative (GADM) Thesaurus* which, since 1979, had been Australia's most successful general thesaurus. *Keyword AAA* incorporates a number of innovative features, notably a functionally oriented approach (as opposed to a subject approach), and reflects international best practice. *Keyword AAA* is sold through organisation-wide licences. Since its release the Office has sold eleven new licences, thirty GADM licencees have upgraded to *Keyword AAA* and whole of government licensing arrangements have been negotiated with the South Australian and Western Australian Governments.

#### TRAINING

The Records Management Office conducts a program of regular training courses in its Training Room in the State Archives building. New courses, *Designing and Implementing Recordkeeping Systems* (two days) and *Managing a Records Management Program* (one day), drawing on the Office's standards work, were introduced during the year, along with a new *Managing a Records Disposal Program* course, developed jointly with the Archives Office. During February 1996, all courses were reviewed to reflect developments in recordkeeping standards and electronic recordkeeping.

In conjunction with the University of New South Wales, the Office conducted a five-day course, *Introduction to the Management of Recordkeeping Systems* in July and again in October 1995. In conjunction with the Archives Office, three courses were conducted in Wagga Wagga in April/May 1996, with the assistance of the Charles Sturt University Archives.

#### PUBLICATIONS

The Records Management Office produces a number of publications on records management subjects. A short publication, *What Is Records Management?*, was published in September 1995 as a companion to 1994's *Records and Recordkeeping*. A number of outdated publications were withdrawn from sale and the new Australian Standard on records management was added to the range of publications available for sale.

The Office published a range of its recent publications on the Internet, through the Australian Archives' *Archives of Australia* Web site, and took an active part in the design and development of the Archives Authority's new Web site, due for launch in July 1996.

INVOLVEMENT IN THE RECORDKEEPING COMMUNITY

The Records Management Office and its individual staff members play an active role in professional life. In conjunction with the University of New South Wales, the Office organised a seminar, held on 6 July 1995, *Recordkeeping Requirements for Organisational Accountability*, with Dr Richard Cox, Assistant Professor at the University of Pittsburgh's School of Library and Information Science and Director of the University's *Functional Requirements for Recordkeeping* research project, as principal speaker.

Staff presented papers at national conferences and branch meetings of the Records Management Association of Australia and the Australian Society of Archivists, the FOI Practitioners' Forum and a range of other seminars and conferences.

Performance Measurement

Revenue/targets

1994-95		1995-96		1996-97	
Revenue	Target	Revenue	Target	Revenue	Target
\$110 547*	\$80 000	\$80 016	\$80 000		

\* The figures represent the operating revenue earned by the Records Management Office on an accrual accounting basis.

THE GOVERNMENT RECORDS REPOSITORY – RECORDS STORAGE AND ASSOCIATED SERVICES

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

Highlights

- ☐ Total records in storage increased by 12%
- ☐ Revenue increased by nearly 30%
- ☐ Self-funded small extension, Stage I Annex, completed in September 1995
- ☐ Decision made to proceed with large extension, Stage 4.

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, adjoining the University of Western Sydney. 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.

## STRATEGY

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

For reasons of administrative efficiency, security and financial benefits, many public sector agencies have chosen to outsource the storage of secondary records to the GRR. Although the GRR operates in a market-competitive environment, it has steadily expanded its activities, including provision of records management consultancy services, to meet the needs of clients. The continuing accommodation rationalisation and restructuring of public sector organisations has resulted in strong demand for the GRR's services.

## PERFORMANCE MEASUREMENT

The GRR continued to operate in accordance with its Business Plan, which was revised last year. The operational surplus was more than expected and the GRR achieved its targets in terms of revenue and new business.

## FINANCIAL MANAGEMENT

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

*Performance Measurement***Revenue/targets**

Year	Expenditure		Revenue		Surplus	
	Target (\$)	Actual (\$)	Target (\$)	Actual (\$)	Target (\$)	Actual (\$)
1994-95	1 870 000	2 162 000	2 270 000	2 412 000	400 000	250 000
1995-96	2 219 000	2 266 000	2 812 000	3 108 000	593 000	842 000
1996-97	2 400 000		3 315 000		915 000	

## ACCOMMODATION

The State Archives and Government Records Repository began operating from its current site in 1974. The oldest part, Stage I, which houses State archives, was extended in 1975. Stage 2, built in 1978 and extended in 1983, accommodates semi-active records. The Services Building extension, opened in 1987, provided a reception area, facilities for the public and special vaults. The Stage 3 extension, opened in April 1994, extended the storage capacity and provided office areas for the GRR's Administrative and Consultancy sections. The Repository complex covers nearly 20 000 square metres and has a capacity of over 180 linear kilometres of records.

The Authority is aware of the GRR's on-going storage requirements, and it has been reviewing its overall accommodation needs, including its rented premises at The Rocks; proposals to refurbish the Stage I building at Kingswood; and the role of regional repositories. In the meantime, the GRR constructed a small extension on the southern end of the existing Stage I building. This small extension, the Stage I Annex, was funded from GRR's cash reserve.

In April 1996 the Authority was given in-principle support for its storage requirements as set out in the *Economic Appraisal* but no funding, although the GRR could extend by using its own funds. As a result, the Department of Public Works and Services was engaged to investigate the feasibility and cost of adding to the GRR. This extension, to be commenced early in the new financial year, will be known as Stage 4. It will be located to the south of the existing Stage I Annex with a floor area of 3030m<sup>2</sup> and a capacity of 101 linear kilometres. The estimated cost of \$2 460 000 (excluding shelving, which will be installed progressively), will be met from GRR revenue supplemented by a loan from Treasury Corporation. Although the Authority is concerned over the need to provide further storage for State archives, it is most pleased with the arrangements for the continued development of the GRR.

STAFF

As at 30 June 1996, the GRR was operating on an Effective Full Time (EFT) staff establishment of 38 positions. These positions were allocated to the following activities: Administration 5; Building services and transport 16; Records retrieval 12.5 and Consultancy 4.5. Cleaning and the maintenance of plant and grounds were outsourced.

Ms K. Musgrave and Ms K. Fibesi were both promoted from Archives Grade 1 to Archivist Grade 2 in the Consultancy Section.

HOLDINGS

The quantity of semi-active records accessioned in 1995-96 was 20 686 linear metres, compared with 27 197 linear metres in 1994-95. Allowing for the disposal of records the overall effect of this was to increase Repository holdings by 12% compared with 25% in the previous year. This deliberate reduction in quantity was the result of demand control measures implemented to conserve space.

*Performance Measurement*

**% Increase in Holdings**

<b>Year</b>	<b>Target (%)</b>	<b>Actual (%)</b>
1994-95	15	25
1995-96	12	12
1996-97	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 of considerable interest to researchers and the public in general. The total quantity of records held by these organisations 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 organisations on a fee for service basis.

The GRR is active in the local government area because it produced the *General Records Disposal Schedule for Local Government* in 1988 and in July 1993 published 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 stores patient files on behalf of many hospitals in Sydney and further growth in this area is expected.

#### 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 190 791 in 1995-96, compared to 140 558 in 1994-95.

#### Retrieval Service Statistics

	1993-94	1994-95	1995-96
Number of files requested	56 860	78 079	99 481
Number of files issued	50 404	67 811	88 524
Number of files returned	41 766	58 208	83 977
Number of files added to existing boxes in the Repository	2 406	2 044	4 027
Number of items attached to existing files in the Repository	2 037	2 227	3 306
<b>Total Retrieval Operations Performed</b>	<b>103 069</b>	<b>140 558</b>	<b>190 791</b>

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 1995-96 increased by 36% on the previous year. This reflects the outsourcing by some clients of more recent/active records.

Clients storing records in the GRR may request their return according to a schedule of options and prices. The GRR continues to match industry best practice benchmarks. 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 for an extra charge, guarantees delivery within one and a half hours (there is no charge 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**

<b>Year</b>	<b>Target (%)</b>	<b>Actual (%)</b>
1994-95	90	87
1995-96	90	89
1996-97	90	

During 1995-96 the percentage of files issued to files requested was 89%, compared with 87% in 1994-95. 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. If 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 1995-96 was 6 208 linear metres, compared with 3 777 linear metres in 1994-95.

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 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 has been reduced. Some 13 000 boxes (2.5 linear kilometres) are stored gratis by the GRR pending appraisal, culling or processing by the Archives Office. A larger quantity of similar records is held by the Archives Office in the Stage I building.

**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 professional archivists in this area and the provision of this value-added service distinguishes 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 ARCHIVES OFFICE – RECORDS DISPOSAL, ARCHIVES PROCESSING, PRESERVATION AND USE

### DISPOSAL SERVICES

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

Disposal Services' main function is to appraise and dispose of public records referred to the Authority under section 14 of the Archives Act, 1960. 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.

### Highlights

- ☐ 121 Disposal Recommendations approved
- ☐ 598 metres of records authorised for retention
- ☐ 7 267 metres authorised for destruction
- ☐ 27 Disposal Schedules submitted and approved
- ☐ Publication of revised *General Records Disposal Schedule - Administrative Records*

### 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 other 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, 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 continually created without any significant variation in form or content. An on-going 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. This results in a saving of time and labour for both the Authority and the public office. At the same time, the authorisation may be reviewed or withdrawn if the Authority considers this warranted.

### DISPOSAL RECOMMENDATIONS

In 1995-96, the Authority dealt with 121 recommendations for the disposal of records, compared with 165 recommendations in 1994-95. The recommendations covered 2 221 records series and disposal classes. The known quantity of records covered by these recommendations is 7 865 metres.

Disposal of public records authorised by the Archives Authority

	1994-95	1995-96
Quantity authorised for transfer and retention	1 833.22 metres c.100 maps, c.100 plans, c.2 500 aperture cards	627 metres*
Known quantity authorised for destruction	1 164.63 metres, 900 plans	7 369 metres*

*\*These figures include records held as accessions by the Archives Office for which previous decisions of the Authority were implemented.*

RETENTION OF PUBLIC RECORDS

During the year the Archives Authority authorised the retention of a known quantity of 598 metres of records as State archives. A number of continuing recommendations were authorised during the year, and future quantities of records will be transferred as State archives under these authorities.

DESTRUCTION OF PUBLIC RECORDS

Authorisation was given during the year for the destruction of a known quantity of at least 7 267 metres of records. No attempt has been made to estimate the total quantity of records destroyed, 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. Destructions under such authorities are an agency responsibility.

Appraisal of time expired records held in the GRR and records held as accessions

	1995-96	
	Target (metres)	Actual (metres)
Government Records Repository	1 500	3 255
Accessions		

DISPOSAL SCHEDULES

Disposal schedules are listings of records which plan the life of the records from creation to disposal, either by destruction or retention as State archives. Disposal schedules relating to individual agencies are usually compiled by agency staff and submitted to the Archives Authority for approval. In 1995-96, 27 disposal schedules were submitted for approval, compared with 32 submitted in 1994-95.

GENERAL RECORDS DISPOSAL SCHEDULES

The revised edition of the *General Records Disposal Schedule - Administrative Records* was published in June 1996. The *Schedule* outlines the recordkeeping requirements, the retention periods and disposal actions for the common administrative records created by all New South Wales public sector agencies.

The *Schedule* has an hierachical structure, which reflects its arrangement according to function and business activities and its close relationship to the Records Management Office's new thesaurus *Keyword AAA*. During June Disposal staff presented two free training courses for Government agency personnel. This training was aimed at promoting the use of the new *Schedule*. An additional two training sessions were also run for Authority personnel.

#### CONSULTANCY SERVICES

The Disposal Services section provided consultancy services aimed at assisting the New South Wales public sector to adopt and implement efficient and cost-effective disposal practices. The services offered included records disposal scheduling, file culling, and training. During the year disposal schedules were compiled for the records of the Department of Fair Trading - Trade Measurement Branch and NSW Treasury Corporation, and a report was completed for the Supreme Court of New South Wales.

#### OTHER SERVICES

Disposal Services staff, in conjunction with the Records Management Office, co-presented five training courses on the scheduling and disposal of records. The courses were attended primarily by records managers/officers from New South Wales public sector agencies. Disposal Services staff also co-presented a three day regional training course at Wagga Wagga on 30 April to 2 May 1995.

#### Revenue/targets

1994-95		1995-96		1996/97	
Revenue (\$)	Target (\$)	Revenue (\$)	Target (\$)	Revenue (\$)	Target (\$)
20 626	20 000	19 197			4 000*

\* This figure is lower than the previous target figures as Disposal Services has ceased providing an advertised consultancy service.

#### DISPOSAL COMPLIANCE - SCHEDULE PROJECT

This special project (two years with possible extension to five years) was commenced in January 1996 and two project archivists were appointed. The project is linked to the introduction of the proposed new State records legislation and is part of a long-term strategy to improve the disposal compliance of the New South Wales public sector. The project aims to improve and develop methodologies, standards, strategies, training programs and products to assist government agencies to meet their statutory obligations.

## 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.

## Highlights

- ❑ Documents relating to the Archives Authority, the Archives Office and the Government Records Repository were put on the *Archives of Australia* Internet server in October 1995
- ❑ Program for better managing information concerning disposal authorities approved by the Archives Authority commenced
- ❑ Preparation of the index to certificates of freedom 1823-69 for searching as an ISYS textbase completed

## DEVELOPMENT OF COMPUTERISED CONTROL SYSTEMS

The development of computerised control systems for the management of and access to the State archives has been under investigation by the Systems Unit since April 1993. Progress on this program has unfortunately been hampered by other work commitments, and insufficient staff and other resources.

The gathering of information on control systems in use by other archival institutions as well as on descriptive standards; examination of issues associated with any changes to the control systems; familiarisation with multitudinous aspects of technology including networking and database construction and maintenance; and consultation with staff, are activities which have formed the backbone of this program. Examination of the software and hardware issues relating to automation of control systems has also been undertaken as has prototyping and experimentation with modelling data in various modules of the projected automated system.

In prototyping and modelling data Systems has concentrated on three main, interlinked, modules — Accessioning/Processing, Agency Registration and Series Registration. Associated modules which have also been developed include a menu for the control systems, an agency search feature and a supervisor module. Much effort has gone into agency hierarchical structuring and methods of handling archival dating conventions. Reports include agency registrations, series descriptions, agency/series listings and holdings summaries. In addition, some thought has been given to a location management module, including possible parameters that would need to be put in place. No development of this module has as yet taken place, however.

Nonetheless, considerable progress was made during the year on the resorting of the 'Departmental Guide' into the series order of the second edition of the *Concise Guide*, an essential step in converting the manual systems into automated ones. This resorting has the additional benefit of bringing to light 'missing' series and incorrect information.

In 1996 the Managers of the Archives Office and the Records Management Office commenced analysing and assessing requirements for operations under the forthcoming State records legislation, which will require the Authority to operate across the "records continuum", from creation to archiving. As part of this review, the development and

implementation of automated control systems was being re-assessed at the end of the year, with preliminary discussions having been held on ways in which progress could be accelerated.

#### OTHER SYSTEM DEVELOPMENT WORK

Under Systems' direction, various enhancements to the combined readers' ticket and archives issuing system, which was introduced in January 1994, have been made. The most significant of the implemented enhancements, allows for the recording of information concerning readers' tickets issued by regional repositories holding State archives on behalf of the Authority. Minor enhancements have also been made to the Archives Office's Mailing and Subscription List application to assist in the execution of regular mailings.

Other areas of development include the creation of a new database for the recording/management of information about access conditions, and preliminary work associated with a program for managing information concerning disposal authorities approved by the Authority.

#### OTHER COMPUTER-RELATED ACTIVITIES

The Systems Unit provides a "Help Desk" service to the other Archives Office sections, both in the City and at Kingswood, providing advice and assistance on matters related to the use, maintenance and acquisition of computer hardware and software including the monitoring and control of software licensing for the Archives Office. From March 1996, this role was formally expanded to include the provision of technical and maintenance support for both Corporate Services and the Records Management Office. At that time a temporary position of Systems Support Officer was also established to assist with providing such support as well as with application/system development. This role of Systems is one which absorbed, not unexpectedly, substantial time and resources during 1995-96.

A number of new desktop systems were purchased for the Archives Office and Corporate Services during the year. In addition to their selection and purchase these acquisitions involved Systems staff in the loading of software, data transfer, cabling and networking. Moreover, foreshadowing the eventual interconnection of all Authority computer networks, the two City networks were connected in June 1996.

In addition, Systems has maintained all ISYS text databases, including the *Electronic Concise Guide*, the Index to Disposal Recommendations, the database of various records relating to the Hilton Bombing, and the textbase for the Index to Certificates of Freedom for the period 1823 to 1869.

In October 1995 the editing of 17 documents relating to the Archives Authority, the Archives Office and the Government Records Repository was completed and these documents were transmitted to the Australian Archives for inclusion on the *Archives of Australia* Internet server. Since then the Authority has decided to create its own World Wide Web site and Systems has been heavily involved in assisting with this, not only with converting the aforementioned documents into Hypertext Markup Language (HTML) but also in liaising with Internet service providers, helping other staff with their Web documents, assisting with the conversion of more complex documents such as the *General Records Disposal Schedules*, and in evaluating and selecting appropriate software tools.

Systems has also been heavily involved in the work of the Information Technology Working Party, and the development of the Archives Authority's *Information Technology and Telecommunications Strategic Plan, 1996-1999*.

## 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), for which the Authority assumed responsibility in mid-1991. While, overall, the level of inquiry relating to the Chelmsford Commission has declined, there were sporadic periods of demand in 1995-96 during which significant staff resources were consumed. This is largely due to the extent and increased complexity of access requests, which have included two subpoenas involving locating, copying and certifying records relating to 15 and 14 individuals respectively.

A review of the special administrative and funding arrangements, which were put in place to allow the effective management of the Chelmsford records, was carried out in early 1996. As there were still numerous matters before the Courts, the existing arrangements were continued.

A database application was developed to assist in recording access requests to records of commissions and inquiries. Reports generated from this application will assist in the preparation of invoices and provide data for analysis purposes for inclusion in reports and reviews.

## Revenue

	Revenue 1993-94 (\$)	Revenue 1994-95 (\$)	Revenue 1995-96 (\$)
Storage	8 184	4 208	3 540
Copying & Other	4 839	2 104	4 940
<b>Total</b>	<b>13 023</b>	<b>6 312</b>	<b>8 480</b>

*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

Duties associated with archival estrays have continued as a significant aspect of Systems' core work and included: assessing a large number of possible New South Wales archival estrays; arranging for the recovery of a Rugby Police Station *Diary of duty and occurrences*; and acting on behalf of other State archives in assessing and bidding for estrays being offered for sale in New South Wales.

Systems was also involved in producing several in-house publications, and in advising other sections of the organisation on design and layout of various documents.



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 policy and priorities, regional repositories and access policy.

**Highlights**

- ☐ 604 metres of records processed
- ☐ Processed collection now stands at 37 910 metres plus 120 713 maps, plans and documents
- ☐ Processing function centralised at Kingswood
- ☐ New computerised access documentation system developed

## OVERVIEW

The main priorities in the processing area have continued to be basic documentation of, and control over, the large quantity of accessioned records awaiting appraisal and/or processing, and achievement of the target output. Both of these objectives were met despite limited staff resources, but substantial processing arrears still remain. As of 30 June 1996, the processed collection is 37 910 metres and 120 713 maps, plans and documents. Full statistics are supplied in Appendix 5.

From July 1995, the processing function was centralised at Kingswood (it had previously been split between the Authority's City and Kingswood sites). The move of archival boxes from Stage 1 to Stage 3 at Kingswood unfortunately remains on hold, pending resolution of shelving problems in Stage 3 although it is hoped to begin moving boxes later in 1996. Storage reserves for State archives at Kingswood currently stand at c.5 kilometres. This represents space for only 2-3 year's intake, and planning for future archival accommodation is continuing as a matter of some urgency. A substantial amount of time during 1995-96 was devoted to preparing statistics, reports and other documentation relating to the *Economic Appraisal for the Provision of Storage for Semi-active and Archival Records*.

Other significant activities during the year included an analysis and review of draft State Records legislation and the establishment of a "whole of Government" database documenting access conditions.

## ACCESSIONS

Significant records accessioned during 1995-96 included:

- ☐ Cabinet Office - Cabinet Secretariat: *Transcripts of Governor's speeches*, 1901-91
- ☐ Police: *Murder file re Bogle and Chandler*, 1963
- ☐ Building Industry Task Force Records, 1990-95

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). The most significant was a Police Department *Diary of Duty and Occurences*, Rugby, 1896-1900.

## PROCESSING

The target figure of 600 metres was achieved, with 604.37 metres processed during the year. The processing function was centralised at Kingswood in July 1995, resulting in increased operational and staffing efficiencies.

Records processed included:

- ☐ Industrial Relations: *Records re the deregistration of the Builder's Labourers Federation, 1984-86*
- ☐ Companies Office: *Documents lodged under the Companies Acts of 1876 to 1961, 1881-1968*
- ☐ Rural Assistance Authority: *Application files, 1932-93*

**Performance Measurement****Processing output (metres)**

<b>1994-95</b>		<b>1995-96</b>		<b>1996-97</b>
<b>Target</b>	<b>Output</b>	<b>Target</b>	<b>Output</b>	<b>Target</b>
600 metres	743.72 metres	600 metres	604.37 metres	500 metres*

\* Processing output is likely to remain in the vicinity of 500 metres per year, as higher priority will continue to be given to smaller, more "difficult" accessions containing older, unrestricted records, rather than larger accessions of recent, restricted material.

## 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. Major activities during the year involved providing advice on access policy to a number of agencies, and the development of a "whole of Government" database to record access conditions for control and reference purposes, in conformity with the likely requirements of new legislation.

## REGIONAL REPOSITORIES

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, Armidale, the University of Newcastle, the University of Wollongong, the Newcastle Region Public Library, and the Broken Hill City Library. In all, approximately 1 700 metres of records and some 4 281 maps and plans are held in these institutions, with the greatest quantity being held by the Charles Sturt University Regional Archives in Wagga 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 State archives on loan was carried out at the Charles Sturt University Regional Archives, Wagga Wagga on 21-22 March 1996. All the institutions which are taking in new accessions (Armidale, Broken Hill and Wagga) continue to function well as active regional repositories of the Archives Authority.

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**PRESERVATION  
SERVICES**

(Manager: Mr J. Davies, A.M.N. to 22 December 1995)

Preservation Services is responsible for executing the conservation policies of the Archives Office, the repair and preservation of public records and the provision of technical advice to Government agencies. It operates from a fully equipped conservation laboratory and a small microfilm testing laboratory located in the Rocks building. The Manager, Mr John Davies, went on extended leave prior to retirement on 22 December 1995. Mr Davies had been specially skilled in reprographics, and following his departure reprographic services were scaled down, the photographic laboratory was closed and as an interim measure conservation services were provided by Ms Gillian McElroy, Conservator and Ms Clara Cesorone, Assistant Conservator.

**Highlights**

- ☐ 9 432 items repaired
- ☐ 84 items bound/rebound
- ☐ Disaster Plan revised and updated
- ☐ Monitoring of environmental conditions intensified

**CONSERVATION AND BINDING**

During the year work continued on conserving a large collection of photographic prints of Power Stations and Sites of the Electricity Commission. Full traditional repair was also applied to various documents lodged under the Companies Act. Binding continued to be done in-house by Conservation staff with a total of 84 items bound or rebound. A survey of the SZ vault was conducted and the conservation requirements of each record was identified and prioritised.

**MONITORING CONDITIONS IN STORAGE AREAS**

Early in 1996 a number of bound volumes were again found to be affected by mould in cell 15 at Kingswood. As a precaution to prevent the mould spreading a part-time cleaner was employed to vacuum affected volumes and the monitoring of the environmental conditions in all storage areas (both City and Kingswood) was intensified to ensure that the temperature and relative humidity are maintained at the specified levels (50% RH and 21degrees C).

**MICROFILM TESTING**

Quality control and testing of microfilms for residual chemicals continued to be undertaken in-house for films deposited by Public Works and other agencies (20 microfilms were tested).

Detailed Preservation Services statistics can be found in Appendix 6.

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**REFERENCE SERVICES**

(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, and particularly from sections 13 and 17.

## Highlights

- ☐ A joint lecture tour of family and local history organisations in the Central West of New South Wales as part of a cooperative venture with the Australian Archives, NSW Regional Office, in April 1996
- ☐ Participation in a number of inter-agency meetings to discuss access and related issues in preparation for the National Inquiry into the Separation of Aboriginal and Torres Strait Islander Children from their Families
- ☐ The release in May 1996 of the correspondence between Jørn Utzon and the Hon. Davis Hughes relating to Utzon's resignation as architect of the Sydney Opera House

### 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, usually issued for a period of twelve months and renewable upon application. Readers visiting once or twice only, or having no appropriate identification enabling 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. The provision of free access to the Authority's Search Rooms accords with Government policy, as affirmed by the Premier and Minister for the Arts on 1 March 1996, that core archives services remain free of charge to ensure that access to the State's information and heritage resources is not restricted.

### GENERAL TRENDS

Usage figures stabilised in the early 1990s after declining in the mid-1980s, and there has been a slight overall increase in usage in the past three years.

### 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 has increased by 1.8% with around 35 readers per day. The Kingswood Search Room is open from Tuesday to Saturday (a total of 38 hours per week). The number of reader/visits at Kingswood appears to have increased significantly on the previous year's figures (7.8%). This, however, is explained by the fact that the Search Room was closed during the February 1995 stocktake. This had the effect of artificially "reducing" the overall number of reader/visits in 1994-95. Usage of original material continues to remain high at Kingswood, with State Rail Authority

Personal History Cards, parish maps, land records and Deceased Estate files being the most heavily used records.

The staff at both Search Rooms continue to provide an efficient, high quality service, and receive many letters of thanks from clients.

#### Search Room Statistics — Summary

	1994-95	1995-96	Variation (%)
Total number of users	6 174	6 365	3.1
Total number of reader/visits	15 974	16 595	3.9
Total number of issues	104 757	107 985	3.1

*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 (ie. 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.

#### Performance Measurement

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

1994-95		1995-96	1996-97
Success rate	Target	Success rate	Target
30 minutes (97%)	30 minutes (95%)	30 minutes (99%)	30 minutes (98%)

*These figures relate to retrieval of items found to be on the shelf in their correct location. On busy Saturdays at Kingswood, longer retrieval times occur occasionally, owing to limited staff resources.*

#### Search Room Enhancements

In response to a suggestion from the Archives Authority's Customer Council each Search Room is now equipped with a coin operated reader-printer. Clients now have the choice between using the existing copying service or making their own microform copies. Client response to this new service has been positive and it is hoped that additional coin operated reader-printers will be purchased for the Search Rooms in the future.

#### Regional Repositories

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

#### 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 agencies are set out below:

	1993-94	1994-95	1995-96
Issues of documents to Government agencies	3 958	4 334	2 858
Written Research of State archives on behalf of Government agencies	2	3	6
Telephone inquiries from Government agencies	370	321	277

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

Revenue 1994-95	Revenue 1995-96
\$2 470	\$2 912

#### RESEARCH SERVICE

Reference Services provides a user-pays mail-order research service which includes the specialised Convict, Shipping, Deceased Estate, Bankruptcy, One Name Extraction, and Source Analysis Research Services, research on other topics at the Office's discretion and quotations for copies of State archives. The Research Service aims at providing a high quality service for clients, to cover costs, and to ensure demand is kept at a manageable level, given the Office's limited staff resources. Inquiries researched during the year covered such topics as the Supreme Court records on the case of Jack "Congo" Murrell, Government House and the Labor Government (1910-15), and the pension for Matthew Flinders' wife and daughter.

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

#### Summary Statistics

	1993-94	1994-95	1995-96
Written inquiries received	1 305	1 572	1 964
Paid research inquiries completed	418	682	821
Revenue	\$20 782	\$36 688	\$39 705
Telephone enquiries received	6 564	6 375	6 386
Permission to publish	87	74	62

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

#### Revenue/targets

1994-95		1995-96		1996-97
Target	Revenue	Target	Revenue	Target
\$20 000	\$36 688	\$30 000	\$39 705	\$30 000

*Performance Measurement***Response times**

	<b>1994-95</b>		<b>1995-96</b>		<b>1996-97</b>
	<b>Target</b>	<b>Success rate</b>	<b>Target</b>	<b>Success rate</b>	<b>Target</b>
Quotations — preparation	4-5 weeks	99%	4-5 weeks	99%	4-5 weeks
Quotations — completion of orders	2 weeks	82%	10-15 working days	99.5%	10-15 working days
Convict research	6-10 weeks	98%	6-10 weeks	97%	6-10 weeks
Deceased Estates	4 weeks	100%	4 weeks	96%	4 weeks
Shipping research*	—	—	4 weeks	95%	4 weeks
Bankruptcy research*	—	—	4 weeks	100%	4 weeks
One Name Extraction*	—	—	6-8 weeks	100%	6-8 weeks
Source Analysis*	—	—	4-6 weeks	N/A	4-6 weeks

\* These services were introduced in October 1994.

The user-pays research service continues to be popular with researchers. This is confirmed by the 20% increase in the total number of paid research enquiries over the past year. The revenue earned in 1994-95 exceeded the target by 8%. The Convict, Deceased Estate, Shipping and One Name Extraction Research Services have proven to be the most popular of the specialised services. The quotation service also continues to be well patronised, with 80% of the quotes being accepted in the past year.

All the target response times for the various research services were reviewed at the end of the 1994-95 financial year. No changes have been made to the advertised targets as they currently provide clients with realistic and achievable estimates of reply times.

**EXTENSION AND EDUCATIONAL ACTIVITIES**

The staff at the Archives Office have once again been involved in a wide range of extension activities. Fees are charged for a number of these activities, including visits by school groups. Talks and tours of either location are provided for tertiary students at no cost if part of their course curriculum. Some special activities such as those held during Senior Citizens Week are also free.

Highlights of the past year include:

- ☐ A seminar for the Family History Association of North Queensland Inc. as part of their 15th anniversary celebrations (July 1995)
- ☐ *Here and Abroad* - a seminar in conjunction with the Society of Australian Genealogists (October 1995)
- ☐ *Catching Convicts* - a seminar in conjunction with the Mitchell Library and Society of Australian Genealogists (March 1996)
- ☐ A joint lecture tour of the Central West conducted in conjunction with staff from the Australian Archives, New South Wales Regional Office (April 1996)
- ☐ *Pre 1856 Landholders* seminar (May 1996)



- ☐ *Shipping Lines* - a seminar on immigration and other shipping records conducted in conjunction with the Australian Archives, New South Wales Regional Office (June 1996)
- ☐ Continuation of the schools program *Crims Clues and Culprits*, in conjunction with the Observatory Hill Urban Field Studies Centre.

**Revenue/targets**

<b>1994-95</b>		<b>1995-96</b>		<b>1996-97</b>	
<b>Revenue</b>	<b>Target</b>	<b>Revenue</b>	<b>Target</b>	<b>Revenue</b>	<b>Target</b>
\$16 830	\$13 000	\$6 468		\$10 000	

The revenue for extension activities fell below target. A large percentage of the extension activities conducted in this financial year were for tertiary and Aboriginal groups and were free of charge. A substantial amount of time was also invested in training staff for the proposed introduction of Search Room charges which did not proceed. The lack of interest in the *Ship Ahoy* seminar planned for 1 July 1995, which led to its cancellation, and the lack of bookings from school groups in the first half of 1996 also contributed to the shortfall. There has also been a fall in the demand for Introductory Talks and Tours.

**Exhibitions**

The exhibition area in the City Office contains a display of the Archives Authority's publications and souvenir items along with selected items from previous exhibitions.

The exhibition currently on display at Kingswood, *Cups of Tea and Donkey Rides*, focuses on the New South Wales State government's role in entertainment. A highlight of the exhibition is photographs of the Capitol Theatre supplied by the Australian Theatre Historical Society.

**PUBLICATIONS**

The Authority's publications fall into five categories: guides and finding aids to the State archives; technical papers on recordkeeping; facsimiles of archives, published in hard copy or on microform, as teaching aids, reference and research tools, wall decorations, postcards and souvenirs; newsletters such as *ArchiVista* and *For the Record*; and standards and guidelines.

**Performance Measurement****Publication sales — Revenue/targets**

	<b>1994-95</b>		<b>1995-96</b>		<b>1996-97</b>	
	<b>Revenue (\$)</b>	<b>Target (\$)</b>	<b>Revenue (\$)</b>	<b>Target (\$)</b>	<b>Revenue (\$)</b>	<b>Target (\$)</b>
Col. Sec. Papers	5 950	10 000	11 150 <sup>1</sup>		10 000	
GRK	28 021	20 000	29 728		20 000	
Other publications	66 421 <sup>2</sup>	30 000	32 120		30 000	
<b>Total</b>	<b>100 392</b>	<b>60 000</b>	<b>72 998</b>		<b>60 000</b>	

<sup>1</sup> Some sales of Colonial Secretary's Papers were included as revenue from unpublished microfilms.

<sup>2</sup> Includes sales from Major Mitchell's Map.

Revenue from sales of publications forms a major part of the Archives Office's revenue agreement. The targeted marketing approach for the *Genealogical Research Kit*, commenced in the last financial year, resulted in the target being exceeded by almost \$10 000. Sales of the *Colonial Secretary's Papers* however remained below target. The publications currently offered for sale by the Archives Authority are listed in Appendix 8.

Subscriptions to *ArchiVista/Archeion* appear to have dropped from last year, but as renewal dates now fall in June/July renewals of previous subscriptions are still being received.

Subscriptions current as at June 1995	Subscriptions current as at June 1996
603	478

#### Subscriptions — Revenue/target

1994-95		1995-96		1996-97	
Revenue	Target	Revenue	Target	Revenue	Target
\$4 507	\$8 000	\$4 169		\$1 000	

#### PHOTOGRAPHIC SERVICE

Each Search Room is equipped with a plain paper photocopier, a plain paper reader/printer as well as a coin operated reader/printer for client use. In addition, the City Search Room has a plain paper copier which allows limited copying of bound material. This equipment meets the bulk of clients' copying needs but in some instances black and white negatives and/or photographic prints are required. Since March 1994 this work has been contracted out to the Image Library at the State Library of New South Wales.

The Archives Office also supplied copies of 38 unpublished microfilms to individuals, societies and libraries, resulting in additional revenue of \$1 520.

#### Performance Measurements

##### Revenue/targets

	1994-95		1995-96		1996-97	
	Revenue (\$)	Target (\$)	Revenue (\$)	Target (\$)	Revenue (\$)	Target (\$)
Search Room/Laboratory service*	40 101	35 000	41 762		35 000	
Unpublished microfilms	2 440	4 000	12 334		4 000	

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

**Response times**

	<b>1994-95</b>	<b>1995-96</b>	<b>1996-97</b>
	<b>Target (Success rate)</b>	<b>Target (Success rate)</b>	<b>Target</b>
<b>Search Room Service:</b>			
copies from microforms	30 minutes (95%)	30 minutes (99%)	30 minutes (96%)
<i>Xerox copies:</i>			
small orders (20 pages or less)	1 hr (100%)	1 hr (99%)	1 hr (100%)
large orders	5 working days (83%)	5 working days (100%)	5 working days (95%)
<b>Laboratory Service:</b>			
standard	4 weeks (93%)	4 weeks (100%)	4 weeks (95%)
urgent orders	5 working days* (68%)	5 working days (100%)	5 working days (95%)

*\* Problems with response times for the photographic service mainly arose from delays over holiday periods when staffing levels are low eg. Christmas and Easter.*

Full statistics on photographic services are given in Appendix 7, Table 5.

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

Both of the Commission's Recommendations (Nos. 53 and 57) involving the Archives Authority have been fully implemented.

## 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.

## CONSUMER RESPONSE

On 2 January 1996 the Archives Authority advised its clients that fees would be introduced in both Search Rooms for access to records in the *Genealogical Research Kit*. As a result the Office received 21 letters, some written on behalf of societies and institutions, and several articles were published by researchers who disagreed with the charging policy. One letter expressed support for the charges and the rest were expressions of disapproval. 57 letters of complaint were directed to the Ministry for the Arts or the Premier. On 1 March 1996 the Premier announced that the Government would not be proceeding with the introduction of charges for Search Room access, which had been scheduled to take effect on 4 March 1996. All letters directed to the Archives Office, the Ministry or the Premier were answered promptly.

Two other letters of complaint were received during the year. These letters, which concerned the time taken to retrieve material, were answered promptly and reasons were given for the difficulties and alternatives/ solutions were suggested.

The Authority's Customer Council met on 5 occasions during the year, one of which was a special meeting convened to discuss the proposed Charges for Access. Advice and suggestions were provided on a number of matters.

The Authority's *Guarantee of Service* documents will be revised and updated by October 1996.

## 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**

1994-95		1995-96		1996-97	
Revenue	Target	Revenue	Target	Revenue	Target
\$100 547	\$80 000	\$80 016		\$80 000	

## GOVERNMENT RECORDS REPOSITORY

**Revenue/targets**

Year	Expenditure		Revenue		Surplus	
	Target (\$)	Actual (\$)	Target (\$)	Actual (\$)	Target (\$)	Actual (\$)
1994-95	1 870 000	2 162 000	2 270 000	2 412 000	400 000	250 000
1995-96	2 219 000	2 266 000	2 812 000	3 108 000	593 000	842 000
1996-97	2 400 000		3 315 000		915 000	

**Holdings****% Increase in Holdings**

Year	Target (%)	Actual (%)
1994-95	15	25
1995-96	12	12
1996-97	10	

**Retrieval****% of files Issued to Requested**

Year	Target (%)	Actual (%)
1994-95	90	87
1995-96	90	89
1996-97	90	

## ARCHIVES OFFICE

## COLLECTION SERVICES

## Processing output

1994-95		1995-96		1996-97
Target	Output	Target	Output	Target
600 metres	743.72 metres	600 metres	604.37 metres	500 metres*

\* Processing output is likely to remain in the vicinity of 500 metres per year, as higher priority will continue to be given to smaller, more "difficult" accessions containing older, unrestricted records, rather than larger accessions of recent, restricted material.

## REFERENCE SERVICES

## Search Room Services

## Response time (request for original material)

1994-95		1995-96		1996-97
Success rate	Target	Success rate	Target	Target
30 minutes (97%)	30 minutes (95%)	30 minutes (99%)		30 minutes (98%)

These figures relate to retrieval of items found to be on the shelf in their correct location. On busy Saturdays at Kingswood, longer retrieval times occur occasionally, owing to limited staff resources.

## Research Service

## Response times

	1994-95		1995-96		1996-97
	Target	Success rate	Target	Success rate	Target
Quotations — preparation	4-5 weeks	99%	4-5 weeks	99%	4-5 weeks
Quotations — completion of orders	2 weeks	82%	10-15 working days	99.5%	10-15 working days
Convict research	6-10 weeks	98%	6-10 weeks	97%	6-10 weeks
Deceased Estates	4 weeks	100%	4 weeks	96%	4 weeks
Shipping research*	—	—	4 weeks	95%	4 weeks
Bankruptcy research*	—	—	4 weeks	100%	4 weeks
One Name Extraction*	—	—	6-8 weeks	100%	6-8 weeks
Source Analysis*	—	—	4-6 weeks	N/A	4-6 weeks

\* These services were introduced in October 1994.

**Publications****Publication sales — Revenue/targets**

	<b>1994-95</b>	<b>1995-96</b>		<b>1996-97</b>
	<b>Revenue (\$)</b>	<b>Target (\$)</b>	<b>Revenue (\$)</b>	<b>Target (\$)</b>
Col. Sec. Papers	5 950	10 000	11 150 <sup>1</sup>	10 000
GRK	28 021	20 000	29 728	20 000
Other publications	66 421 <sup>2</sup>	30 000	32 120	30 000
<b>Total</b>	<b>100 392</b>	<b>60 000</b>	<b>72 998</b>	<b>60 000</b>

<sup>1</sup> Some sales of Colonial Secretary's Papers were included as revenue from unpublished microfilms.

<sup>2</sup> Includes sales from Major Mitchell's Map.

**Photographic Service****Revenue/targets**

	<b>1994-95</b>	<b>1995-96</b>		<b>1996-97</b>
	<b>Revenue (\$)</b>	<b>Target (\$)</b>	<b>Revenue (\$)</b>	<b>Target (\$)</b>
Search Room/Laboratory service*	40 101	35 000	41 762	35 000
Unpublished microfilms	2 440	4 000	1 520	4 000

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

**Response times**

	<b>1994-95</b>	<b>1995-96</b>	<b>1996-97</b>
	<b>Target (Success rate)</b>	<b>Target (Success rate)</b>	<b>Target</b>
<b>Search Room Service:</b>			
copies from microforms	30 minutes (95%)	30 minutes (99%)	30 minutes (96%)
<b>Xerox copies:</b>			
small orders (20 pages or less)	1 hr (100%)	1 hr (99%)	1 hr (100%)
large orders	5 working days (83%)	5 working days (100%)	5 working days (95%)
<b>Laboratory Service:</b>			
standard	4 weeks (93%)	4 weeks (100%)	4 weeks (95%)
urgent orders	5 working days* (68%)	5 working days (100%)	5 working days (95%)

\* Problems with response times for the photographic service mainly arose from delays over holiday periods when staffing levels were low eg. Christmas and Easter.

## IV CORPORATE SERVICES

### HUMAN RESOURCES

The officers and employees of the Archives Authority are subject to the provisions of the Public Sector Management Act, 1988, during the tenure of their office or employment. They also undertake to observe the provisions of the *New South Wales Public Sector Code of Conduct* and the Authority's *Code of Conduct*. See Appendix 3.

#### STAFFING

At the end of June 1996 the Archives Authority had seventy four permanent positions which were distributed as follows:

Administration, including the Principal Archivist and the Deputy Principal Archivist .....	7
Archives Office, including Support Services .....	41
Records Management Office .....	5
Government Records Repository .....	21
Total .....	74

#### Allocation of Staff Resources

	1992-93 (%)	1993-94 (%)	1994-95 (%)	1995-96 (%)
Administration	9	9	9	9
Archives Office	54	55	55	55
Records Management Office	8	7	7	7
Government Records Repository	29	29	29	29
<b>Total</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>

At the end of June 1996 the Archives Authority's seventy four positions consisted of the following classifications:

Senior Executive Service .....	1
Archivists .....	29
Clerks .....	9
Clerical Officers .....	29
Other (eg. Conservator, etc) .....	6
Total .....	74



**Classification of Persons Employed**

	<b>1992-93 (%)</b>	<b>1993-94 (%)</b>	<b>1994-95 (%)</b>	<b>1995-96 (%)</b>
Senior Executive Service	1	1	1	1
Archivists	40	39	39	39
Clerks	13	13	13	13
Clerical Officers	38	39	39	39
Other (eg. Conservator, etc)	8	8	8	8
<b>Total</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>100</b>

A full list of permanent staff is given in Appendix 2.

**Details of Employee Related Costs**

	<b>1992-93 (\$)</b>	<b>1993-94 (\$)</b>	<b>1994-95 (\$)</b>	<b>1995-96 (\$)</b>
Salaries, wages, national wage	2 472 624	2 676 880	2 804 561	3 027 030
Leave on Termination — Provision	16 750	60 287	84 091	97 640
Overtime	53 239	68 944	100 397	125 632
Workers Compensation	7 366	10 628	34 473	59 396
Payroll tax	131 501	173 125	167 648	182 690
Superannuation	183 456	185 672	278 058	300 101
Fringe Benefit Tax	—	—	22 031	18 580
<b>Total</b>	<b>2 864 936</b>	<b>3 175 536</b>	<b>3 491 259</b>	<b>3 811 069</b>

**CONSULTANTS AND CONTRACTORS**

During the year nine consultants were engaged at a total cost of \$108 235.00 (\$34 911.50 in 1993-94). A total of \$73 910.00 was spent on eight separate consultancies costing less than \$30 000.00. Tooher Gale and Associates Pty Ltd were engaged to prepare the *Economic Appraisal* at a cost of \$34 325.00.

The Authority is fully committed to obtaining value for money by competitive tendering and a *Contracting and Market Testing Policy and Action Plan* was developed in 1994. During the year the following services were contracted out: cleaning; building maintenance; fleet maintenance; printing; training; travel; recruitment; furniture and equipment disposal; payroll; and stores/equipment.

**EMPLOYEE RELATIONS**

Much effort was again concentrated on a few projects such as responsibilities under the Framework and Job Evaluation. Mechanisms for consultation with staff were improved through regular meetings of the Institutional Consultative Committee. Unfortunately, however, the Authority was unable to negotiate an enterprise agreement or achieve a general restructure through Job Evaluation.

## PERFORMANCE MANAGEMENT

The Authority's Performance Management System for all staff from the Deputy Principal Archivist down has been in operation since 1994 and will be reviewed in 1997.

## JOB EVALUATION

Accreditation in Job Evaluation using the OCR process was received on 28 June 1994, the Authority's Job Evaluation Policy was endorsed by the Institutional Consultative Committee on 14 December 1995 and two new project officer positions in the Records Management Office were evaluated on 21 December 1995.

## ESTABLISHMENT CHANGES

- ☐ **Special Projects Budget Allocation: 1995-96.** Following a review of the recurrent budget allocation, current priorities and the financial implications of the proposed new legislation, the Principal Archivist approved a total allocation of \$300 000 per annum towards the following special projects for the implementation of legislation: recordkeeping standards; electronic recordkeeping; disposal compliance; community awareness and functional appraisal. Seven temporary project officer positions for periods of up to two years were created.
- ☐ **Records Management Office.** The Ministry approved the creation of the position of Manager, Records Management Office at Archivist grade 6 level effective from 19 December 1995, subject to job evaluation. Subsequently the Records Management Office was restructured into two project teams reflecting its principal programs - Recordkeeping Standards and Electronic Recordkeeping, each comprising a Senior Project Officer (A.G.4) and two Project Officers (A.G.3).
- ☐ **Interim arrangements for Support Services.** In February 1996 as an interim measure pending the outcome of the Economic Appraisal and Job Evaluation, a number of temporary CO3 positions were created and filled by transfer or on an acting basis from within existing resources. These new arrangements reflected the changing role and functions of Support Services, provided more promotional opportunities for clerical officers, simplified reporting arrangements and clarified lines of responsibility. After an initial settling in period, the arrangements will be reviewed and Job Evaluation will be applied to the new positions.

## EQUAL EMPLOYMENT OPPORTUNITY (EEO)

The Archives Authority supports equality of employment opportunity. The EEO Annual Report for 1994-95 and the EEO Management Plan for 1995-96 were circulated to all staff in December 1995. The Equity Advisory Committee continued to monitor the progress of the EEO Management Plan and act as a forum for employees. The Authority's *Disability Strategic Plan* was revised and amended in June 1996 to ensure that people with disabilities have opportunities for work and career development within all sections of the Authority. In 1995-96 the Authority employed 11 people with disabilities compared with 6 in the previous year. Action was also taken to include specific EEO responsibilities into the position descriptions of all Managers and Supervisors. In addition, the Administrative Officer attended Employment Equity Specialists Association meetings to keep abreast of current equity issues.

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

**Representation and Recruitment of Aboriginal Employees**

	<b>1994-95</b>		<b>1995-96</b>	
	<b>Total Staff</b>	<b>Aboriginal People</b>	<b>Total Staff</b>	<b>Aboriginal People</b>
Total	98	2 2%	104	2 2%
Recruited in the year	23	0 0%	21	.1 4.76%

**Representation of EEO Target Group Members**

<b>EEO salaries @ 14.1.94</b>	<b>1994-95</b>			<b>EEO salaries @ 4.11.94</b>	<b>1995-96</b>		
	<b>Total Staff</b>	<b>Women</b>	<b>NESB*</b>		<b>Total Staff</b>	<b>Women</b>	<b>NESB*</b>
Below \$20 732 pa.	6	3	1	Below \$21 354 pa.	4	2	0
\$20 732 - \$27 231	40	22	7	\$21 354 - \$28 048	43	23	5
\$27 232 - \$30 441	12	9	6	\$28 049 - \$31 354	16	12	7
\$30 442 - \$38 523	22	18	2	\$31 355 - \$39 679	21	18	2
\$38 524 - \$49 816	11	7	1	\$39 680 - \$51 311	13	10	1
\$49 816 - \$62 271	4	2	2	\$51 312 - \$64 139	4	2	2
Above \$62 271 pa.	3	1	0	Above \$64 139 pa.	3	1	0
<b>Total</b>	<b>98</b>	<b>62</b>	<b>19</b>		<b>104</b>	<b>68</b>	<b>17</b>

\* Non-English Speaking Background.

**STAFF TRAINING AND STAFF DEVELOPMENT**

The total expenditure for the Archives Authority on staff development activities for 1995-96 was \$24 457.05. Activities included internal and external training courses, attendance at various professional engagements, workshops, seminars, plus departmental representation on various committees.

Staff rotation, work experience and acting in promotional positions were also encouraged, as a form of staff development, and study leave for five staff was approved.

**LEAVE**

Bee Leong Pang took maternity leave during the year.

Clara Cesarone, John Davies, Tom Pittman and Coral Searle all took extended leave during the year.

**PROMOTIONS AND APPOINTMENTS**

Gaye DeCelis was appointed as Administrative Officer, Clerk Grade 3/4 on 25 October 1995.

Michael Smith was appointed as Archivist, Grade 1 on 27 October 1995.

Leonie Jennings was promoted to the position of Senior Archivist, Disposal on 6 March 1996.

Kristy Tiberi was appointed as Senior Archivist, Consulting Archivist on 1 May 1996.

Kate Musgrave was appointed as Senior Archivist, Consulting Archivist on 1 May 1996.

#### RESIGNATIONS AND RETIREMENTS

Clarence Byrne resigned on 28 July 1995.

Nigel Richardson transferred to the Office of the Director of Public Prosecutions on 2 August 1995.

Cheri Lutz resigned on 8 September 1995.

Denise Bechert resigned on 14 September 1995.

Glennis Keevers resigned on 29 September 1995.

Michael Holland resigned on 17 November 1995.

John Davies went on extended leave prior to retirement on 12 December 1995.

Stephen Bedford resigned on 5 January 1996.

Alan Cartwright resigned on 1 March 1996.

#### PROFESSIONAL AND STAFF DEVELOPMENT ACTIVITIES

Susan Kennedy, Lyn Milton and Catherine Robinson attended a seminar on *Recordkeeping Requirements for Organisational Accountability* on 6 July 1995.

Michael Allen, Vanessa Follett and Annette Lennon-Finch attended a course on *Exploring and Navigating the Internet* on 17-18 July 1995.

Michael Allen and Annette Lennon-Finch attended a course on *Becoming an Internet Server* on 20 July 1995.

Clara Cesarone and Janette Pelosi attended a *Counter-Disaster* workshop by Conservation Access, State Library of NSW, on 25-26 July 1995.

Frances Lemmes, David Roberts, Catherine Robinson and Christine Yeats attended the Australian Society of Archivists - Annual Conference in Canberra on 26-29 July 1995.

Disposal Services staff attended the Records Management Office course *Designing and Implementing Recordkeeping Systems* on 22-23 August 1995.

Leonie Jennings and Michael Smith attended *Train the Trainer* courses on 11-13 September 1995 and 6-7 May 1996 respectively.

Gillian McElroy attended a seminar on *Disaster Preparedness* at the State Library of NSW on 20-22 September 1995.

Christine Yeats attended a RIPA Workshop on *Competition Pricing Policy* on 21 September 1995.

Susan Kennedy, Janette Pelosi and David Roberts attended a workshop, *Understanding Diplomats* conducted by Dr Luciana Duranti at UNSW, on 16 October 1995.

Bridget Reilly, Amanda Barber, Emily Hanna, Susan Kennedy, Lyn Milton and Catherine Robinson attended *Archives as a Place*, a seminar on the custodial role of archives, on 19 October 1995.

David Roberts attended a seminar on *Current Research on the Preservation of Electronic Records* on 20 October 1995.

Annette Lennon-Finch attended a *Microsoft Access Introduction* course on 6-7 March 1996.

Gillian McElroy and Clara Cesarone attended a seminar on *Preserving Photographic Collections* at the State Library of NSW on 12 March 1996.

Gay DeCelis attended *Job Evaluation Training* conducted by OCR on 14 March 1996.

Christine Yeats attended a forum to discuss the National Inquiry into the Separation of Aboriginal and Torres Strait Islander Children from their families: Current Laws, practices and policies relating to access to individual, and family records on 26 March 1996.

Fabian Loschiavo attended a seminar on *Conserving Photographs and Memorabilia* at the State Library of NSW in April 1996.

Catherine Robinson attended a *New Supervisor* course on 10-12 April 1996.

John Cross, Frances Lemmes, Catherine Robinson, David Roberts and Christine Yeats attended the Australian Society of Archivists - Annual Conference in Alice Springs on 23-25 May 1996.

Susan Kennedy, Lyn Milton, Luisa Moscato, Karuna Raj, Richard Gore, Janette Pelosi and Lisa Poulter attended a seminar on *The Records Continuum: An Emerging Paradigm*, presented by Sue McKemmish, at UNSW on 28 May 1996.

Richard Gore and Amanda Barber visited the Public Record Office of Victoria, to discuss aspects of its control/documentation systems, and operational matters relating to disposal, scheduling, arrangement and description on 11-12 June 1996.

Leonie Jennings attended a *Project Management* course on 12 June 1996.

Catherine Robinson, Christine Yeats and Sally Irvine-Smith attended a residential school, organised by the Council of Federal, State and Territory Archives (COFSTA) and the Australian Archives, on 17-21 June 1996.

Lisa Poulter attended a RMO seminar on *Records Management for Business and Small Organisations* on 18-19 June 1996.

Luisa Moscato and Karuna Raj attended the *Managing the Records Continuum* workshop, organised by Monash University and featuring US guru David Bearman as principal presenter, on 24-28 June 1996.

Gaye DeCelis attended a RMO course *Records Management Fundamentals* on 25 June 1996.

Various staff attended training sessions on *How to use the General Records Disposal Schedule - Administrative Records* during June 1996.

Supervisors and Managers attended *Occupational Health and Safety for Supervisors* training held in June 1996.

Gaye DeCelis attended several *Equity Advisory Specialists Association* meetings during the year.

Janette Pelosi, Michael Holland and Wendy Gallagher attended training courses on *Occupational Health and Safety for Committee Members* during the year.

Christine Shergold and Michael Allen attended various computer-related seminars, demonstrations, presentations and workshops during the year.

The Principal Archivist represented the Authority at several meetings of the Australian Council of Archives and the Council of Federal, State and Territory Archives (COFSTA) during the year.

#### STUDY LEAVE

The following officers were granted study leave during the year:

<i>Bruce Wright</i>	Master of Applied Statistics – Macquarie University
<i>Janet Knight</i>	Master of Applied Science (Library & Information Management) Charles Sturt University (Correspondence)
<i>Sue Kulasinghe</i>	Bachelor of Business (Accounting) - Charles Sturt University (Correspondence)
<i>Gaye DeCelis</i>	Human Resources Management Certificate - TAFE
<i>Michael Smith</i>	Book Restoration - TAFE.

#### FINANCIAL RESOURCES

The Archives Authority's financial statements have been prepared on an accrual accounting basis for the year ending 30 June 1996. Details of these are provided in the financial statements section of this report.

The internal audit program reviewed the following areas: Research, Photographic and Extension Services; and Collection Management. A review of the Sybiz Application Controls was also completed during the year. The audits were conducted by the Internal Audit Bureau as part of the Ministry for the Arts overall audit program.

The Archives Authority's audit fee for 1995-96 is \$22 000 (\$19 000 in 1994-95).

In 1994-95 the Archives Authority ordered four hundred copies of the Annual Report to be printed at a cost of \$13.53 each. In 1995-96 four hundred and fifty copies have been ordered at a cost of \$13.88 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**

	<b>1993-94 (%)</b>	<b>1994-95 (%)</b>	<b>1995-96 (%)</b>
Salaries and Allowances	56.09	53	59
Rental and Cleaning	26.59	24	21
Equipment and Purchases	2.95	3	5
Printing and Publications	2.11	2	1
Gas and Electricity	3.73	3	4
Other	8.53	15	10
<b>Total</b>	<b>100</b>	<b>100</b>	<b>100</b>

**REVENUE**

Over the past five 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**

	<b>1993-94 (\$)</b>	<b>1994-95 (\$)</b>	<b>1995-96 (\$)</b>
Archives Office	273 273	209 289	200 272
Government Records Repository	2 046 567	2 412 517	3 108 320
Records Management Office	120 246	100 547	81 274
<b>Total</b>	<b>2 440 086</b>	<b>2 722 353</b>	<b>3 389 866</b>

*The figures represent the operating revenue plus interest earned by the Authority on an accrual accounting basis.*

**CAPITAL WORKS**

The small Stage I Annex at Kingswood was completed in September 1995 at a total project cost of \$454 963 and approval was granted for the supply and installation of shelving costing \$535 000. The Annex is designed to meet the immediate accommodation needs of the Repository and was funded from the Repository's cash reserves. The building work in progress as at 30 June 1996 amounted to \$989 963.

**PAYMENT PERFORMANCE INDICATORS**

The following payment performance indicators for 1995-96 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 1995-96**

	<b>No.</b>	<b>September Amount</b>	<b>%</b>
Current (within due date)	397	1 619 664	92.00
Less than 30 days overdue	29	25 898	7.00
Between 30 and 60 days overdue	2	141	1.00
Between 60 and 90 days overdue	1	218	0.00
More than 90 days overdue	1	1 073	0.00
<b>Total</b>	<b>430</b>	<b>1 646 994</b>	<b>100.00</b>

**Accounts Paid in 1995-96**

	<b>No.</b>	<b>December Amount</b>	<b>%</b>
Current (within due date)	390	1 753 437	95.00
Less than 30 days overdue	16	51 467	4.00
Between 30 and 60 days overdue	2	5 420	0.00
Between 60 and 90 days overdue	3	634	1.00
More than 90 days overdue	1	394	0.00
<b>Total</b>	<b>412</b>	<b>1 811 352</b>	<b>100.00</b>

**Accounts Paid in 1995-96**

	<b>No.</b>	<b>March Amount</b>	<b>%</b>
Current (within due date)	373	1 517 534	94.00
Less than 30 days overdue	23	38 765	5.50
Between 30 and 60 days overdue	2	1 637	0.50
Between 60 and 90 days overdue	0	0	0.00
More than 90 days overdue	0	0	0.00
<b>Total</b>	<b>398</b>	<b>1 557 936</b>	<b>100.00</b>



**Accounts Paid in 1995-96**

	<b>No.</b>	<b>June Amount</b>	<b>%</b>
Current (within due date)	435	2 234 102	92.00
Less than 30 days overdue	31	46 593	7.00
Between 30 and 60 days overdue	3	7 113	1.00
Between 60 and 90 days overdue	1	134	0.00
More than 90 days overdue	2	1 010	0.00
<b>Total</b>	<b>472</b>	<b>2 288 952</b>	<b>100.00</b>

The performance indicators set for the payment of accounts were that at least eighty percent 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: Workers' Compensation; Motor Vehicles; Property; Public Liability; and Miscellaneous.

**Insurance Premiums**

	<b>1993-94 (\$)</b>	<b>1994-95 (\$)</b>	<b>1995-96 (\$)</b>
Workers' Compensation	10 513	34 473	59 396
Motor Vehicles	6 475	12 246	9 573
Property	38 244	45 586	36 796
Public Liability	3 680	5 520	5 488
Miscellaneous	1 760	1 760	1 760
<b>Total</b>	<b>60 672</b>	<b>99 585</b>	<b>113 013</b>

Claims History

	1993-94	1994-95	1995-96
Workers' Compensation	3	5	4
Motor Vehicles	2	0	0
Property	0	0	0
Public Liability	0	0	0
Miscellaneous	0	0	0
Total	5	5	4

OCCUPATIONAL HEALTH AND SAFETY (OH&S)

Since September 1995 OH&S Committee meetings have been held on a regular basis. Achievements to date include: an OH&S Constitution; an OH&S Policy; purchase of OH&S legislation, publications and videos; regular safety inspections of both locations as required by the Act; training sessions for managers and supervisors on their OH&S responsibilities; introduction of a hazard/incident alert form; increased staff awareness of OH&S issues; and circulation of OH&S Committee minutes to all staff.

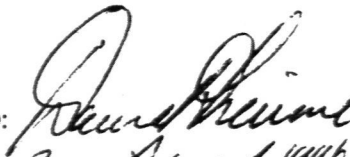
Elections for the new Committee (term July 1996-June 1998) were held in March 1996.



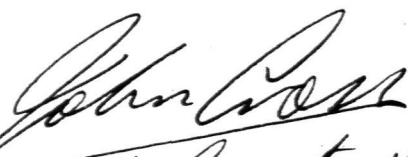
**THE ARCHIVES AUTHORITY OF NEW SOUTH WALES**  
**Statement in Accordance With Section 41C(1)(c)**  
**of Public Finance and Audit Act, 1983**

In accordance with a resolution of the Archives Authority, we state that:

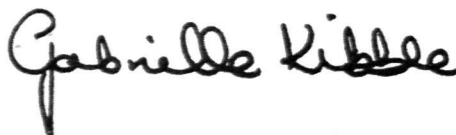
- (a) the financial statements and notes thereto, exhibit a true and fair view of the financial position and transactions for the year ended 30 June 1996.
- (b) the financial statements have been prepared in accordance with Statements of Accounting Concepts, applicable Australian Accounting Standards, 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:   
DATE: 2nd August 1996

CHAIRPERSON  
ARCHIVES AUTHORITY

SIGNED:   
DATE: 2nd August, 1996

PRINCIPAL ARCHIVIST



SIGNED:  
DATE: 2nd August 1996.

MEMBER  
ARCHIVES AUTHORITY

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

**30 June 1996**

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## ARCHIVES AUTHORITY OF NEW SOUTH WALES

**Operating Statement**

For the year ended 30 June 1996

	<b>Notes</b>	<b>Actual 1996 \$'000</b>	<b>Budget 1996 \$'000</b>	<b>Actual 1995 \$'000</b>
<b>EXPENSES</b>				
Operating Expenses				
Employee Related	4(a)	3 811	3 876	3 491
Other Operating Expenses	4(b)	2 598	2 751	2 423
Maintenance		172	170	163
Depreciation	4(c)	433	442	445
<b>Total Expenses</b>		<b>7 014</b>	<b>7 239</b>	<b>6 522</b>
<b>REVENUES</b>				
User Charges	5(a)	174	179	108
Grants & Subsidies	5(b)	—	—	120
Other	5(c)	3 212	2 902	2 603
<b>Total Revenues</b>		<b>3 386</b>	<b>3 081</b>	<b>2 831</b>
Net loss on sale of Property, Plant and Equipment		(9)	—	—
<b>Net cost of services before Abnormal Items</b>		<b>(3 637)</b>	<b>(4 158)</b>	<b>(3 691)</b>
Abnormal Items	4(d)	—	—	(250)
<b>NET COST OF SERVICES AFTER ABNORMAL ITEMS</b>	<b>3</b>	<b>(3 637)</b>	<b>(4 158)</b>	<b>(3 941)</b>
<b>GOVERNMENT CONTRIBUTIONS</b>				
Consolidated Fund Recurrent Appropriation		4 217	4 217	3 592
Consolidated Fund Capital Appropriation		45	45	—
Acceptance by State of Authority liabilities	5(d)	251	170	241
<b>Surplus/(deficit) for the year</b>		<b>876</b>	<b>274</b>	<b>(108)</b>
<b>Accumulated Surplus at the beginning of the year</b>		<b>13 408</b>	<b>13 408</b>	<b>13 516</b>
<b>Accumulated Surplus at the end of the year</b>		<b>14 284</b>	<b>13 682</b>	<b>13 408</b>

The accompanying notes form part of these statements.

ARCHIVES AUTHORITY OF NEW SOUTH WALES  
**Statement of Financial Position**  
As at 30 June 1996

	Notes	Actual 1996 \$'000	Budget 1996 \$'000	Actual 1995 \$'000
<b>Current Assets</b>				
Cash	6	1 577	1 589	1 084
Receivables	7(a)	629	380	426
Inventories	8	70	50	96
<b>Total Current Assets</b>		<b>2 276</b>	<b>2 019</b>	<b>1 606</b>
<b>Non-Current Assets</b>				
Receivables	7(b)	175	170	169
Property, Plant and Equipment	9	19 152	18 618	18 775
<b>Total Non-Current Assets</b>		<b>19 327</b>	<b>18 788</b>	<b>18 944</b>
<b>TOTAL ASSETS</b>		<b>21 603</b>	<b>20 807</b>	<b>20 550</b>
<b>Current Liabilities</b>				
Creditors	10(a)	85	175	227
Provisions	11(a)	312	258	243
Other	10(b)	420	210	176
<b>Total Current Liabilities</b>		<b>817</b>	<b>643</b>	<b>646</b>
<b>Non-Current Liabilities</b>				
Borrowings	11(b)	2 000	2 000	2 000
Other	11(c)	235	215	229
<b>Total Non-Current Liabilities</b>		<b>2 235</b>	<b>2 215</b>	<b>2 229</b>
<b>TOTAL LIABILITIES</b>		<b>3 052</b>	<b>2 858</b>	<b>2 875</b>
<b>NET ASSETS</b>		<b>18 551</b>	<b>17 949</b>	<b>17 675</b>
<b>Equity</b>				
Accumulated Surplus		14 284	13 682	13 408
Reserves	12	4 267	4 267	4 267
<b>TOTAL EQUITY</b>		<b>18 551</b>	<b>17 949</b>	<b>17 675</b>

The accompanying notes form part of these statements.

## ARCHIVES AUTHORITY OF NEW SOUTH WALES

**Cash Flow Statement**

For the year ended 30 June 1996

	<b>Notes</b>	<b>Actual 1996 \$'000</b>	<b>Budget 1996 \$'000</b>	<b>Actual 1995 \$'000</b>
<b>CASH FLOW FROM OPERATING ACTIVITIES</b>				
Payments:				
— Employee Related		(3 486)	(3 561)	(3 263)
— Maintenance & Working		(2 838)	(2930)	(2 682)
— Other		(243)	(154)	(154)
		(6 567)	(6 645)	(6 099)
Receipts:				
— User Charges		352	180	340
— Grants & Subsidies		—	—	120
— Interest Received		64	30	80
— Other		2 943	2 928	2 629
		3 359	3 138	3 169
<b>Net Cash outflow on Operating Activities</b>	15(b)	(3 208)	(3 507)	(2 930)
<b>CASH FLOW FROM INVESTING ACTIVITIES</b>				
Purchase of Property, Plant & Equipment	15(c)	(561)	(250)	(130)
<b>Net Cash outflow on Investing Activities</b>		(561)	(250)	(130)
<b>Net Cash outflow on Operating and Investing Activities</b>		(3 769)	(3 757)	(3 060)
<b>GOVERNMENT FUNDING ACTIVITIES</b>				
Consolidated Fund Recurrent Appropriation		4 217	4 217	3 592
Consolidated Fund Capital Appropriation		45	45	—
<b>Total Net Cash Provided by Government</b>		4 262	4 262	3 592
<b>Net Increase/(Decrease) in Cash</b>		493	505	532
<b>OPENING CASH BALANCE</b>	6	1 084	1 084	552
<b>CLOSING CASH BALANCE</b>	6	1 577	1 589	1 084

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 1996

**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 Statements are a general purpose financial report and have been prepared in accordance with Statements of Accounting Concepts, applicable Australian Accounting Standards (AAS), the requirements of the Public Finance and Audit Act and Regulations, Financial Reporting Directives published in the Financial Reporting Code Under Accrual Accounting for Inner Budget Sector Entities (the Code) and other mandatory, professional reporting requirements (Urgent Issues Group Consensus Views).

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.

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 measured at nominal amounts as per AAS 30, "Accounting for Employee Entitlements".

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

Since all on costs relating to long service leave (e.g. Payroll Tax) are the responsibility of individual agencies, such amounts are not included in the non monetary revenue account, but provided for in the Current Liabilities - Provisions.

As the Government Records Repository (GRR) is an off-budget sector activity it is required to meet all liabilities for both long service leave and superannuation. As a contributor to the Non-Budget Long Service Leave Pool GRR makes long service leave payments directly to the employees and subsequently receive reimbursement from the pool for all of the payments made. Therefore as per para 41 of AAS 30, the amount of payments expected to be made to employees and an equivalent amount being the sum expected to be reimbursed by the pool had been recognised as liabilities and assets separately. Nominal method was used in calculating the liability and expense for long service leave entitlements since the difference arising from the use of the nominal method compared to the use of a present value calculation, does not result in a material difference in the financial statements. In respect of Superannuation, payments are made to the State Authorities Superannuation Board on an estimated fully funded basis. Information

regarding unfunded superannuation will be provided to Treasury directly by the Government Actuary.

Liability for non-vesting sick leave entitlements has not been recognised in the financial statements as sick leave taken by the Authority's employees each year is unlikely to be more than the sick leave accrued during the year.

- 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 1994.

The Authority's archive collection, which will be retained in perpetuity, is valued at \$1. 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 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. Major depreciation periods are:

Buildings	40 years
Furniture and Fittings	10 years
Computers	4 years
Plant and Equipment	7 years
Assets under lease	3-4 years

- d) Inventories are valued at the lower of cost or net realisable value. Cost is determined using the "first in first out" method of stock valuation.
- e) Finance leases, which effectively transfer to the economic entity substantially all the risks and benefits incidental to ownership of the leased item, are capitalised at the present value of the minimum lease payments. These are disclosed as Assets under lease and amortised over the period the Authority is expected to benefit from the use of the leased assets.

Operating lease payments, where the lessor effectively retains substantially all the risks and benefits of ownership of the leased items, are included in the determination of the operating profit in equal installments over the lease term.

### 3. BUDGET REVIEW

The actual net cost of services was lower than budget by \$521 000. This favourable variance is as a result of the increase in storage income and savings made in other operating expenditure.

**ARCHIVES AUTHORITY OF NEW SOUTH WALES**  
**Notes to and Forming Part of the Financial Statements**  
For the year ended 30 June 1996

	<b>1996 \$'000</b>	<b>1995 \$'000</b>
<b>4. EXPENSES</b>		
(a) Employee related expenses comprise the following specific items:		
Salaries and wages	2 929	2 709
Payroll tax and fringe benefit tax	201	190
Recreation leave	224	196
Workers compensation insurance	59	34
Superannuation	300	278
Long service leave	98	84
	<u>3 811</u>	<u>3 491</u>
(b) Other operating expenses comprise the following specific items:		
Rent	1 304	1 304
Gas and Electricity	224	204
Minor Stores	75	75
Consultants	108	39
Motor Vehicle Expenses	149	164
Postage, Telephone and Printing	185	116
Promotional Advertising	13	22
Other	540	499
	<u>2 598</u>	<u>2 423</u>
(c) Depreciation & Amortisation are charged as follows:		
Buildings	353	370
Office Furniture & Fittings	38	38
Office Equipment	4	—
Computers	24	33
Amortisation — Motor Vehicles under lease	13	4
— Equipment under lease	1	—
	<u>433</u>	<u>445</u>

**ARCHIVES AUTHORITY OF NEW SOUTH WALES**  
**Notes to and Forming Part of the Financial Statements**  
For the year ended 30 June 1996

	<b>1996 \$'000</b>	<b>1995 \$'000</b>
(d) Abnormal Items:		
Downward revaluation of land	—	250
	—	250
<b>5. REVENUES</b>		
(a) User charges comprise the following items:		
Sale of Publications	73	57
Sale of Microfilm	8	6
Sale of Boxes	85	42
Sale of Souvenirs	8	3
	174	108
(b) Grants & Subsidies comprise the following items:		
Ministry for the Arts - Rental Increase Funding	—	120
	—	120
(c) Other comprise the following items:		
Storage	1 944	1 581
File Retrieval	632	475
Consultancy	206	189
Interest Received	97	37
Photocopies	65	60
Royal Commission	11	6
Training	55	64
Destruction	168	119
Other	34	72
	3 212	2 603

ARCHIVES AUTHORITY OF NEW SOUTH WALES  
**Notes to and Forming Part of the Financial Statements**  
For the year ended 30 June 1996

	1996 \$'000	1995 \$'000
(d) State Accepted Liabilities		
Superannuation	201	188
Long Service Leave	50	53
	<u>251</u>	<u>241</u>
6. CURRENT ASSETS — Cash		
Cash at Bank	1 576	1 083
Cash on Hand	1	1
	<u>1 577</u>	<u>1 084</u>
7.a) CURRENT ASSETS — Receivables		
Trade debtors	260	129
Accrued Income	266	226
Prepayments	22	16
Security Deposits	1	1
Other	80	54
	<u>629</u>	<u>426</u>
There is no provision for doubtful debts as all trade debts are considered collectible.		
7.b) NON CURRENT ASSETS — Receivables		
Long Service Leave — Receivables (Note 2(3)a)	175	169
	<u>175</u>	<u>169</u>
8. CURRENT ASSETS — Inventories		
Finished Goods - at cost	70	96
	<u>70</u>	<u>96</u>

**ARCHIVES AUTHORITY OF NEW SOUTH WALES**  
**Notes to and Forming Part of the Financial Statements**  
For the year ended 30 June 1996

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

	Land [note (a)] \$'000	Buildings at valuation [note (a)] \$'000	Buildings work in progress \$'000	Office Furniture & Fittings \$'000	Computers \$'000	Plant and Equipment \$'000	Assets under lease \$'000	Total \$'000
<b>At cost or valuation</b>								
Balance 1 July 1995								
At Cost	—	—	261	443	168	—	74	946
At Valuation	4 250	14 100	—	—	—	—	—	18 350
Total	4 250	14 100	261	443	168	—	74	19 296
Additions/Transfer	—	—	729	—	6	62	24	821
Disposals/Transfer	—	—	—	(28)	—	—	—	(28)
Balance 30 June 1996								
At Cost	—	—	990	415	174	62	98	1 739
At Valuation	4 250	14 100	—	—	—	—	—	18 350
Total	4 250	14 100	990	415	174	62	98	20 089
<b>Accumulated depreciation</b>								
Balance 1 July 1995	—	235	—	170	112	—	4	521
Depreciation for the year	—	353	—	38	24	4	14	433
Writeback on disposal	—	—	—	(19)	—	—	—	(19)
Balance 30 June 1996	—	588	—	191	136	4	18	937
<b>Written Down Value</b>								
At 1 July 1995	4 250	13 865	261	273	56	—	70	18 775
At 30 June 1996	4 250	13 512	990	224	38	58	80	19 152

**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 1994 valuation was carried out by the Valuer General's Office.
- (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.
- (c) The details of fully depreciated assets, as at 30 June 1996 are as follows:
- |                        |           |
|------------------------|-----------|
| Computer hardware      | \$93 940  |
| Furniture and fittings | \$47 029  |
| Total                  | \$140 969 |

**ARCHIVES AUTHORITY OF NEW SOUTH WALES**  
**Notes to and Forming Part of the Financial Statements**  
For the year ended 30 June 1996

	1996 \$'000	1995 \$'000
<b>10.a) CURRENT LIABILITIES — Creditors</b>		
Creditors & Accrued Charges	85	227
	85	227
<b>b) CURRENT LIABILITIES — Other</b>		
Accrued Charges — Buildings — Work in Progress	398	165
Lease Liability	22	11
	420	176
<b>11. a) CURRENT LIABILITIES — Provisions</b>		
The movement in the provision for employee annual leave is as follows:		
Balance at beginning of financial year	210	203
Increase/(Decrease) in provisions	57	7
Balance at end of financial year	267	210
Long Service Leave — Payable to Employees (Note 2(3)a)	24	33
Long Service Leave — on costs	21	—
	312	243
Recreation leave paid has been charged directly to the operating statement.		
<b>b) NON CURRENT LIABILITIES — Borrowings</b>		
NSW Treasury Corporation	2 000	2 000
	2 000	2 000
The above loan was taken out for the purpose of funding the construction of Stage III at Kingswood (GRR). The maturity date of the loan is 01 July 1999. Interest is payable every 6 months.		
<b>c) NON CURRENT LIABILITIES — Other</b>		
LSL — Payments to employees (Note 2(3)a)	175	169
Lease Liability	60	60
	235	229

**ARCHIVES AUTHORITY OF NEW SOUTH WALES**  
**Notes to and Forming Part of the Financial Statements**  
For the year ended 30 June 1996

	1996 \$'000	1995 \$'000
<b>12. RESERVES — Asset Revaluation</b>		
Balance at beginning of financial year	4 267	4 828
Movements during the year	—	(561)
Balance at end of financial year	4 267	4 267

**13. COMMITMENTS FOR EXPENDITURE**

**(a) Capital Commitments**

Aggregate capital expenditure contracted for at balance date and provided for in the Current Liabilities - Other

Not later than one year	398	229
Later than one year but not later than 2 years	—	—
Later than 2 years but not later than 5 years	—	—
Later than 5 years	—	—
	398	229

This represents the balance payable on the supply and installation of shelving at the Government Records Repository at Kingswood. The value of the contract is \$530 505.00

**(b) Lease Commitments**

Aggregate operating lease expenditure contracted for at balance date but not provided for in the accounts:

Not later than one year	1 304	1 304
Later than one year but not later than 2 years	1 304	1 304
Later than 2 years but not later than 5 years	1 370	2 674
Later than 5 years	—	—
	3 978	5 282

This non cancellable lease represents the lease of 2 Globe Street, The Rocks. It is a 10 year lease commencing May 1989 with a two yearly review of rental commencing December 1990. The Authority, as a sub-lessee of the building, has been offered a new 4½ year memorandum of agreement, the conditions of which are still under negotiation.



**ARCHIVES AUTHORITY OF NEW SOUTH WALES**  
**Notes to and Forming Part of the Financial Statements**  
For the year ended 30 June 1996

	1996 \$'000	1995 \$'000
<b>(c) Lease Commitments — Finance Lease</b>		
Not later than one year	28	19
Later than one year but not later than 2 years	28	19
Later than 2 years but not later than 5 years	40	53
Later than 5 years	—	—
Total minimum lease payments	96	91
Future finance charges	(14)	(21)
Lease liability	82	70
Current liability	22	10
Non-current liability	60	60
	82	70

The finance leases represent the lease of three motor vehicles taken in 1994-95 and the lease of a reader-printer taken in 1995-96. Finance charges and amortisation expenses for the year ended 30 June 1996 amounted to \$9 200 and \$14 636 respectively.

**14. CONTINGENT LIABILITIES**

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

**15. NOTE TO CASH FLOW STATEMENT**

**(a) RECONCILIATION OF CASH**

For the purposes of the Statement of Cash Flows, 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 as shown in the Statement of Cash Flows is reconciled at Note 6.

**(b) RECONCILIATION OF CASH FROM OPERATING ACTIVITIES TO NET COST OF SERVICES**

<b>NET COST OF SERVICES AFTER ABNORMAL ITEMS</b>	<b>(3 637)</b>	<b>(3 941)</b>
Adjustments for items not involving cash:		
Acceptance by the Crown of Agency Liabilities	251	241
Depreciation	433	445
Other Non-cash Expenses	—	250
(Increase)/Decrease in Receivables	(131)	(42)
(Increase)/Decrease in Inventories	26	6
(Increase)/Decrease in Other Assets	(41)	(242)
Increase/(Decrease) in Payables	(118)	73
Increase/(Decrease) in Other Liabilities	—	280
Net (gain)/loss on sale of property, plant and equipment	9	—
<b>NET CASH FROM OPERATING ACTIVITIES</b>	<b>(3 208)</b>	<b>(2 930)</b>

	1996 \$'000	1995 \$'000
Purchases of Property, Plant and Equipment		
Additions at cost	797	130
Cash Paid	561	130
Disposal of Property, Plant and Equipment		
Cost or value	28	—
Less: Accumulated depreciation	(19)	—
Loss on sale	(9)	—
If applicable, 50% of the proceeds of any sale would have been transferred to the State.		
Interest Paid:		
Interest Paid on T-Corp Loan	154	154
	154	154
Notes	1996 \$'000	1995 \$'000

## 16. PROGRAM INFORMATION

**Budget Number and Program:** 69.1.1. 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	—	—
Other	(7 014)	(6 522)
<b>Total Expenses</b>	<b>(7 014)</b>	<b>(6 522)</b>

**Revenue**

User charges	174	108
Other revenue	3 212	2 723
Gain/(loss) on sale of non-current Assets	(9)	—

<b>Net Cost Of Services before Abnormal Items</b>	<b>(3 637)</b>	<b>(3 691)</b>
Abnormal Items	—	(250)

<b>Net Cost Of Services after Abnormal Items</b>	<b>(3 637)</b>	<b>(3 941)</b>
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Government allocations	(a) 4 513	3 833
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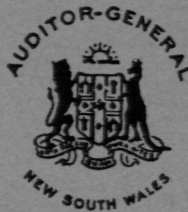
<b>Surplus/(Deficit) for the year</b>	<b>876</b>	<b>(108)</b>
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<b>Total Assets</b>	<b>21 603</b>	<b>20 550</b>
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	Notes	1996 \$'000	1995 \$'000
<hr/>			
(a) Government Allocations			
Consolidated Fund recurrent appropriation		4 217	3 592
Consolidated Fund capital appropriation		45	—
State acceptance of liabilities		251	241
		<hr/>	<hr/>
		4 513	3 833
		<hr/>	<hr/>
17. AUDIT FEES			
The fee for the audit of the Authority's accounts and records by the Audit Office of New South Wales was		22	19
		<hr/>	<hr/>

The Auditor-General received no other benefits.

End of audited Financial Statements.



BOX 12 GPO  
SYDNEY NSW 2001

## INDEPENDENT AUDIT REPORT

### THE 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 1996. The preparation and presentation of the financial statements 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 Board 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*, Accounting Standards and other mandatory professional reporting requirements (Urgent Issues Group Consensus Views) so as to present a view which is consistent with my understanding of the Authority's financial position, the results of its operations and its cash flows.

This audit opinion expressed in this report 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 sections 41B and 41BA of the Act and present fairly in accordance with applicable Accounting Standards and other mandatory professional reporting requirements the financial position of the Authority as at 30 June 1996 and the results of its operations and its cash flows for the year then ended.

A handwritten signature in dark ink, reading "M. T. Spriggins".

M. T. SPRIGGINS, ACA

DIRECTOR OF AUDIT

(duly authorised by the Auditor-General of New South Wales  
under section 41C(1A) of the Act)

SYDNEY  
13 August 1996

**Budget Number and Program: 69.1.1 Archives Authority**  
**Detailed Budget in Accordance with Section 7 (1) (a) (iii) of Annual Reports (Statutory Bodies) Act, 1984 — For Financial Year 1995-96**

**Archives and Records Management Office**

<b>Item</b>	<b>Allocation 1995-96 (\$)</b>	<b>Expenditure 1995-96 (\$)</b>
<b>SALARIES AND PAYMENTS</b>		
A.100 Salaries and Wages, Penalties etc.	2 328 000	2 254 000
A.300 Overtime	40 000	44 000
A.500 Workers Compensation Insurance	33 000	33 000
A.700 Payroll Tax Expense	115 000	115 000
<b>Sub-total "A" Items</b>	<b>2 516 000</b>	<b>2 446 000</b>
<b>MAINTENANCE AND WORKING EXPENSES</b>		
B.200 Expenses in Connection with Building		
B.201 Rent	1 304 000	1 304 000
B.202 Rates	3 000	2 000
B.203 Maintenance	100 000	80 000
B.205 Cleaning	20 000	15 000
B.300 Subsistence and Transport		
B.301 Travelling and Subsistence	15 000	25 000
B.302 Motor Vehicles and Running Costs etc.	20 000	14 000
B.303 Training and Seminars	22 000	22 000
B.400 General Expenses		
B.401 Advertising and Publicity	19 000	13 000
B.402 Books and Periodicals	10 000	19 000
B.403 Fees for Services Rendered	238 000	111 000
B.404 Gas and Electricity	160 000	175 000
B.406 Other Insurance	42 000	24 000
B.407 Postal and Telephone	52 000	66 000
B.408 Printing	40 000	72 000
B.409 Stores and Equipment	253 000	210 000
B.412 Maintenance Contracts	13 000	11 000
<b>Sub total "B" Items</b>	<b>2 311 000</b>	<b>2 163 000</b>
<b>PROGRAM TOTAL</b>	<b>4 827 000</b>	<b>4 609 000</b>

Detailed Budget in Accordance with Section 7(1)(iii) of Annual Reports (Statutory Bodies)  
Act, 1984 — For Financial Year 1996-97

BUDGET ALLOCATION — 1996-97

Archives and Records Management Office

Item	Allocation 1996-97 (\$)
<b>REVENUE</b>	
CONSOLIDATED FUND — RECURRENT	4 359 000
ARCHIVES OFFICE REVENUE	180 000
RECORDS MANAGEMENT OFFICE REVENUE	80 000
INTEREST RECEIVABLE	10 000
USE OF RESERVES	149 000
ACCEPTANCE BY STATE OF AGENCY LIABILITIES	284 000
<b>Total Revenue</b>	<b>5 062 000</b>
<b>EMPLOYEE RELATED PAYMENTS</b>	
A.100 Salaries, Wages, Penalties etc.	2 626 000
A.300 Overtime	40 000
A.500 Workers Compensation Insurance	35 000
A.700 Payroll Tax	135 000
<b>Total Employee Related Payments</b>	<b>2 836 000</b>
<b>MAINTENANCE AND WORKING EXPENSES</b>	
B.201 Building Rent and Cleaning	1 337 000
B.202 Rates	3 000
B.203 Maintenance	100 000
B.205 Cleaning — Kingswood	20 000
B.301 Travelling and Subsistence	16 000
B.302 Motor Vehicles and Running Costs	20 000
B.303 Training and Seminars	15 000
B.401 Advertising	19 000
B.402 Books and Periodicals	15 000
B.403 Fees for Services Rendered	133 000
B.404 Gas and Electricity	180 000
B.406 Insurance	31 000
B.407 Postal and Telephone	70 000
B.408 Printing	30 000
B.409 Stores	79 000
B.412 Maintenance Contracts	13 000
<b>Total Maintenance And Working Expenses</b>	<b>2 081 000</b>
Archives Office Special Projects — Legislation	145 000
<b>TOTAL</b>	<b>5 062 000</b>

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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&C 7/8)	Manager (A&C12)	Manager (AG6)
SA, Disposal Project Officers (2)	Systems Co-ordinator  Systems Support Officer*  Clerical Officer	Processing Coordinator  Processing Supervisor, Kingswood	Assistant Conservator  Photographer	SA, Research SA, Reference Client Liaison Officer Publications Officer Reference Support Officers (2)*	Admin Officer Finance Officer Executive Assistant Records Officer Clerical Officer Receptionist OIC Technical Support	Deputy Manager Marketing Manager Senior Consultant SA, Consulting (2) Records Manager OIC Retrieval/Returns 2IC Retrieval 2IC Returns Admin Officer Clerical Officers (7) Drivers/General Assistants (3)	Senior Project Officers (2) Project Officers (4) Administrative Assistant

Establishment = 74

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

\*Pending outcome of job evaluation

June 1996

### PERMANENT STAFF AS AT 30 JUNE 1996

#### *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)*

Janet Knight (Acting Client Liaison Officer)

##### *Processing Co-ordinator*

Wendy Gallagher

##### *Client Liaison Officer*

Martyn Killion (on secondment)

##### *Senior Archivist, Disposal*

Leonie Jennings

##### *Microfilm Coordinator*

Vanessa Follett (Acting)

##### *Assistant Conservator*

Clara Cesarone

##### *Publications Officer*

Sandra Orellana

##### *Photographic Officer*

Vacant

#### *Archivists*

David Brumby

Rhonda Campbell

Vanessa Follett (part time) (on secondment)

Emily Hanna

Angela Kavuzlu (part time)

Fabian LoSchiavo

Lynette Milton (on secondment)

Janette Pelosi (on secondment)

Michael Smith

Fiona Sullivan

Laraine Tate

Kathleen Verdich

#### **Corporate/Support Services**

##### *Senior Administrative Officer*

Surangani Kulasinghe

##### *Administrative Officer*

Gaye DeCelis

##### *Finance Officer*

Elizabeth Page

##### *Executive Officer*

Vacant

##### *Records Officer*

Bee Leong Pang

##### *OIC — Technical Support*

John Mangueret

##### *Microfilm Preparation Officer*

Jimena Galleguillos

##### *Clerical Officers*

Patricia Beavis

George Chapman

Andrew Delves

Rosana Guevara

Tuula Lepisto

Heather Lighezzolo

Dianne Morgan (part time)

Norbert Ricaud

Coral Searle

Bruce Wright (part time)

2 Vacancies

##### *Receptionist*

Vacant

## Appendix 2 (cont.)

### **Records Management Office**

---

*Manager*

David Roberts

*Snr Project Officer*

Catherine Robinson (Acting)

*Administrative Assistant*

Annette Lennon-Finch

### **Government Records Repository**

---

*Manager*

John Burke

*Deputy Manager*

Jennifer Stapleton

*Marketing Manager*

Sally Irvine-Smith

*Senior Consultant*

Deborah Sims

*Senior Archivist — Consulting*

Kate Musgrave

*Senior Archivist — Consulting*

Kristy Tiberi

*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*

Mary Cleanthous

Josephine Lee

Richard Taylor

4 vacancies

*Drivers/General Assistants*

Stephen Hauer

John McGuiggan

Tom Pittman

Temporary Appointments under Section 33-34 or 38 of the Public Sector Management Act 1988 for periods of up to two years.

### **RECORDS MANAGEMENT OFFICE**

*Project Officer, Electronic Recordkeeping*

Luisa Moscato

Karuna Raj

*Project Officer, Recordkeeping Standards*

Martyn Killion

Lynette Milton

*Project Officer, Keyword Thesaurus*

Susan Kennedy

### **ARCHIVES OFFICE**

*Project Archivist, Disposal*

Janette Pelosi

Lisa Poulier

# 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

## **Appendix 3 (cont.)**

persons with specific formal authorisation from the head of that agency (see *Archives Act*, 1960, Section 14 (6) (a), (b), (c) — extract attached as *Appendix A*). You should also treat as confidential any similar information given verbally by agency staff during the course of discussions on appraisal, transfer or access matters.

- 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, or for other official research purposes. You should not examine any restricted records or other material containing confidential information on individuals out of idle curiosity, or because someone you know may be mentioned in the records. It is essential that the privacy of living persons is protected at all times.
- 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.

## Appendix 3 (cont.)

- 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 organisations, 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

## Appendix 3 (cont.)

- ☐ 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

Reviewed annually  
Last revised March 1994

**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**

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#### **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**

Reference 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.

## **Appendix 4 (cont.)**

### **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 (66 Harrington Street, The Rocks, Sydney 2000; telephone: (02) 9237 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:*

66 Harrington Street  
The Rocks  
Sydney NSW 2000

*Telephone:*

(02) 9237 0254

*Repository:*

O'Connell Street  
Kingswood NSW 2747

(02) 9673 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. Individuals may access their own entry or file, 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).

**There were no FOI requests during 1995-96.**

## APPENDICES 5 – 8

### THE PROGRAMS OF THE ARCHIVES AUTHORITY

## COLLECTION SERVICES STATISTICS

(Figures are in metres unless otherwise specified)

Table 1 State of the collection as at 30 June 1996

<b>A. IN ARCHIVES AUTHORITY PREMISES</b>	
<b>Processed records</b>	
Archives Office strokes <sup>1</sup>	36 897
Regional strokes	858
Total strokes	37 755
Non-standard material <sup>2</sup>	155
<b>Total <sup>3</sup></b>	<b>37 910</b>
Maps/plans/documents	120 713 items
<b>Records awaiting appraisal/culling, processing</b>	
Accessioned records awaiting appraisal/culling	3 024 53.2 cubic metres of maps/plans
Unaccessioned records awaiting appraisal/culling	
archival storage	2 890
semi-active storage	c.1 478
Total	c.4 368
Total records awaiting appraisal/culling	7 392 53.2 cubic metres of maps/plans
Accessioned records awaiting processing	3 005 128.1 cubic metres of maps/plans
Unaccessioned records awaiting processing (semi-active storage)	c.926
Total records awaiting processing	3 931 128.1 cubic metres of maps/plans
Total records in semi-active storage awaiting appraisal/culling or processing	c.2 404
<b>Total records awaiting appraisal/culling, processing</b>	<b>11 323</b> <b>181.3 cubic metres of maps/plans</b>
<b>Total archival holdings in Archives Authority premises</b>	<b>49 233</b> <b>120 713 maps/plans/documents</b> <b>181.3 cubic metres of maps/plans</b>
Proportion of holdings awaiting appraisal/culling <sup>4</sup>	15.0%
Proportion of holdings awaiting processing <sup>4</sup>	8.0%
Proportion of holdings awaiting appraisal/culling and/or processing <sup>4</sup>	23.0%
<b>B. IN REGIONAL REPOSITORIES</b>	
	1 659 4 281 maps/plans
<b>C. TOTAL ARCHIVAL HOLDINGS</b>	
	50 892 metres 124 994 maps/plans/documents 1 813 cubic metres of maps/plans

## Appendix 5 (cont.)

<sup>1</sup> A "stroke" is a block of location numbers for "standard" material (boxes and volumes)

<sup>2</sup> Microfilms, tapes, discs, glass negatives, cassettes, videos, films etc.

<sup>3</sup> Increase is less than total metres processed as some of the yearly processing total is re-processing of records already in the collection

<sup>4</sup> Excludes maps and plans

**Table 2** Accessioning, destruction and processing of records

	City			Kingswood			Total		
	1993-94	1994-95	1995-96	1993-94	1994-95	1995-96	1993-94	1994-95	1995-96
<b>Quantity of records accessioned (metres):</b>									
non-continuing	166.5	67.92	57.2	430.59	129.03	593.17	597.09	196.95	650.37
continuing	194.29	337.53	58.73	844.33	167.25	786.51	1 038.62	504.78	845.24
for appraisal	290.84	257.07	187.17	40.77	205.35	418.04	331.61	462.42	605.21
total	651.63	662.52	303.1	1 315.69	501.63	1 797.72	1 967.32	1 164.15	2 100.82
<b>Other accessions:<sup>1</sup></b>									
microfilm (reels)	14	17	12	—	—	—	14	17	12
film (rolls)	—	20	—	—	—	—	—	—	—
cassettes	—	15	—	—	—	—	—	—	—
maps/plans	146	268	87	—	200	210	146	468	297
Quantity of records destroyed <sup>2</sup>	106.41	58.90, 2 rolls of 8 plans	—	109.58	22.00	73.21	215.99	80.90, 2 rolls of 8 plans	73.21
Net increase in holdings <sup>3</sup>			303.1			1 724.51	1 751.33	1 048.20 <sup>4</sup>	2 027.61
Quantity of records processed	468.61	229.21, 320 maps/plans	—	1 355.85	451.51, 21 microfilms	604.37	1 824.46	743.72 320 maps/plans 21 microfiche	604.37

<sup>1</sup> These figures relate to "non-standard" material, quantities of which cannot be readily expressed in metres.

<sup>2</sup> 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

<sup>3</sup> "Net increase" equals accessions minus destructions ("standard" records only)

<sup>4</sup> This does not take into account the 5.97 metres of records removed from the collection and transferred on loan to Charles Sturt University Regional Archives, Wagga Wagga

## PRESERVATION SERVICES STATISTICS

	1993-94	1994-95	1995-96
<b>Repair:</b>			
Manuscripts:			
<i>Paper</i>	3 327	2 005	7 518
<i>Parchment</i>	13	7	—
Maps	19	—	1
Plans	88	241	1
Prints and drawings	2 008	2 190	1 929
Encapsulation/lamination	228	702	138
<b>Binding, rebinding and repairs to binding:</b>			
State Archives	1	41	10
Reference books and guides	7	42	74
<b>Mounting for display in exhibitions</b>	48	2	38
<b>Preparing records for microfilming</b>	11 726	—	—
<b>Storage Containers:</b>			
Solander boxes	1	1	—
Phase preservation cases	460	8	41
Slip cases/map folders	603	—	4
<b>*In-house Microfilming Program:</b>			
Microfilms (35mm roll films):			
<i>Master negatives</i>	65	49	—
<i>Duplicate negatives</i>	30	162	138
<i>Positive print working copies</i>	41	300	230
Testing of microfilms:			
<i>Silver Sulphide Densitometric Method</i>	2	3	2
<i>Methylene Blue Photometric Method</i>	100	54	12

\* In-house Microfilming Program ceased in December 1995. Microfilm testing is an on-going program.

**REFERENCE SERVICES STATISTICS**

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

	<b>1994-95</b>	<b>1995-96</b>	<b>Variation (%)</b>
Number of new readers tickets issued	3 303	2 839	-14
Number of readers tickets renewed	1 362	1 715	25.9
Total readers tickets	4 665	4 554	-2.3
Proportion of new/total readers tickets	70.8%	62.3%	n/a
Number of daily undertakings (temporary tickets)	1 509	1 811	20
Total number of users	6 174	6 365	3
Average number of visits per user	2.6	2.6	0

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

	<b>1993-94</b>			<b>1994-95</b>			<b>1995-96</b>		
	<b>City</b>	<b>K/w</b>	<b>Total</b>	<b>City</b>	<b>K/w</b>	<b>Total</b>	<b>City</b>	<b>K/w</b>	<b>Total</b>
No. of originals issued (volumes/boxes)	9 293	11 929	21 222	11 676	10 712	22 388	11 698	13 462	25 160
No. of original maps issued	857	1 801	2 658	1 361	1 964	3 325	744	2 234	2 978
No. of aperture card maps issued	3 381	79	3 460	3 945	49	3 994	4 948	121	5 069
No. of microfilm reels issued	17 430	17 885	35 315	20 073	16 255	36 328	20 662	10 418	31 080
No. of microfiche issued	19 341	23 184	42 525	15 144	17 475	32 619	17 734	20 388	38 122
No. of CODs issued (Xerox copies of original documents)	4 581	815	5 396	5 106	997	6 103	4 609	965	5 574
Total no. of issues	54 883	55 693	110 576	57 305	47 452	104 757	60 395	47 600	107 985
Total no. of reader/visits	9 677	5 747	15 424	10 418	5 556	15 974	10 608	5 987	16 595
Average no. of issues per user	5.6	9.6	7.2	5.5	8.5	6.5	5.7	7.9	6.5



## Appendix 7 (cont.)

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

<b>Correspondence dealt with</b>	<b>1993-94</b>	<b>1994-95</b>	<b>1995-96</b>
Inquiries returned/referrals/forms sent	732	998	967
Non-standard correspondence	51	49	38
Quotations sent	522	525	531
Total written inquiries	1 305	1 572	1 536
<b>Paid Research:</b>			
Quotations accepted	346	406	423
Convicts Research Services	38 (*52)	69 (*78)	*90
Deceased Estate	32 (*55)	59 (*105)	*132
+Shipping	—	98	*95
+Bankruptcy	—	17	*16
+One Name Extraction	—	33	*68
+Source Analysis	—	—	—
Other paid research inquiries	2	—	—
Total paid research inquiries	418	682	821
<b>Revenue:</b>			
Quotations	16 423	21 838	23 055
Convict Research	4 107	12 288	7 105
Deceased Estates	1 287	2 562	2 950
Shipping	n/a	n/a	2 592
Bankruptcy	n/a	n/a	544
One Name Extraction	n/a	n/a	3 459
Source Analysis	n/a	n/a	0
Total revenue	21 817	36 688	39 705
Refunds	1 035	1 492	1 466
<b>Net revenue</b>	<b>\$20 782</b>	<b>\$35 196</b>	<b>\$38 239</b>
Telephone inquiries	6 564	6 375	6 386
Permission to publish	87	74	62

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

+ These services were introduced in October 1994

## Appendix 7 (cont.)

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

	1993-94	1994-95	1995-96
<b>Activities for which fees were charged</b>	26	34	25
<b>Free talks/tours for groups</b>	23	44	38
<b>Individual visitors:</b>			
Archivists/librarians, etc.	4	27	15
Work experience students	18	4	13
<b>Other:</b>			
Papers given at outside conferences	—	1	—
Stalls/publicity activities	2	1	4

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

	1993-94			1994-95			1995-96		
	City	K'wood	Total	City	K'wood	Total	City	K'wood	Total
<b>In the Search Rooms:</b>									
Photocopies	23 106	24 253	47 359	24 128	24 365	48 493	28 633	26 144	54 777
Reader/Printer copies	8 555	3 562	12 117	8 057	3 112	11 169	8 871	3 804	12 675
Aperture Card negatives	153	121	274	238	127	365	148	59	207
Photographic prints	92	3	95	144	—	144	55	2	57
<b>Arising from Written Inquiries:</b>									
Photocopies			4 317			4 313			4 762
Reader/Printer copies			721			1 007			1 520
Aperture Card negatives			99			120			126
Photographic prints			17			7			19
<b>Totals:</b>									
Photocopies			51 676			52 806			59 539
Reader/Printer copies			12 838			12 176			14 195
Aperture card negatives			373			485			333
Photographic prints			112			151			76
<b>Unpublished microfilms</b>			40			61			62

### CURRENT PUBLICATIONS OF THE ARCHIVES AUTHORITY

*External publications which the Archives Authority purchases at a wholesale rate for resale in its Search Rooms have not been included.*

*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 of Letters Received, 1826-1900

## Appendix 8 (cont.)

- 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
- 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) Publications in Microform

- 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).
- 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).

## **Appendix 8 (cont.)**

### **(e) Other Publications**

- Annual Reports of the Archives Authority of New South Wales
- ArchiVista: News and Views from the State Archives
- For The Record: Managing Records in the New South Wales Public Sector
- Destruction of Records - A Practical Guide

### **(f) Greeting Cards**

- The Spectre by Harold Cazneaux
- Waiting for the Ferry by Harold Cazneaux
- Circular Quay West and the Harbour Bridge by Harold Cazneaux
- Six Ferries and the Sydney Skyline by Harold Cazneaux

### **(g) Maps**

- An outline of the settlement of New South Wales, 1817
- Plan of the Settlement and Garrison Farm, Norfolk Island, May 1829
- Major Mitchell's Map of the Colony of New South Wales, 1834

### **(h) Posters**

- Sydney Harbour Bridge Celebrations, 1932
- The Australian Mail Steamer "Orient"
- Waiting for the Ferry by Harold Cazneaux

### **(i) Souvenirs**

- Plague Proclamation tea towel
- Emigration Poster tea towel
- Ticket of leave blank
- Family History Starter Kit

### **(j) 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

4 General Records Disposal Schedule — Accounting Records

5 General Records Disposal Schedule — Administrative Records

### **(k) Records Management Publications**

1 File format

2 File creation

12 Handle with Care

16 Alphabetical Filing

17 Managing Mail

18 Records and Recordkeeping

19 What is Records Management?

20 Australian Standards AS4390, Records Management

21 Documenting the Future

### **(l) Government Records Repository Publications**

- The General Records Disposal Schedule for Local Government in New South Wales
- Records Management Checklist for Local Government

