

ARCHIVES AUTHORITY OF NEW SOUTH WALES

ANNUAL REPORT

1991-92



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

30 October 1992

Dear Mr Collins,

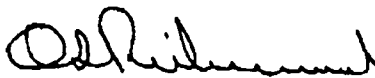
The Archives Authority of New South Wales takes pleasure in forwarding, for presentation to Parliament in accordance with the provisions of the Annual Reports (Statutory Bodies) Act, 1984 and of the Archives Act, 1960, its thirty second Annual Report and Financial Statements, covering the year ended 30th June 1992.

On behalf of the Authority,

Yours sincerely,



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



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



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

NEW SOUTH WALES



Minister for the Arts

It is a matter of considerable pride to report that the Archives Authority of New South Wales has achieved outstanding results during 1991-92.

The Government Records Repository remains the leader among government Archives in the field of commercialised repository storage and associated services. The Repository continued to operate successfully as an off-budget organisation, recording an 80% increase in its operational surplus (\$515 000 in 1991-92). The Repository's success has also enabled the Authority to break new ground in being able to substantially self-fund new building projects. Work on the construction of urgently-needed accommodation for records and staff will begin during 1992-93, with the Repository meeting more than 80% of the total cost of almost \$5M from its own funds and a Treasury loan.

The past year was one of consolidation for the Authority in the areas of statutory reform and re-structuring. Copies of the discussion paper on amending the Archives Act were sent to the Chief Executive Officers of ten selected agencies for comment, and the suggestions received will be incorporated in the proposed legislation where appropriate. The re-structuring of the Archives Office, instituted in February 1991, continued to pay dividends in the form of increased productivity and greater flexibility in the deployment of staff.

It is also gratifying to note that, for the first time in many years, researchers can gain access to the 33 kilometres of State archives through one source — the second edition of the *Concise Guide to the State Archives of New South Wales*. This 2 100 page publication is the Authority's main control guide, and is a major research tool for historians and other researchers. It was published on microfiche in March 1992, and has been enthusiastically received by the research community.

Substantial progress has also been made in improving the efficiency of Authority services to the public, with the introduction of a new, streamlined user-pays mail-order research service, a first among government Archives in Australia. Also completed during the year was a completely revised edition of the Personnel Records section of the General Records Disposal Schedule. This identifies permanently valuable personnel records, and provides for the on-going destruction of large quantities of routine records, resulting in substantial cost savings to government.

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

A stylized, handwritten signature in black ink, likely belonging to Peter Collins.

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

**REPORT
of the
ARCHIVES AUTHORITY
OF NEW SOUTH WALES
1991-92**

Table of Contents

Index to Annual Report Requirements.....	ix
I The Archives Authority Of New South Wales	1
Charter.....	1
Mission	1
Objectives	1
Membership	2
Attendances at Meetings	3
Committees	4
The Authority's Senior Managers	4
Membership of Professional Organisations.....	5
Structure.....	5
Directory.....	6
II Overview 1991-92	7
Priority Objectives/ Achievements	7
Other Highlights	9
Legislation.....	10
Financial Strategy and Operations	10
The Archives	11
Accommodation	11
Staff Establishment and Restructuring	12
Program Review	12
Records Management Office	12
Photographic Service	13
Stock control/ publication program	13

Records management — the Records Management Office	16
Financial Management.....	16
Consultancy	16
Training	17
Keyword Classification Program	17
Publications.....	18
Performance Measurement.....	18
Records storage and associated services — the Government	
Records Repository.....	18
Strategy.....	19
Performance Measurement.....	19
Financial Management.....	19
Accommodation	20
Staff.....	21
Holdings	21
Non-State Government Records	22
Records Retrieval Service.....	23
Disposal of Records	24
Consultancy Services.....	24
Archives Processing and Reference Work.....	25
Records disposal, archives processing, preservation and use —	
the Archives Office	25
Disposal Services	25
Disposal — Policy and Practice.....	25
Retention of public records.....	26
Destruction of public records	26
Disposal Schedules	26
Other Services.....	27

Systems	27
The Concise Guide	27
Royal Commissions	28
Other Activities	29
Collection Services	29
Accessions	30
Processing	31
State Archives on Loan	32
Preservation Services	33
Parliamentary Archives	34
Client Services	34
Public Access and Use	35
General trends	36
Search Room Services	36
Performance Measurement	37
Regional Repositories	37
Official Use of State Archives	37
Research Service	38
Extension and Educational Activities	39
Exhibitions	40
Publications	41
Photographic Service	42
Freedom of Information	43
Performance Measurement — Overview	44
Records Management Office	44
Government Records Repository	44
Archives Office	45
Collection Services	45
Client Services	45
Search Room Services	45
Research Service	46

Publications.....	46
Photographic Service	46
Consumer Response.....	47
Archives Office	47

IV CORPORATE SERVICES	48
------------------------------	-----------

Human Resources	48
Staffing	48
Consultants and Contractors	49
Structural Efficiency Principle (SEP).....	50
Equal Employment Opportunity (EEO)	50
Staff Training And Staff Development	51
Leave	51
Promotions And Appointments	51
Resignations, Retirements And Transfers	52
Professional Activities.....	52
Financial Resources.....	55
Expenditure of Financial Resources	56
Revenue	56
Capital Works	57
Payment Performance Indicators	57
Risk Management and Insurance.....	58

V Financial Report	59
---------------------------	-----------

Statement from the Archives Authority.....	60
Contents of the Notes to the Financial Statements	61
Operating Statement	62
Statement of Financial Position.....	63
Statement of Cash Flows	64
Notes to and forming part of the Financial Statements	65
Auditor-General's Certificate	77

Detailed Budget for 1991-92	78
Budget for 1992-93	79

VI Additional Information	81
----------------------------------	-----------

Appendices 1-4 — Corporate Services

Appendix 1: Organisation Structure	83
Appendix 2: Permanent Staff	84
Appendix 3: Code of Conduct	86
Appendix 4: Stores and Equipment Purchases	90

Appendix 5 — Freedom of Information

Part 1: Supplementary Information required under the FOI Act ...	92
Part 2: Freedom of Information Statistics	94

Appendices 6-10 — The Programs of the Archives Authority

Appendix 6: Government Records Repository — Analysis of Holdings	99
Appendix 7: Collection Services Statistics	102
Appendix 8: Preservation Services Statistics	103
Appendix 9: Client Services Statistics	
Table 1 — Number of Users	104
Table 2 — Search Room Statistics	104
Table 3 — Research Service Statistics	105
Table 4 — Extension Service Statistics	106
Table 5 — Photographic Service Statistics	107
Appendix 10: List of publications	108

INDEX TO ANNUAL REPORT REQUIREMENTS

Access	6	Land Disposal.....	20
Additional requirements (cost and number of copies).....	56	Legal Change	7, 10
Aims and Objectives	1	Major Assets.....	70
Budgets	78-79	Major Works	57
Charter.....	1	Management — Activities	7-51
Chief and Senior Executive Officers Performance	n/a	Management — Structure	2-5, 83
Code of Conduct	86-89	Payment of Accounts	57-58, 90
Consultants.....	49	Performance Measures	18-20, 22-24, 32, 37, 39, 41, 43-47
Consumer Response.....	47	Promotion/Publications.....	39-42, 92-93, 108-111
Equal Employment Opportunity.....	50	Report of Operations.....	16-47
Factors Affecting Achievement of Operational Objectives	7-14	Research and Development.....	n/a
Financial Report.....	59-79	Risk Management/Insurance.....	58
Grants to Community Organisations	n/a	Subsidiaries/Partnerships etc	n/a
Human Resources	48-55	Summary Review of Operations.....	7-14
Investment/Liability Management Performance	20	Time for Provision of Services	23-24, 37, 39, 43-47

I THE ARCHIVES AUTHORITY OF NEW SOUTH WALES

CHARTER

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

MISSION

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

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

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

Through the successful pursuit of its mission, the Authority hopes to evolve into one of the best and most progressive archives and records services in the world.

OBJECTIVES

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

- ☐ To promote sound and efficient records management practices throughout the New South Wales Public Service
- ☐ To provide centralised, and cost-effective, repository facilities for the bulk storage and retrieval of the semi-active records of public offices
- ☐ To identify and preserve as State archives all non-current public records which are of permanent value, including records which document government policy, determination and action; or which embody citizens' legal rights and document information about their existence and identity; or which are valuable for research on any aspect of the history of the State, its communities, individuals, lands and man-built environs
- ☐ To make the State archives available for public access and use in accordance with the provisions of the Archives Act and the policies of the government of the day
- ☐ To identify public records which have no permanent value and arrange for their speedy and economic destruction immediately they cease to be of administrative use to the offices which created them

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

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

- ☐ one is to be nominated jointly by the President of the Legislative Council and the Speaker of the Legislative Assembly
 - Mr John D. Booth, B.A., LL.B., former M.L.A. for Wakehurst (member to 31 December 1991)
 - The Hon. John F. Ryan, B.A. (Hons.), Dip.Ed., M.L.C. (member from 1 January 1992)
 - Member, Western Sydney Economic Development Committee
 - Member, Legislative Council Standing Committee on Social Issues
- ☐ one is to be nominated by the Chief Justice of the Supreme Court
 - The Hon. Justice Thomas W. Waddell, Q.C., Chief Judge in Equity, Supreme Court of New South Wales
 - Chairman, Board of Management, Seymour Theatre Centre
 - Director, Earth Foundation Australia Ltd
- ☐ one is to be nominated by the Premier
 - Mr David T. Richmond, M.Ec. (Deputy Chairperson)
 - Executive Director, Benevolent Society of NSW
 - Chairman, NSW Government Accessible Transport Forum
 - Member, Home Care Service Advisory Board
 - Member, Guardianship Board of NSW
- ☐ six are to be nominated by the Minister and must include at least one person who has knowledge of, or experience in, tertiary education
 - Dr Arthur J. Davies, B.Ec., M.Sc. (Econ.)(Lond.), Ph.D., Dip.Ed., former Senior Lecturer in Politics, University of New England (member to 31 December 1991)
 - Professor Brian H. Fletcher, M.A., Ph.D., Dip.Ed., F.R.A.H.S., Department of History, University of Sydney (member to 31 December 1991)
 - Mr Graham R. Ireland, LL.B.
 - Consultant to Abbott Tout Russell Kennedy — Solicitors
 - Executive Advisor to Insurance Council of Australia
 - Board member, WorkCover Authority of NSW

- Associate Professor Beverly Kingston, B.A. (Hons.), Ph.D., School of History, University of New South Wales
- Dr Kenneth W. Knight, M.Ec., Ph.D., A.L.A.A., F.R.A.I.P.A. (Chairperson), formerly Principal, Kuring-gai College of Advanced Education (
 - Council Member, Society of Australian Genealogists
 - Council Member, Royal Australian Historical Society
- Mr F. Evan Williams, Secretary, Ministry for the Arts
 - Member, NSW Publications Classification Board
- Mr Karl G. Schmude, B.A., Dip.Lib., M.Litt., University Librarian, University of New England (member from 1 January 1992)
 - Chairperson, NSW Committee, Australian Council of Libraries and Information Services (ACLIS)
- Mrs Gabrielle Kibble, B.A., Dip.T.C.P. (member from 1 January 1992)
 - Director, Department of Planning/Department of Housing
 - Member, Heritage Council of NSW
 - Member, Central Sydney Planning Committee

ATTENDANCES AT MEETINGS

There were six meetings of the Archives Authority during 1991-92. The attendances were as follows:

Dr K.W. Knight (Chairperson).....	6
Mr J.D. Booth (Term expired 31 December 1991).....	3
Dr A.J. Davies (Term expired 31 December 1991)	3
Professor B.H. Fletcher	0
(Term expired 31 December 1991. Excused for his absence from three meetings)	
Mr G.R. Ireland	5
(Excused for his absence from one meeting)	
Mrs G. Kibble	1
(Appointed 1 January 1992. Excused for her absence from two meetings)	
Associate Professor B. Kingston.....	6
Mr. D.T. Richmond (Deputy Chairperson).....	6
The Hon. J.F. Ryan.....	2
(Excused for his absence from 1 meeting)	
Mr K.G. Schmude (Appointed 1 January 1992)	3
The Hon. Justice T.W. Waddell	5
(Excused for his absence from one meeting)	
Mr. F.E. Williams.....	3
(Excused for his absence from three meetings)	

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

Mr Booth, Dr Davies and Professor Fletcher all retired as members of the Authority upon the expiry of their terms of office on 31 December 1991. Mr Booth had been a member since 1989, while Dr Davies had served since 1987 and Professor Fletcher since 1982.

At its meeting on 13 December 1991, the Authority expressed regret at the retirement of Mr Booth, Dr Davies and Professor Fletcher. It noted that their departure would be a great loss, as they had all made significant contributions to the work of the Authority, and conveyed to them its best wishes for the future. On 19 April 1992 a farewell dinner was held to mark the contributions of the three retiring members to the work of the Archives Authority.

The Hon. J. Ryan, Mr K. Schmude and Mrs G. Kibble were appointed as members of the Authority from 1 January 1992.

COMMITTEES

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

Two longstanding committees, the Publications Committee, established in 1978, which is responsible for planning and overseeing its publication program, and the Committee on Culling of Documents Relating to Primary Applications, established in 1987, which is responsible for surveying blocks of unfiled records from the Land Titles Office and developing culling guidelines, were dormant for the entire year. These Committees are very much dependent upon input from the staff who were heavily involved in other projects and on other committees throughout the year. The future of the Publications Committee is under review, as planning and co-ordination of the publications program is now carried out by Archives Office staff.

The Authority's third Committee, a Task Force on Guidelines for Machine Readable Records, was approved by the Premier on 28 December 1989 with the following terms of reference: "to develop guidelines and standards for machine readable records in the New South Wales Government sector, with particular reference to their creation, format, updating, maintenance, storage, disposal, access, and, in respect of records identified as having long-term value, their permanent preservation". The Task Force is chaired by the Principal Archivist with representation from the Attorney General's Department, the Auditor General's Department, First State Computing, the Land Titles Office, the Premier's Department, the State Library and the Treasury.

THE AUTHORITY'S SENIOR MANAGERS

Principal Archivist/Chief Executive Officer	Mr John Cross, B.A., Dip.Lib.
Deputy Principal Archivist/Secretary to the Authority	Mrs Frances Lemmes, B.A., M.Lib., A.L.A.A.
Senior Administrative Officer	Mr Bernard Edwards

Manager, Government Records Repository	Mr John Burke, B.A., Dip.Lib., Dip.Arch.Admin.
Deputy Manager, Government Records Repository	Ms Jennifer Stapleton, B.A., Dip.Arch.Admin.
Manager, Disposal Services	Ms Amanda Barber, B.A., Dip.Arch.Admin.
Manager, Systems	Mrs Christine Shergold, B.A., Dip.Lib., Dip.Arch.Admin.
(Acting) Manager, Collection Services	Mr Richard Gore, B.A., Dip.Lib.
Manager, Preservation Services	Mr John Davies, A.M.N.
(Acting) Manager, Client Services	Ms Gail Davis, B.A., Dip.Arch.Admin.

MEMBERSHIP OF PROFESSIONAL ORGANISATIONS

In order to keep informed of developments in archives administration and in the information community generally, both in Australia and overseas, the Archives Authority is a member of the International Council on Archives, the Australian Society of Archivists, the Australian Council of Archives, the State and Territory Archivists Group, 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.

STRUCTURE

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

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

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

Following the restructuring of the Archives Office in February 1991, the Technical and Reference Services Divisions were broken up into the following five sub-sections:

- ☐ Disposal Services
- ☐ Systems
- ☐ Collection Services
- ☐ Preservation Services
- ☐ Client Services

An interim Organisation Chart is attached, as Appendix 1.

THE ARCHIVES AUTHORITY OF NEW SOUTH WALES DIRECTORY

Archives Office of New South Wales

"The State Archives" Building
2 Globe Street
The Rocks
SYDNEY NSW 2000

Telephone:

(02) 237 0200 (Switch)
(02) 237 0254 (Reference enquiries)
(02) 237 0149 (Administration)

Records Management Office of New South Wales

"The State Archives" Building
66 Harrington Street
The Rocks
SYDNEY NSW 2000

Telephone:

(02) 237 0121

Government Records Repository

O'Connell Street
KINGSWOOD NSW 2747

Telephone:

(02) 673 1788

Postal Address:

PO Box 516, KINGSWOOD NSW 2747

PUBLIC ACCESS — HOURS OF OPENING

Search Room and Exhibition, City*Monday - Friday:*

9.00 am - 5.00 pm

Saturday:

10.00 am - 4.00 pm

Search Room, Kingswood Repository*Tuesday - Friday:*

9.00 am - 5.00 pm

Saturday:

10.00 am - 4.00 pm

Closed Sundays and Public Holidays

II OVERVIEW 1991-92

The Authority is pleased to report that, despite constraints on resources and the continuing recession, successful outcomes have been achieved in virtually all the key result areas of the Corporate Strategy.

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

As part of the Authority's Corporate Strategy, priority objectives for 1991-92 were formulated in five key areas:

☐ Statutory Reform

- to develop new public records legislation for New South Wales
- to complete the work of the New South Wales Task Force on Machine Readable Records

Review of the State's archival legislation continues to have a high priority in the Authority's Corporate Strategy. Copies of the discussion paper on the subject were sent to the Chief Executive Officers of ten selected agencies for comment, and the suggestions received will be incorporated in the proposed legislation where appropriate.

During the year the New South Wales Task Force on Machine Readable Records participated in the work of the Audit, Probity and Security Subcommittee of the Electronic Data Interchange Co-ordinating Committee. The Task Force was unable to complete its work during the year, due in part to the fact that key members had to devote much of their time to more pressing concerns, and in part to changing attitudes amongst American and Australian archivists to the methods which should be adopted in addressing problems with preserving and accessing machine readable records.

☐ Client Services

- to convert the Research Service to full user pays
- to complete the *Concise Guide* by December 1991 with a view to publishing it in early 1992

Both the Research and Photographic Services were successfully placed on a full cost-recovery basis by January 1992. The publication of the second edition of the *Concise Guide* was one of the Authority's major priorities for 1991-92. This publication consists of 2 079 pages of text plus introductory notes, and has been produced on 22 microfiche together with a printed handbook. It was published in March 1992, and has been warmly received by staff and clients.

PRIORITY
OBJECTIVES/
ACHIEVEMENTS

The Records Management Office was placed under the control of the Government Records Repository from 1 July 1991, but continuing revenue, operational and staffing difficulties resulted in the management of the Office being transferred to the Archives Office in November 1991. A program review of the Records Management Office has recently been completed, and its future direction, role and structure are under consideration.

A business plan for the Government Records Repository was completed by June 1992.

OTHER HIGHLIGHTS

During the year the Authority assumed responsibility for the records of the Chelmsford Royal Commission. These records continue to be used heavily, with requests for access or information being received from crown law officers, doctors, solicitors acting on behalf of ex-patients, and members of the public.

Disposal staff have produced a completely revised edition of the Personnel Records section of the *General Records Disposal Schedule*. This publication identifies permanently valuable personnel records, and provides for the efficient, on-going destruction of large quantities of routine records.

On 13 December 1991, the Minister for the Arts, the Hon. Peter Collins, Q.C., M.P., visited and inspected the Government Records Repository at Kingswood.



The Hon. P. Collins, Q.C., M.P., Minister for the Arts; Dr K. Knight, Chairman of the Authority; and Mr D. J. Cross, Principal Archivist; at the Kingswood Repository, 13 December 1991

The Records Management Office was placed under the control of the Government Records Repository from 1 July 1991, but continuing revenue, operational and staffing difficulties resulted in the management of the Office being transferred to the Archives Office in November 1991. A program review of the Records Management Office has recently been completed, and its future direction, role and structure are under consideration.

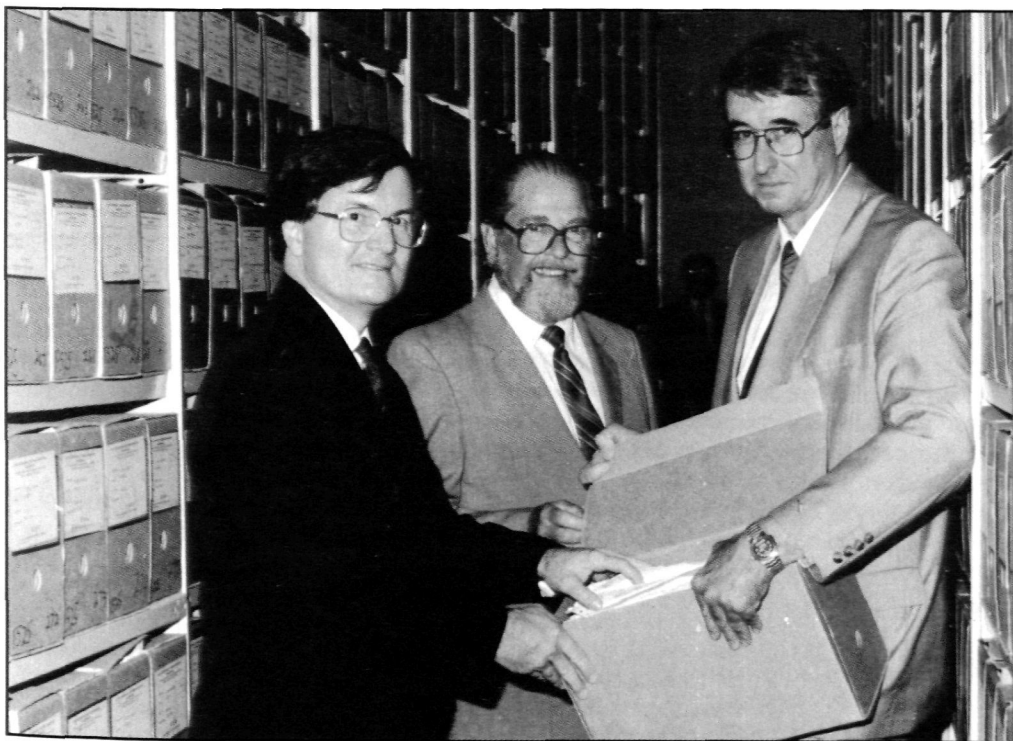
A business plan for the Government Records Repository was completed by June 1992.

OTHER HIGHLIGHTS

During the year the Authority assumed responsibility for the records of the Chelmsford Royal Commission. These records continue to be used heavily, with requests for access or information being received from crown law officers, doctors, solicitors acting on behalf of ex-patients, and members of the public.

Disposal staff have produced a completely revised edition of the Personnel Records section of the *General Records Disposal Schedule*. This publication identifies permanently valuable personnel records, and provides for the efficient, on-going destruction of large quantities of routine records.

On 13 December 1991, the Minister for the Arts, the Hon. Peter Collins, Q.C., M.P., visited and inspected the Government Records Repository at Kingswood.



The Hon. P. Collins, Q.C., M.P., Minister for the Arts; Dr K. Knight, Chairman of the Authority; and Mr D. J. Cross, Principal Archivist; at the Kingswood Repository, 13 December 1991

In November 1990, the Authority's Sub-committee on Amending the Archives Act submitted to the Minister the discussion paper *Government Records in New South Wales from 1788 to the 21st Century: A Proposal for Public Records Legislation for New South Wales*. In October 1991 this paper was sent to the Chief Executive Officers of ten selected agencies (including the Crown Solicitor, Attorney General, Health, School Education and the ICAC). A number of useful comments and practical suggestions were received in reply and these will be incorporated into the proposed legislation where appropriate. By June 1992 Authority staff and the Ministry for the Arts were drafting a Cabinet Minute, with a view to making a submission to the Minister.

In October 1991 the Archives Authority approved a schedule of photographic charges to be incorporated in a by-law under s.21 (1) (d) and (e) of the Archives Act. The draft by-law was submitted to the Minister for approval in accordance with the Archives Act, 1960 and the Interpretation Act, 1987.

The Authority is funded from the Consolidated Fund. It provides basic services to the public free of charge but derives substantial revenue from Repository and Records Management services, from a publications program which includes the *Genealogical Research Kit* and *The Colonial Secretary's Papers, 1788-1825*, as well as from a widening range of "value added" services to both government and the public. The Authority is now levying charges in nearly 30 separate areas and the revenue has increased dramatically in the past decade, from \$33 513 in 1981-82 to \$375 894 in 1985-86 and \$1 713 700 in 1990-91. Receipts for 1991-92 total \$2 130 000.

The Authority's financial operations now form an integral part of its corporate strategy. Like many other archives, the Authority began to levy charges from 1970 onwards in order to help offset the cost of special publications and projects such as the *Concise Guide to the State Archives*. From this it progressed to using charges as an administrative tool, first by charging for Repository services as a way of conserving storage space, and then by producing and selling its *Genealogical Research Kit* as a method of controlling demand for reader services. The success of these exercises made the Authority aware that, through the judicious application of commercial principles, it might be able to supplement its income to the point where, for the first time, it could operate successfully at all phases of the records management "continuum", or life cycle. As noted previously, this is the key to the effective and efficient management of Government records, and it has become the core of the Authority's mission.

Clearly the Authority still has a long way to go in this area, but it is proud of its revenue-raising initiatives and believes that the 1991-92 figure offers very tangible evidence of the value of its services and its progress with its mission. The Authority is also proud of having pioneered the commercialisation of archives and records management services in Australia. In the beginning it was fortunate to be one of the few State Archives to operate independently of libraries, and to concentrate on the needs of its primary client, the government, unencumbered by overriding obligations to end users and a commitment to free access to information as is the case with public libraries. The Authority has built upon this advantage, and it remains the leader among government Archives in Australia in relation to the range of activities from which revenue is raised.

As foreshadowed in the 1990-91 Report, the Records Management Office was merged, for administrative and financial purposes, with the Government Records Repository on 1 July 1991 in an effort to cut costs and improve its financial viability, and the two offices operated as a single Category C1 "Commercial Enterprise Activity". Despite considerable success in cutting costs, the effects of the recession combined with operational difficulties arising out of the loss of key trained staff led to a continuing fall-off in revenue, and the management of the Office was transferred to the Archives Office in November 1991. By the end of the year the Records Management Office had received \$213 767 in revenue compared with expenditure of \$284 404, resulting in a shortfall of \$70 637. Repository receipts on the other hand increased by 42% to \$1 719 200, while expenditure rose by only 25% to \$1 204 011. The surplus of \$515 189 will be invested and used to offset the cost of urgently needed repository extensions.

During the year the Archives Office operated as a Category C4 "Government Service Activity", which involved using the net appropriation system. The Authority is pleased to report that Archives Office revenue comfortably exceeded the target figure of \$125 000.

The Archives Authority's budget allocation for 1992-93 reflects the country's continuing poor economic position and the constraints on the State's finances. The Authority accepts that it cannot be immune from the effects of the recession, but wishes to point out that reductions in funding fall especially heavily upon it: first, because it has no trust funds to cushion it; and second, because over 40 per cent of its budget goes on fixed costs such as rent and power which it cannot easily reduce. Indeed, the Authority is the only State cultural institution to be disadvantaged by having to pay rent on its city headquarters. The Authority's great concern is that its growing success in funding the early phases of the records cycle will be offset by erosion of funding in the Archives phase.

THE ARCHIVES

The highlight of the year was undoubtedly the publication of the second edition of the *Concise Guide to the State Archives*. Its appearance fulfils a long-standing commitment to produce a comprehensive finding aid for researchers and Office staff, and more than 100 copies have been sold since March 1992.

Processing continued as a priority during 1991-92, but a substantial reduction in available resources meant that fewer records were processed (1 529 metres) compared with the quantity of archives taken in (1 998 metres), thus increasing processing arrears to well over 4 000 metres. The Authority remains greatly concerned that in not cataloguing its arrears of unprocessed records it is failing to fulfil its statutory obligations under Section 13 of the Archives Act.

ACCOMMODATION

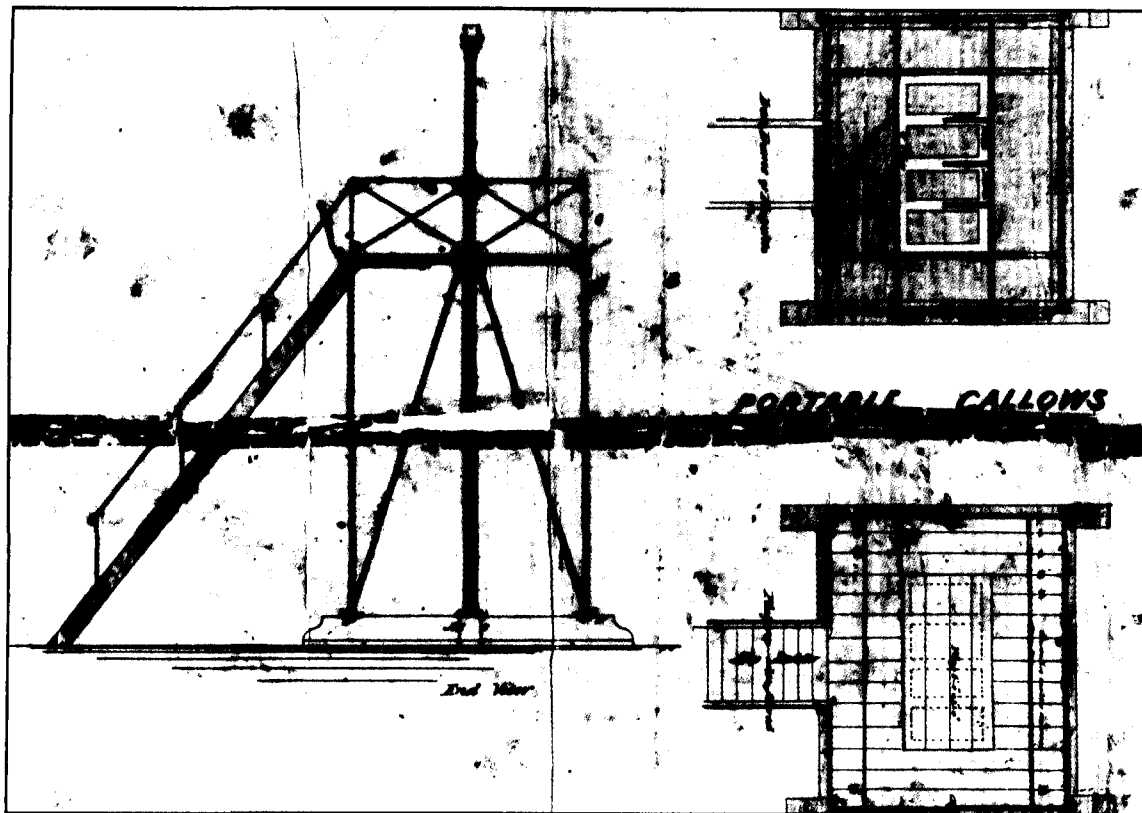
The Archives Authority is accommodated in two buildings: "The State Archives" building in Globe Street, Sydney which was completed in 1978, and the State Archives and Government Records Repository at Kingswood, which is 55 kilometres west of Sydney. The Kingswood building has been constructed in stages since 1973 with the latest extension, a new Services Building, being completed in 1987. The space provided by this building program has been carefully husbanded but the very large intake of State archives and semi-current records in recent years is placing a heavy strain on the Authority's storage space and it is anticipated that it will be exhausted by late 1993 or early 1994.

New objectives were set for the program covering revenue raising, publicity and improved access through finding aids. A number of recommendations were made and implemented, including better stock control, improvements in planning and marketing, and appropriate administrative arrangements for general oversight and day-to-day operation of the program.

The Authority's program review schedule now operates on a three year rolling plan, covering 2-3 high priority items per year.

Schedule of programs to be evaluated

Year 1	Year 2	Year 3
1. Machine Readable Records — policy	1. Publications	1. Statutory reform
2. Rationalisation of Accommodation (1)	2. Finding aids	2. Rationalisation of Accommodation (3)
	3. Rationalisation of Accommodation (2)	



Plan of Portable Gallows, 1864 (Colonial Architect Plans, AO Plan No. 77417). One of many plans processed and repaired during the year

III THE PROGRAMS OF THE ARCHIVES AUTHORITY

RECORDS MANAGEMENT — THE RECORDS MANAGEMENT OFFICE

The Records Management Office is located in the State Archives building, Globe Street, Sydney. Its functions are to investigate and analyse records procedures throughout the New South Wales Public Service, and to advise public offices on sound records management practices, including systems, the retention and disposal of records and the economical use of storage facilities. In connection with these functions it undertakes consultancy services, conducts training courses, assists with the implementation of the Keyword Classification system and publishes manuals on records management.

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

FINANCIAL MANAGEMENT

From 1 July 1990 the Records Management Office operated as an off-Budget competitive organisation using its own working account. On 1 July 1991, the Records Management Office was merged with the Government Records Repository but it retained its separate identity, functions and accommodation. On 15 November 1991 responsibility for the Records Management Office was transferred to the Deputy Principal Archivist. The Office's revenue in 1991-92 was derived as follows: consultancy services (52%), training (21%), thesaurus (21%), publications (2%) and training room hire (4%). The details of the Office's financial performance are presented elsewhere in this report.

The Records Management Office experienced cash flow problems throughout the year and although expenditure was significantly reduced, the economic climate and loss of skilled senior staff had a continuing negative impact on its revenue. The Office finished the year with a deficit of over \$70 000.

A program evaluation reviewing the various activities of the Records Management Office and making recommendations on its future directions was completed by Mrs Dawn Troy on 3 June 1992. Details of the review are given elsewhere in this Report.

CONSULTANCY

The Records Management Office specialises in providing consultancy services to clients wishing to have all or part of their records management system reviewed. The Office can undertake an on-site survey, conduct interviews with users, prepare a report and make recommendations to remedy problems identified. The Office can also assist with the implementation of changes. If a client only requires assistance with a specific matter then the Office will provide an advising rather than a comprehensive survey.

In 1991-92 consultancy jobs were undertaken for the Sydney Olympic Bid Committee, AIDS Council of NSW, Hunter Area Health Service, CCH Australia Ltd., Environment Protection Authority, Inhaus Productions, Office of the Protective Commissioner, Westpac Financial Services, Department of Tourism, Sport & Racing (Queensland), Australian Catholic University, Federal Court of

Australia and John Hunter Hospital (Newcastle). On-going implementation was also provided for Sydney Electricity.

TRAINING

The provision of appropriate training courses in records management is one of the main objectives of the Records Management Office. The Office conducts a number of standard courses comprising Effective Information Management (4 days), Practical Filing Techniques (1 day), Keyword Compiler's Workshop (3 days) and Keyword Users Workshop (1 day). The Office also arranges special purpose seminars, product displays and in-house training.

In 1991-92 the Records Management Office conducted seventeen formal courses which were attended by 161 people, compared with 476 in 1990-91. Four Keyword Users courses were attended by 37 people; seven courses in Practical Filing Techniques attracted 60 people; one Keyword Compiler's Course was attended by 10 people; four courses in Effective Information Management drew 46 people; a specialised course was conducted for eight people from Westpac Financial Consultants Ltd; and a specialised disposal training course was held for Sydney Electricity. In addition, another "Cost Effective Records Management" seminar was held in September 1991, attracting 55 participants.

The Office continued to be active in addressing students on aspects of information management, and assisting professionals visiting from interstate and overseas, and providing staff to address various meetings.

KEYWORD CLASSIFICATION PROGRAM

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

Fundamental to the Keyword system is the thesaurus of terms comprising those words which can and cannot be used in titling/indexing. "The General Administrative (GADM) Thesaurus", which was compiled by the Records Management Office, forms the basis of the system and covers terminology of an administrative nature common to most agencies. A functional thesaurus complements the GADM by introducing terminology for individual agency needs and must be based on specific agency activities.

The Office, in conjunction with the City of Glenorchy Council, has also designed a thesaurus for local government requirements. The "Local Government (LOGOV) Thesaurus" is a composite of both general administrative terms and local government terminology. It is suitable for councils operating subject-based or subject/geographically classified information systems.

Sales of the GADM thesaurus in 1991-92 include four clients in New South Wales, and one client each in the Northern Territory, South Australia and Tasmania.

Other keyword projects include one functional compilation, four functional reviews and four simplified thesauri.

PUBLICATIONS

Sales of remaining stock of nine specialised publications on aspects of records management amounted to \$3 538 in 1991-92, compared with \$5 767 in 1990-91. The publications are being updated and will be reprinted.

PERFORMANCE MEASUREMENT

Revenue/targets

Target 1991-92	Revenue 1991-92	Shortfall	Target 1992-93
Minimum — cover costs (\$284 404)	\$213 767	\$70 637	\$175 000

New performance measures are currently being developed as part of the on-going review of the Office's future directions, priorities and strategies.

RECORDS STORAGE AND ASSOCIATED SERVICES — THE GOVERNMENT RECORDS REPOSITORY

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

The Government Records Repository (GRR) does not come within the provisions of the Archives Act but in 1978 the Archives Authority, by agreement with the Public Service Board, undertook the management of the Government's centralised records repository. The Repository is located at Kingswood, near Penrith, in Sydney's far western suburbs. It meets the records storage needs of public sector bodies in New South Wales, including Government agencies, local councils, public hospitals and universities. The Repository is a secure, modern, centralised records centre, providing for the special storage requirements of records, their retrieval, and ultimately their disposal, using the most economic methods. The Repository complex also has facilities for the public to use State archives.

Highlights of the GRR's activities in 1991-92 included:

- ☐ cash-flow revenue increased by 42%
- ☐ operational surplus increased by 80%
- ☐ the number of local councils storing with the GRR rose from 7 to 11
- ☐ the new Consultancy Section increased its revenue by 80%
- ☐ as part of its commercialised approach, the GRR commenced storing non-Government records
- ☐ the total quantity of semi-active records stored in the GRR increased by 15%
- ☐ completion of a Business Plan

STRATEGY

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

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

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

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

PERFORMANCE MEASUREMENT

New Business

The GRR planned to gain at least five new clients in 1991-92, including one public hospital, one local council and one from the private sector. The overall target was met, although no new public hospitals were gained. Four local councils became clients during the year.

Business Plan

As required, the GRR completed a Business Plan for its operations.

FINANCIAL MANAGEMENT

Despite the generally tight financial environment and intense market pressure from competitors, the GRR is performing satisfactorily. The full details of the GRR's financial performance are presented elsewhere in this report.

Since 1 July 1990, the GRR has operated as an Off-Budget commercialised business unit. The GRR receives no money from the Consolidated Fund and is entirely self-sufficient.

In general terms, the Repository's revenue is derived as follows: storage 60%; retrieval 22%; sale of boxes 10%; consultancy 6%; destruction services 1%; and for other miscellaneous matters 1%. Storage constitutes the core business. The other activities are integral to the growth and development of this core business but tend to be subordinate to it.

The GRR's revenue from clients comes from offices under Consolidated Fund (81%); Off-Budget agencies (10%); Public hospitals (6%); Local councils (2%) and other (1%).

In 1991-92, cash flow revenue rose to \$1 719 000, which was an increase of 42% on the previous year. An operational cash surplus of \$515 000 was recorded. This surplus, which will be applied to Capital Works, represents an increase of 80% on 1990-91. This cash surplus is invested through the Treasury.

The key performance measure for the GRR relates to its financial situation. The GRR's 1991-92 financial result can best be expressed by comparing with the previous year: expenditure increased by 30%, but produced a 42% increase in revenue and an 80% increase in cash surplus.

The GRR's development in recent years has transformed it from being a passive receptacle for departmental records into a dynamic organization handling all facets of records storage and disposal for the whole NSW Public Sector.

The GRR's revenue target for 1992-93 has been set at \$2.1M with expenditure of \$1.35M (excluding capital works).

Performance Measurement

Revenue/targets

Year	Expenditure (\$)		Revenue (\$)		Surplus (\$)	
	Target	Actual	Target	Actual	Target	Actual
1990-91	900 000	918 000	1 100 000	1 204 000	200 000	286 000
1991-92	1 180 000	1 204 000	1 600 000	1 719 000	420 000	515 000
1992-93	1 350 000		2 100 000		750 000	

ACCOMMODATION

The State Archives and Government Records Repository complex has a storage capacity in excess of 120 000 linear metres of shelving. Stage 1 of the Repository, which was built in 1974-75, is based on a cellular design and is air-conditioned. It contains 45 000 linear metres of static shelving for the storage of State archives and other permanently valuable records, plus staff areas. The GRR is based in Stage 2 of the Repository, which was built in two phases in 1978 and 1983, and contains 75 000 linear metres of mobile compact shelving. The Services Building extension, completed in 1987, comprises a public search room and associated facilities for the public. It also has special coolroom vaults for the proper storage of computer tapes and microfilm reels.

In the course of this year, the site of the Kingswood Repository was formally vested in the Archives Authority by transferring the title from the Minister for Public Works to the Authority. The Authority has also commissioned the Commercial Development Branch of the Public Works Department to assess the options for disposing of land surplus to the Repository's needs.

Both the GRR and the Archives Office need additional accommodation. This is primarily required for storage purposes but some office and work areas are also needed. The last extension to the Kingswood Repository for storage was completed in 1983. In particular, the commercial success and increasing holdings of the GRR necessitate the provision of further accommodation as soon as possible. The extension, to be designated as Stage 3, will provide nearly

40 000 linear metres of storage. The Authority also hopes to relocate some staff from The Rocks building with a view to reducing its rental commitment.

Following the compilation of an architectural brief by the Repository management, the Public Works Department was engaged to prepare preliminary sketch plans, a model and cost estimates. McLachlan Consultants subsequently undertook an economic appraisal of the proposal. Their report strongly endorsed the financial viability and competitiveness of the GRR, the appropriateness of the building proposal, and the ability of the GRR to self-finance its needs.

The estimated cost of the Stage 3 extension is \$3.8M for the building plus a further \$1.2M for shelving, although this could be staggered over 2 or 3 years. The Authority understands this project will be included in the 1992-93 Capital Works Program on the basis that the Government will provide \$978 000 for the archives component of the building and a loan of \$2M to the GRR, which will also provide the remainder of the cost from its own resources.

In preparing the case for the Stage 3 building, the Authority is mindful of the assistance provided by a number of individuals and organizations. The Authority wishes to thank the Minister, the Hon. Peter Collins, who has shown a keen interest in the project, including visiting the Kingswood Repository on 13 December 1991 to discuss the situation. The Authority is also appreciative of the support given by the Public Works Department, the Capital Works Unit, The Treasury and the Ministry for the Arts.

STAFF

As at 30 June 1992, the GRR was operating on an EFT staff establishment of 31.5 positions, compared with 26 last year. These positions were allocated to the following activities: Administration 5; Building services and transport 7; Records retrieval 12.5 and Consultancy 7. Cleaning and maintenance of plant were contracted out.

The 31.5 positions actually comprised 35 staff consisting of 28 full-time and 7 part-time. Only 17 staff were permanent. The GRR employs four categories of staff and the respective numbers are: Clerical Officers 21; Archivists 6; Drivers 5 and Clerks 3. The GRR's salary budget constitutes its largest expense being 65% of total expenditure in 1991-92. All staff are employed under the Public Sector Management Act and appropriate Public Service awards. Staff do not receive commissions, bonuses or incentives of any kind.

Excluding salary costs, the GRR spent over 1% of its salaries allocation on staff training. Staff attended various courses including clerical officers learning word processing and senior staff attending courses on performance management, business planning, marketing and sales. Numerous training videos also were acquired. General staff meetings are held every two months.

Ms Deborah Sims, from the Archives Office, was promoted to the new position of Senior Archivist, Client Liaison and Training (Archivist Grade 3), on 6 January 1992.

HOLDINGS

To manage an efficient records repository, it is essential to know what records are stored and their correct retention periods. The changes that have occurred in the GRR system in recent years have resulted in the Repository management

having greater control over the holdings and therefore being able to foster orderly accessioning and disposal conditions.

Appendix 6 is a comprehensive table showing the total quantities of records stored in the GRR by clients during 1990-91 and 1991-92.

The quantity of semi-active records accessioned in 1991-92 was 12 766 linear metres, compared with 12 980 linear metres in 1990-91. The overall effect of this was to increase Repository holdings by 15% compared with 17% in the previous year.

Although the increase in holdings in 1991-92 is less than last year, it must be recalled that the previous result was the highest ever achieved by the GRR. Despite strong competition, the GRR has continued to increase holdings from existing clients, generate new business and maintain its predominant market position in the public sector.

Performance Measurement

% Increase in Holdings

Year	Target (%)	Actual (%)
1990-91	10	17
1991-92	15	15
1992-93	15	

NON-STATE GOVERNMENT RECORDS

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

The GRR has been active in the local government area because it produced the *General Records Disposal Schedule for Local Government* in 1988 and will soon publish the *Records Management Checklist for Local Government*, which was commissioned by the Department of Local Government. The GRR stores permanently valuable records for 11 councils, which is an increase of 4 on last year. The GRR also undertakes consultancy work and provides training for records managers in local government.

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

Furthermore, as part of the overall commercialisation process, and subject to meeting requirements, the GRR has commenced storing records for non-government bodies seeking a quality service.

RECORDS RETRIEVAL SERVICE

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

The number of individual reference inquiries handled by the Retrieval Service amounted to 91 906 in 1991-92, compared to 88 912 in 1990-91. Reference to State archives (as distinguished from semi-active records) accounted for 5 468 jobs this year, which was 5.9% of the whole, compared with 5 144 jobs last year, which was 5.8% of the whole. Since 1 January 1989 State archives have ceased to be transported to the Search Room at The Rocks.

Retrieval Service Statistics

	1989-90	1990-91	1991-92
Number of files requested	40 323	52 555	54 219
Number of files issued	34552	46366	48 140
Number of files returned	26 234	32 588	34 973
Number of files added to existing boxes in the Repository	5 522	1 903	1 432
Number of items attached to existing files in the Repository	2 178	1 866	1 282
Total Retrieval Operations Performed	74 257	88 912	91 906

The above table shows the total statistics of the Retrieval Service conducted for clients from the GRR. It can be seen that the total number of file retrieval operations in 1991-92 increased by nearly 4% on the previous year.

Clients storing records in the GRR may request their return according to a schedule of options and prices. The most popular method is "next day" delivery, which costs only \$7.00 for secure delivery by the GRR's own uniformed drivers. Unlike its competitors, no charge is made for the return of items to storage.

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

Performance Measurement

% of files Issued to Requested

Year	Target (%)	Actual (%)
1990-91	90	88
1991-92	90	88
1992-93	90	

During 1991-92 the percentage of files issued to files requested was 88%, which was the same as last year. It should be noted that this percentage is an average covering all users of the Repository, and that the retrieval rate for some public offices is consistently above the average. In general, the main reasons for files not being issued are that clients sometimes box records inefficiently before transferring them to the Repository; compile inadequate finding aids; double-order records; or provide inaccurate information on their whereabouts. Occasionally, when an item is not retrieved when first requested through some fault of the GRR, the Repository makes no charge for the subsequent transaction as part of its guarantee of service.

DISPOSAL OF RECORDS

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

The quantity of semi-active records destroyed in 1991-92 was 2 514 linear metres, compared with 2 720 linear metres in 1990-91.

The quantity of records currently stored in the GRR and awaiting disposal action is a matter of concern. It is estimated that these records comprise 4 500 linear metres, which is about 26 000 boxes. These records mainly comprise files of the Land Titles Office, Land Board Offices, Public Service Board and Crown Solicitor's Office. These records are stored without charge to the client.

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

CONSULTANCY SERVICES

The Government Records Repository 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 is now employing five professional staff in this area and the provision of this value added service separates the GRR from a variety of commercial competitors in the private sector. As a result of its consultancy services, the Repository has gained new clients for its core records storage function.

The Repository quotes and tenders for such jobs as are referred to it. In 1991-92, some 70% of its quotations were successful. Total billings were \$123 000 in 1991-92 compared with \$68 000 in 1990-91. This is a relatively new activity but it appears to fill a gap in the market and further development is anticipated in the coming year. The impressive growth in this activity requires the Stage 3 extension to be built as soon as possible to provide storage space, work and staff areas for this initiative.

As part of its consultancy services the GRR has continued to develop its training capability. This has taken the form of the "Special Management Archives Records Training" (SMART) Program, which comprises modular courses

promoted to bodies not covered by the Archives Act, especially local councils and public hospitals.

ARCHIVES PROCESSING AND REFERENCE WORK

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

RECORDS DISPOSAL, ARCHIVES PROCESSING, PRESERVATION AND USE — THE ARCHIVES OFFICE

DISPOSAL SERVICES

(Acting Manager, Mr S.J. Bedford, B.A., Dip.Arch.Admin.)

This section is located in the State Archives building, Globe Street, Sydney. Its main function is to appraise, cull and dispose of public records referred to the Authority under the Archives Act, No.46 of 1960, section 14. It is also responsible for records scheduling, the development of guidelines and standards, and the co-ordination of appraisal functions in both the City and Kingswood locations of the Archives Office.

DISPOSAL — POLICY AND PRACTICE

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

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

In 1991-92, the Authority dealt with 259 recommendations for the disposal of records, compared with 259 recommendations in 1990-91. The recommendations covered 1 682 series of records. The known quantity of records covered by these recommendations is 2 974 metres and 500 000 plans.

Disposal of public records authorised by the Archives Authority

	1990-91	1991-92
Quantity authorised for transfer and retention	1 402 metres	694 metres
Known quantity authorised for transfer and further evaluation		462 metres
Total quantity authorised for transfer	1 402 metres	1 156 metres
Known quantity authorised for destruction	3 524 metres	1 818 metres, 500 000 plans

RETENTION OF PUBLIC RECORDS

During the year the Archives Authority authorised the transfer of approximately 694 metres of records as State archives. A further 462 metres of records were authorised to be transferred to the Archives Office for further evaluation. Not all these records have been transferred as yet, however this figure represents a known quantity of records for which the Archives Office has a future commitment to process and store.

In addition, a number of the disposal recommendations were functional records schedules and continuing authorities, and will result in an unknown quantity of records being transferred as State archives or for further inspection and appraisal.

DESTRUCTION OF PUBLIC RECORDS

Authorisation was given during the year for the destruction of a known quantity of at least 1 818 metres of records, approximately 670 metres of which were occupying space in the Repository without generating revenue. In addition, 500 000 plans were authorised for destruction. No attempt has been made to estimate the total quantity of records involved as statistics of destructions during the year were not always supplied. Figures are difficult to gather and verify because continuing destructions have been authorised under the terms of the General Records Disposal Schedule, various functional records schedules, and numerous continuing recommendations, and destructions under such authorities are an agency responsibility. However, it is clear that the destruction of unwanted records has led to very substantial savings in expensive city office space.

DISPOSAL SCHEDULES

Disposal Schedules are listings of records which plan the life of the records from the time of their creation to the time of their disposal, which is either by destruction or retention as State archives. During 1991-92 work was completed on the *General Records Disposal Schedule - Personnel Records*, which was revised to reflect the rapidly changing work practices in the NSW public sector. The Schedule outlines the retention period and disposal action of every major personnel record in every NSW government public office.

Disposal Schedules relating to individual departments are usually compiled by departmental staff and submitted to the Archives Authority for approval. In 1991/92, work began by Disposal Services staff on the compilation of disposal schedules for the records of the Office of State Revenue and the Ministry for the Arts on a consultancy basis.

OTHER SERVICES

Support was also provided for the New South Wales Task Force on Guidelines for Machine Readable Records. On 13 February 1992 the Acting Manager Disposal Services joined the Audit, Probity and Security Subcommittee of the Electronic Data Interchange Co-ordinating Committee. A training course on the preparation of disposal schedules was presented to staff of Sydney Electricity on 3 June 1992.

Revenue/targets

Revenue 1991-92	Target 1992-93
\$15 093	\$10 000

SYSTEMS

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

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

THE CONCISE GUIDE

During the year the section's efforts were concentrated on its prime mission, the preparation of the second edition of the *Concise Guide to the State Archives of New South Wales*, the main finding aid and control guide to the records held as State archives. This was completed in early March 1992, slightly later than the target completion date.

Work on the production of the second edition of the *Guide* had been set aside for a number of years in favour of other priorities, including the production of two very large microform publications, the *Genealogical Research Kit* and the *Colonial Secretary's Papers, 1788-1825*, as well as a large number of publications associated with them. The *Guide* was originally published in 1970 and updated by means of quarterly *Supplements*, which were cumulated in annual *Supplements*. The last *Supplement* to appear was Volume 10 Number 3, which was published in July 1980.

The long delay in producing the *Guide* not unexpectedly complicated its editing. Not only had large quantities of records been received into the State Archives but also the intervening decade had been one of continuous administrative change, which added to the difficulties of preparation. In addition to incorporating details on new series of records which had been processed since the last *Supplement*, editorial work on the *Guide* involved considerable labour to bridge this 12 year gap, including: the inclusion or revision of information concerning microfilmed and photocopied State archives; appropriate annotation of records which had been published in the *Colonial Secretary's Papers* and in the *Genealogical Research Kit*; checking, verification and correction of contradictory and/or inaccurate series titles, dates, locations and/or quantity etc; updating of access and photocopying conditions, and administrative histories; and the restructuring of the arrangement of series information under individual agencies so that administrative changes and the influx of new records could be readily accommodated.

However, while the *Guide* would list the holdings in the Archives Office as completely as possible, it was necessary to make three major practical decisions on its scope so that production was not further delayed: a cut off date of July 1991 (eg. only those records which were fully processed — boxed, listed, shelved and the paperwork completed — before the end of July 1991 would be included); the exclusion of information on records on loan to regional institutions; and the non-production of an index.

The published *Guide* consists of: a printed Handbook (which, for convenience, has also been reproduced on a microfiche) containing introductory notes, an overview of major functions of government agencies and a full listing of the contents of the microfiche body of the *Guide*; and the body of the *Guide* (listing the individual agencies, alphabetically, and the series of records) on 22 microfiche, comprising 2 079 pages of text which relate to many thousands of records series of some 255 separate agencies.

Other work associated with the *Concise Guide* included the preparation of a prospectus and order form, and a poster for display in the Search Rooms advertising its availability, as well as the production of advertisements for insertion in publications of select archives user organisations.

ROYAL COMMISSIONS

Apart from the preparation and publication of the *Concise Guide*, the major priority for Systems in 1991-92 was Royal Commissions. The responsibilities associated with access to the records of Commissions, particularly those related to the Chelmsford inquiry, absorbed significant staff resources during the year. In addition, Systems undertook a consultancy on records of Royal Commissions for the Premier's Department, the report of which was completed by the end of the year.

The records of the Royal Commission into Deep Sleep Therapy (Chelmsford Royal Commission), which had been formally transferred to the custody of the Archives Authority in June 1991 were relocated from the Commission's former premises at 99 Elizabeth Street (ADC House) to the Rocks building between 3 and 6 September 1991. Ms Dolores Cummins, formerly employed by the Commission to co-ordinate access to the records, continued in this role on a part-time basis under the title Information Co-ordinator — Chelmsford.

The level of inquiry relating to the Chelmsford Commission — involving personal visits, telephone calls and letters — increased considerably during the year largely as a result of extensive press and media coverage and because of the encouragement given by the various action groups to Chelmsford patients to lodge compensation claims. Enquiries have even been received from overseas.

As part of the consultancy on the records of Royal Commissions, the feasibility of downloading the Chelmsford Royal Commission (CRC) STATUS database from First State Computing's mainframe to another, less costly, platform was investigated. This was in response to the concern of the Premier's Department over payment of the recurrent high charges imposed by First State Computing for the storage and maintenance of and access to the database on their system. The STATUS full-text retrieval software is the only effective means of locating records in response to the avalanche of requests for access.

Fortunately, the transfer of the database proved to be possible as STATUS is capable of running on a number of different platforms. It was therefore recommended that the CRC database be downloaded to an appropriately configured standalone personal computer (PC). A PC running under MS-DOS was considered the most effective solution as hardware costs are relatively low and Archives Office staff are familiar with this environment.

The Premier's Department provided the sum of \$12 000 to cover the costs associated with the transfer of the database including the software, equipment, and labour. The transfer was executed by First State Computing and completed on 30 June 1992.

As a result of the transfer, all First State Computing charges have been eliminated, resulting in substantial savings to Government. The minimum cost for maintaining the database on-line had been about \$3 000 per month. To this was added the costs of access, printing, and other associated services which could run into several thousands of dollars per month.

OTHER ACTIVITIES

Systems has been involved in assessing possible archival estrays, advising on a document under the terms of the Commonwealth Protection of Movable Cultural Heritage Act 1986, producing the annual magazine *Archeion*, and finalising the production of a draft second edition, for internal use, of Guide No.15, the guide to the Colonial Secretary's correspondence records (incorporating information concerning the published *Colonial Secretary's Papers, 1788-1825* and correspondence records up to the abolition of the Department in 1982).

Revenue/targets

	Revenue 1991-92 (\$)	Target 1992-93 (\$)
Storage	—	19 000
Copying	15 985	6 000
Other	15 814	
Total	31 799	25 000

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.

COLLECTION SERVICES

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

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

State of the collection as at 30 June 1992

Processed records	
Archives Office "strokes"*	32 724
Regional "strokes"	880
Total "strokes"	33 604
Non-standard material*	145
Total	33 749 metres
Maps/plans/documents ⁺	118 335 items

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

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

⁺ Excludes 'X' maps and plans

The program of intensive processing which attempts to keep accessions under control and reduce the substantial processing arrears continued throughout the year. Despite a reduction in staffing levels, accessions have remained under control. The processing arrears, however, remain at over 4000 metres (including more than 1600 metres of records awaiting appraisal) plus many thousands of maps and plans.

The quantity of records being received is placing considerable pressure on existing storage space for State archives. Should current trends continue, storage space may be exhausted before new facilities have been built. Detailed statistics for Collection Services are set out in Appendix 7.

ACCESSIONS

A significant number of important records were accessioned during 1991-92, including:

- ☐ Department of Transport: Bus Route Files, 1940-88
- ☐ Records of the Chelmsford Royal Commission
- ☐ Electricity Commission of NSW: Official Commission Registry Files, 1950-89
- ☐ Records of the McLeod-Lindsay Inquiry

A small number of estrays were 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 of these was a Minute Book of the Board of Trustees of the Royal National Park, Audley, 1895-1910.



Ms Peri Stewart and Mr Martyn Killion assessing maps and plans for processing in the Globe Street processing section

PROCESSING

City Office

Despite reduced resources, the output achieved by staff is quite pleasing. Effort during the later part of the year was expended in gaining better intellectual control of incoming records and records awaiting processing. In addition to "standard" material such as Police station records and court papers, some notable accessions have been processed, such as:

- ☐ Roads and Traffic Authority: Bridge Plans, 1840s-1970s
- ☐ Maritime Services Board: Photographs, c.1870-c.1990
- ☐ Forestry Commission: Registered files, 1895-1991

Kingswood

This relatively new processing unit continued to make progress on unprocessed material held or received at Kingswood.

Significant records processed during the year include:

- ☐ Services: Files re licences for theatres and public halls, 1909-82
- ☐ Water Resources: Water Rights files, 1920-29
- ☐ Roads and Traffic Authority: Administrative files of the Vehicle Roadworthiness Section, 1956-90

Performance Measurement

1991-92		1992-93
Target	Output	Target
1 400 metres, 1 000 plans	1 529.05 metres, c.1 100 plans	1 200 metres, 1 000 plans

The target figure for 1992-93 has been reduced, as a number of difficult, labour-intensive jobs will need to be tackled during the year.

STATE ARCHIVES ON LOAN

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

In the longer term the Authority hopes to develop this policy into a state-wide network of regional repositories. These repositories would serve Government and people in the regions by:

- ☐ storing State archives of regional significance
- ☐ holding microform copies of selected head office records (especially ones of genealogical value)
- ☐ obtaining photocopies of head office records on loan, on request by readers

Such repositories are clearly within the terms of the Archives Act, Section 11 of which provides that the Authority "either alone or by agreement and in conjunction with any other person or body may establish, maintain and control within New South Wales, branches of the Archives Office of New South Wales". In March, 1989 the Minister for the Arts endorsed the Authority's proposals for regionalising repository services and gave his approval, in principle, to their development. This was welcome news, but the development of a State-wide network is unlikely to be possible without some financial assistance. For many years the plan was to develop facilities in each of eleven regions, but in December 1991 the Authority resolved to rationalise the network by reducing the number of proposed repositories to seven.

At present, State archives of regional interest are on loan to the archives of the Charles Sturt University, Wagga Wagga, the University of New England, the University of Newcastle, the University of Wollongong, the Newcastle Region Public Library, and the Broken Hill City Library. In all, approximately 3 500 metres of records and some 1 000 maps and plans are held in these institutions.

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.

Details of usage of records in regional repositories are given under Client Services in this report.



Ms Clara Cesarone, Assistant Conservator, restoring plans in the Conservation Laboratory

PRESERVATION SERVICES

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

Preservation Services is responsible for executing the conservation policies of the Archives Office; the repair and preservation of the public records; and reprographic services, including testing of microfilms and the provision of technical advice to Government departments. These functions are carried out in three fully equipped laboratories (conservation, photographic and film testing) located in the State Archives building, Globe Street, Sydney.

This year priority has been given to treating a substantial quantity of Government Architect plans dating back to 1879. Other items of interest receiving treatment during the year included:

- ☐ Colonial Secretary letters received (naval and military), 1840
- ☐ Vice Admiralty Court documents, 1794
- ☐ Judge's notebook, 1849
- ☐ Rouse Hill Public School admission register, 1879-1970

Binding of the State archives is now done internally by the conservation staff and this year's program saw a total of 43 items bound or rebound.

An in-house microfilming program was launched last year. With limited funds available, it is no longer possible to send records to outside microfilming bureaux for filming. These records are now filmed within Authority premises, and some of the significant records copied include:

- ☐ Police service registers, 1858-1955 — 22 volumes
- ☐ Indexes to registers of deceased estates, 1880-1923 — 93 volumes

During the year a substantial number of volumes stored in the cells at the Repository were affected by mould on the spines and covers. 1 315 affected volumes were treated by Archives Office staff with a 2% formalin solution.

Revenue/targets

	Revenue 1991/92 (\$)	Target 1992-93 (\$)
Microfilm testing	n/a	3 500
Conservation training	n/a	2 500
Total	n/a	6 000

By the end of the year arrangements were being finalised for testing of microfilms on behalf of the National Library, and for basic conservation training programs for staff of other State government agencies.

Detailed statistics on Preservation Services activities are given in Appendix 8.

PARLIAMENTARY ARCHIVES

From 1 July 1991, the position of Senior Archivist, Parliament House was transferred from the Authority's establishment to that of the Legislature.

CLIENT SERVICES

(Acting Manager, Ms G. Davis, B.A., Dip.Arch.Admin.)

The major responsibilities in this area are:

- ☐ Search Room Services
- ☐ Research Services (letter and telephone)

- ☐ Extension and reader education
- ☐ Exhibitions
- ☐ Publications (other than control guides)
- ☐ Access conditions/Freedom of Information

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



Ms Laraine Tate providing advice to researchers in the Globe Street Search Room

PUBLIC ACCESS AND USE

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.

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

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

GENERAL TRENDS

Usage figures appear to have stabilised during the past two years after declining steadily since the mid-1980s. The most significant developments during the year were the reduction of the minimum age for reader's ticket holders from 18 to 15, and the introduction of a limited, streamlined research service (based on full cost-recovery) from 1 January 1992.

SEARCH ROOM SERVICES

Search Room Statistics — Summary

	1990-91	1991-92	Variation (%)
Total number of users	6 084	5 963	-1.8
Total number of reader/visits	* 13 836	14 086	1.8
Total number of issues	* 106 194	103 443	-2.6

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

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

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

The figure for "reader/visits" is the sum of the daily totals of readers using State archives, many of whom attended for more than one day and some over long periods. The figure for "Total number of issues" is for individual items from the archives (i.e. volumes, boxes of documents, maps, microfilm reels or microfiche) issued to readers in the Search Rooms. For more detailed information on use of the State archives see Appendix 9, Tables 1 and 2.

The City Search Room is currently open to the public for 46 hours per week, including Saturdays. The number of reader/visits remains at 1979 levels (c.33 readers per day). The Kingswood Search Room is open from Tuesday to Saturday (a total of 38 hours per week), and the number of researchers has increased slightly during the past year. Usage of original records has remained

high at Kingswood, due to the popularity of the Deceased Estate files. With the current levels of demand, staff are able to provide an efficient, high quality service.

Performance Measurement

Response time (request for original material)

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

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

Regional Repositories

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

OFFICIAL USE OF STATE ARCHIVES

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

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

Retrieval — Revenue/target

Revenue 1991-92	Target 1992-93
\$2 030	\$2 000

RESEARCH SERVICE

Summary Statistics

	1990-91	1991-92
Written inquiries received	2 204	1 643
Paid research inquiries completed	78	201
	plus photographic orders	
Revenue	\$8 000	\$8 450
Telephone enquiries received	6 213	5 818
Permission to publish	61	74

Full research statistics are set out in Appendix 9, Table 3.

A limited research service by mail and telephone is provided by Archives Office Client Services staff.

As noted in the 1990-91 Report, the free letter inquiry service was abolished on 31 March 1991. During the period July - December 1991, the Research Service operated under interim arrangements. Convict research continued to be done for a fee, and orders for photographic work were completed in cases where specific, accurate references were supplied.

A new, streamlined research service was introduced in January 1992 covering photographic orders by mail, convict research, a new service dealing with Deceased Estate files, and other topics at the Office's discretion. The new system aims to provide a high quality service to clients, to cover costs, and to ensure that demand is kept at manageable level, given the Office's limited staff resources. Inquiries researched during the year covered such topics as the Japanese Antarctic Expedition, 1911; the history of the Grafton Agricultural Research and Advisory Station, and the Pohl Inquiry.

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

Revenue/targets

Revenue 1990-91	Revenue 1991-92	Target 1992-93
\$8 000	\$8 450	\$9 000

Performance Measurement

Response times

	1991-92		1992-93
	Target	Success rate	Target
Quotations — preparation	n/a	n/a	4 weeks
Quotations — completion of orders	n/a	n/a	2 weeks
Convict research	6-10 weeks	100%	6-8 weeks
Deceased Estates	n/a	n/a	4 weeks

The new service has worked well during its first six months of operation. Revenue has remained stable despite reduced demand, due to the implementation of a full cost-recovery policy. Demand for the service is not expected to increase during 1992-93 given the likely continuation of the recession.

Convict research enquiries were completed in an average time of 4 weeks, with 80% dispatched within 6 weeks. The target for 1992-93 has therefore been revised to 6-8 weeks.

EXTENSION AND EDUCATIONAL ACTIVITIES

Archives Office staff continue to be involved in a wide range of extension and educational activities. With the exception of school groups, talks for students are generally provided free of charge during office hours while fees are charged for most other activities. Special free activities are held during Senior Citizens' and Heritage Weeks.

Highlights of the past year include:

- ☐ Senior Citizens Week talks and tours (March 1992)
- ☐ Heritage Week talks and tours (April 1992)
- ☐ Training for teachers and departmental staff in relation to the new Aboriginal Studies curriculum
- ☐ Presentation of a paper to the Joint Conference of Australian Map Circle and International Map Collectors Society, 19 November 1991
- ☐ Workshops on the Colonial Secretary's Correspondence
- ☐ Publicity and sales stall on 29 March 1992 as part of the 60th anniversary celebrations for the Sydney Harbour Bridge.

Revenue/targets

Revenue 1990-91	Revenue 1991-92	Target 1992-93
\$2 961	\$3 850	\$3 000

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

Statistics on extension activities are provided in Appendix 9, Table 4.



Mr D. J. Cross, Principal Archivist; Mr D. Grant, Surveyor General; Miss R. Draper; and Dr K. Knight, Authority Chairman, at the opening of the "Mapping New South Wales" exhibition, 19 November 1991

Exhibitions

A new display was mounted in the City Office entitled "Mapping New South Wales — Sydney and the Bush" to mark Map Week 1991 and the Joint Conference of the Australian Map Circle/International Map Collectors Society (November 1991).

The exhibition "Town and Country — Sources for Local History in the State Archives" was replaced at Kingswood in April, 1992 by a new display entitled "Mountain Pathway — Documenting the History of Penrith".

A number of original documents were placed on short-term loan with the Historic Houses Trust for display in the "Age of Macquarie" exhibition from 25 February to 17 May 1992.

PUBLICATIONS

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

A number of new publications were produced during the year, the most important being the second edition of the *Concise Guide to the State Archives of New South Wales*. Other new publications were the *General Records Disposal Schedule – Personnel*, and three facsimile posters — *Plan of the Settlement and Garrison Farm, Norfolk Island, May 1829*, the *Harbour Bridge construction from Circular Quay, c.1930* and the *Opening of the Harbour Bridge, March 1932*. The last two posters represent something new for the Office; short production runs of souvenirs to coincide with specific events — here the 60th anniversary of the opening of the Sydney Harbour Bridge. All of the new publications have sold well, particularly the *Concise Guide* and the Bridge posters.

A number of publications sold out during the year including the coloured greeting cards, *Map of the Colony of New South Wales, 1837*, two black and white postcards and souvenir teaspoons.

Performance Measurement

Publication sales — Revenue/targets

	1990-91	1991-92		1992-93
	Revenue (\$)	Target (\$)	Revenue (\$)	Target (\$)
Col. Sec. Papers	28 015	30 000	19 992	20 000
GRK	38 379	30 000	21 443	20 000
Other publications	14 527	12 000	21 486	15 000
Total	80 921	72 000	62 921	55 000

Revenue from publication sales forms a major part of the Archives Office's revenue agreement. As the table shows, sales of the *Colonial Secretary's Papers* and *Index* and the *Genealogical Research Kit* were below the targets set, due in part to the continuing recession, constraints on library budgets, and the likelihood that the domestic market for the *GRK* is close to saturation point. Sales

from the *Kit* were expected to fall as prices increased in October 1991 and there had been heavy marketing leading up to the increase. Sales of the other publications, however, exceed the target by 79%, due partly to the excellent sales of the *Concise Guide* (106 copies in 3.5 months at \$45 per copy). Discussions were held during the year with a distribution company with a view to the overseas marketing of some of the Authority's publications.

The overall target for 1992-93 is lower than actual revenue for 1991-92. Continuing poor domestic sales of the *Colonial Secretary's Papers* and the *GRK* are expected, but these should be partially offset by strong sales of the *Concise Guide* and some revenue from overseas sales.

In November 1991 the *ArchiVista/Archeion* subscription fee was increased from \$10 to \$15. At the same time free subscriptions were cancelled and the first group of two-year subscriptions fell due for renewal. The following table shows subscription and re-subscription rates:

	Subscriptions current as at November 1991	Subscriptions current as at June 1992
Free subscriptions	412	n/a
Paid subscriptions	515	*600
Total	927	600

* Includes 163 paid subscriptions from organisations previously receiving free subscriptions

Subscriptions — Revenue/target

Revenue 1991-92	Target 1992-93
\$8 172	\$500

Subscriptions cover a 2 year period, and the majority fell due during 1991-92.

The *Publications and Promotions Committee* was convened by the Manager, Client Services in October, 1990. The Committee is responsible for co-ordinating the production, pricing and marketing of publications, and for promoting the Office and its services. The Committee met regularly during 1991-92.

The publications currently offered for sale by the Archives Authority are listed in Appendix 10.

PHOTOGRAPHIC SERVICE

A photographic service for researchers using the State archives was established in 1979. The service is equipped with photocopiers, two plain paper reader/printers, a Nikon FM2 SLR camera, a planetary microfilm camera, a print processor, and a photographic darkroom fitted out with basic equipment needed to develop film and produce prints. As outlined elsewhere in this Report, the major development during the year was the implementation of a policy of full cost-recovery for the photographic service. The Search Room photographic service at Kingswood was enhanced by the purchase of a Canon NP780 plain paper reader/printer, which replaced obsolete equipment.

In addition to the "standard" copies produced in the Search Rooms or the photographic laboratory, the Office supplied copies of 256 unpublished microfilms to individuals, societies and libraries, resulting in additional revenue of \$7 100.

Performance Measurement

Revenue/targets

	1991-92		1992-93
	Target (\$)	Revenue (\$)	Target (\$)
Search Room/Laboratory service*	27 000	29 500	30 000
Unpublished microfilms	n/a	7 100	5 000

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

Response times

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

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

Full statistics on photographic services are given in Appendix 9, Table 5.

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 5 Part 1. One

Freedom of Information request was received during the year. This request was fulfilled by supplying copies of all relevant documents to the applicant, and was completed within the statutory time limits. Full statistical details are given in Appendix 5 Part 2.

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

Target 1991-92	Revenue 1991-92	Shortfall	Target 1992-93
Minimum — cover costs (\$284 404)	\$213 767	\$70 637	\$175 000

GOVERNMENT RECORDS REPOSITORY

Revenue/targets

Year	Expenditure		Revenue		Surplus	
	Target (\$)	Actual (\$)	Target (\$)	Actual (\$)	Target (\$)	Actual (\$)
1990-91	900 000	918 000	1 100 000	1 204 000	200 000	286 000
1991-92	1 180 000	1 204 000	1 600 000	1 719 000	420 000	515 000
1992-93	1 350 000		2 100 000		750 000	

Holdings

% Increase in Holdings

Year	Target	Actual
1990-91	10	17
1991-92	15	15
1992-93	15	

Retrieval

% of files Issued to Requested

Year (%)	Target (%)	Actual (%)
1990-91	90	88
1991-92	90	88
1992-93	90	

New Business

The GRR planned to gain at least 5 new clients in 1991-92, including 1 public hospital, 1 local council and 1 from the private sector. This target was met, although no new public hospitals were gained but 4 local councils became clients.

Business Plan

As required, the GRR completed a Business Plan for its operations.

ARCHIVES OFFICE

COLLECTION SERVICES

Processing Output

1991-92		1992-93
Target	Output	Target
1 400 metres, 1 000 plans	1 529.05 metres, c.1 100 plans	1 200 metres, 1 000 plans

CLIENT SERVICES

Search Room Services

Response time (request for original material)

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

This figure relates to retrieval of items found to be on the shelf in their correct location.

Research Service

Response times

	1991-92		1992-93
	Target	Success rate	Target
Quotations — preparation	n/a	n/a	4 weeks
Quotations — completion of orders	n/a	n/a	2 weeks
Convict research	6-10 weeks	100%	6-8 weeks
Deceased Estates	n/a	n/a	4 weeks

Publications

Publication sales — Revenue/targets

	1990-91	1991-92		1992-93
	Revenue (\$)	Target (\$)	Revenue (\$)	Target (\$)
Col. Sec. Papers	28 015	30 000	19 992	20 000
GRK	38 379	30 000	21 443	20 000
Other publications	14 527	12 000	21 486	15 000
Total	80 921	72 000	62 921	55 000

Photographic Service

Revenue/targets

	1991-92		1992-93
	Target (\$)	Revenue (\$)	Target (\$)
Search Room/Laboratory service*	27 000	29 500	30 000
Unpublished microfilms	n/a	7 100	5 000

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

Response times

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

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

CONSUMER RESPONSE

ARCHIVES OFFICE

Three complaints were received during the year concerning the Research Service, one relating to the quality of copies and two which arose when clients misunderstood the scope of the Research Service. The complaints were resolved by verbal and written explanations in both cases.

One complaint was received concerning the quality of service in the City Search Room, and this was resolved by sending a detailed explanatory letter concerning Search Room procedures and constraints on the service. A number of complaints were also received concerning the shortage of available microfilm readers in the City Search Room on busy days. New, high quality readers have since been purchased to alleviate this problem.

In response to the Premier's Statement "New South Wales Facing the World" of 23 March 1992, the Authority sought expressions of interest during June 1992 from a broad range of clients to serve on the Authority's Customer Council.

IV CORPORATE SERVICES

HUMAN RESOURCES

Section 12 of the Archives Act specifies that the officers and employees of the Archives Authority shall be subject to the provisions of the Public Sector Management Act, 1988, during the tenure of their office or employment. In 1988 the Authority's policies and practices relating to personnel and industrial relations were adapted to conform to those adopted by the Ministry for the Arts, the Office of Public Management, and the Department of Industrial Relations, Employment, Training and Further Education. Thereafter the Ministry has provided the Authority with administrative support in the areas of personnel, staff and finance.

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

STAFFING

At the end of June, 1992 the Archives Authority had seventy four permanent positions which were distributed as follows:

Administration, including the Principal Archivist and the Deputy Principal Archivist.....	6
Archives Office, including Support Services.....	41
Records Management Office.....	6
Government Records Repository	21
Total	74

Allocation of Staff Resources

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

At the end of June 1992 the Archives Authority's seventy four positions consisted of the following classifications:

Senior Executive Service.....	1
Archivists.....	30
Clerks.....	9

Clerical Officers	28
Other (eg. Conservator, etc.)	6
Total	74

Classification of Persons Employed

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

During the year, the interim restructure implemented in 1990-91 was continued. In addition, the position of Senior Archivist-Parliament House (Archivist Grade 2) was transferred from the Authority's establishment to Parliament House, and a new position of Executive Assistant (Clerical Officer Grade 3-4) was created. The three Records Management Officers positions (previously Clerk Grade 2-4) were all regraded to Clerk Grade 4. A full list of permanent staff is given in Appendix 2.

Details of Employee Related Costs

	1989-90 (\$)	1990-91 (\$)	1991-92 (\$)
Salaries, wages, national wage	1 906 999	2 207 289	2 270 533
Leave on Termination — Provision	42 062	49 464	—
Overtime	38 473	46 227	34 381
Workers Compensation	9 427	13 344	7 202
Payroll tax	114 326	144 032	164 453
Superannuation	33 985	64 791	—
Total	2 145 272	2 525 147	2 476 569

CONSULTANTS AND CONTRACTORS

During the year, the Archives Authority used the services of seven different consultants at a total cost of \$65 753.84 (\$33 074.25 in 1990-91). The projects undertaken by the consultants included: maintaining and developing accounting systems and training; staff development training; program evaluation; editorial assistance; engineering advice; energy audit; and printing the Annual Report.

In addition, the Authority contracted out the following services in 1991/92: cleaning, building maintenance; fleet maintenance; travel; furniture and equipment disposal; payroll; and stores/equipment.

STRUCTURAL EFFICIENCY PRINCIPLE (SEP)

As part of the Government's strategy for implementing SEP, the Archives Authority's Institutional Consultative Committee was established in 1990 to co-ordinate and oversee the development of proposals to increase efficiency and productivity in the workplace and to improve career prospects, training opportunities and workskills of the Authority's employees.

In September 1991, the Archives Authority's Institutional Consultative Committee undertook a review of work design to improve productivity and enhance work performance. Later in November/December 1991 a survey of training needs was undertaken and a structured training program was developed.

In addition, the SEP Tripartite Group consisting of the Archives Authority, the Ministry and the Historic Houses Trust, met regularly throughout the year taking a joint approach to skills analysis in the administrative area using the DACUM method and appraising Job Evaluation methodologies.

EQUAL EMPLOYMENT OPPORTUNITY (EEO)

The Authority supports equality of employment opportunity and during the year it prepared an EEO Annual Report for the Director of Equal Employment Opportunity in Public Employment, which documented the major EEO achievements for the period, including the ongoing review of all positions and classifications and duty statements, increased part-time work opportunities, increased study time opportunities, and a structured staff development program.

Representation and Recruitment of Aboriginal Employees

	1990-91		1991-92	
	Total Staff	Aboriginal People	Total Staff	Aboriginal People
Total	87	3 4.4%	87	2 2.2%
Recruited in the year	24	3 12.5%	30	1 3.4%

Representation of EEO Target Group Members

	1990-91			1991-92		
	Total Staff	Women	NESB*	Total Staff	Women	NESB*
Below \$15 866 pa.	1	1	0	0	0	0
\$15 866 - \$24 093	29	18	9	38	24	6
\$24 094 - \$27 636	22	15	6	18	14	7
\$27 637 - \$37 016	23	19	0	20	13	1
\$37 017 - \$47 892	7	4	1	6	4	1
\$47 893 - \$58 132	3	1	0	3	1	0
Above \$58 132 pa	2	1	0	2	1	0
Total	87	59	16	87	57	15

* *Non-English Speaking Background*

STAFF TRAINING AND STAFF DEVELOPMENT

In accordance with the provisions of the Training Guarantee Act 1990, the Archives Authority spent a total of \$63 977 in 1991-92 on eligible training activities (the minimum training expenditure requirement was \$23 049). These included various structured internal and external training courses covering topics such as: introduction to the Archives Office; accrual accounting; customer care; writing skills; performance management; industrial relations; computer training; first aid; information technology; success skills; management effectiveness; risk management; assertiveness skills; train the trainer; marketing; and negotiation skills.

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

LEAVE

Angela Kavuzlu, Roslyn Beard, Clara Cesarone, Amanda Barber and Sue Coleman all took maternity leave during the year.

Leo Poulos, Richard Gore and Sue Coleman all took extended leave during the year.

PROMOTIONS AND APPOINTMENTS

Laraine Tate, B.A., Dip.Lib., Dip.Arch.Admin., was appointed to the position of Archivist on 23 September 1991.

Jimena Galleguillos was promoted to the position of Second In Charge - Support Services on 10 October 1991.

Robin Carlyle was appointed to the position of Executive Assistant on 22 October 1991.

Deborah Sims, B.A., was promoted to the position of Senior Archivist - Client Liaison and Training on 6 January 1992.

Sharon Drew was appointed to the position of Clerical Officer on 13 April 1992.

Cheri Lutz, B.Ed., Grad.Dip.Lib.I.M., was appointed to the position of Archivist on 30 April 1992.

Denise Bechert, B.A., was appointed to the position of Records Management Officer on 5 May 1992.

David Brumby, B.A., Dip.I.M.Arch.Admin., was promoted to the position of Records Management Officer on 5 May 1992.

Andrew Delves was appointed to the position of Clerical Officer on 5 May 1992.

RESIGNATIONS, RETIREMENTS AND TRANSFERS

Robert Lawrie transferred to Parliament House on 1 July 1991.

Jennifer Broomhead's secondment from the State Library finished on 27 September 1991.

Kim Garside transferred to National Parks and Wildlife Service on 25 October 1991.

Leo Poulos retired on 23 December 1991.

Therese Allen resigned on 21 February 1992.

Mark Aggar transferred to Public Trust Office on 13 March 1992.

PROFESSIONAL ACTIVITIES

Deborah Sims, Rhonda Campbell and Jimena Galleguillos attended a "Senior First Aid Certificate" training course run by St. Johns Ambulance on 5-6 August 1991.

John Davies attended a "Sydney Cultural and Custodial Institutions Disaster Preparedness Committee" meeting on 4 September 1991.

Janette Pelosi attended a "Hands on Computers" training course run by First State Computing on 27 September 1991.

Stephen Bedford, Elizabeth Page, Bernard Edwards, Gail Davis and Judith Russell attended an "Assertiveness Skills" seminar run by Pryor Resources on 2 October 1991.

Rhonda Campbell attended a "Women's Information Day" seminar run by the Central Co-ordinating Committee of Spokeswomen on 8 October 1991.

John Cross officiated at the "Opening of the Outback Archives" regional repository at the Charles Rasp Memorial Library in Broken Hill on 17-18 October 1991.

Sandra Orellana, Rosana Guevara and Stephen Bedford attended a "Ventura" training course run by Future Technologies on 26 September and 1 and 27 October 1991.

Stephen Bedford and Janette Pelosi attended "Appraising Audio Visual Records at the New South Wales Regional Office of the Australian Archives on 2 November 1991.

Gerald Purkis visited the University of New England to inspect the State Archives on loan there on 3-6 November 1991.

Tracy Bradford attended a "Neutral Questioning in Library Service Environments" workshop run by the Australian Library Information Association, NSW Branch on 14 November 1991.

David Brumby and Robin Carlisle attended a "Word Introduction" training course run by First State Computing on 9-10 October 1991 and 18-19 November 1991, respectively.

Bernard Edwards attended an "Accrual Accounting for Non-Accounting Staff" training course run by Accrual Accounting Courses on 18-20 November 1991.

David Brumby and Stephen Bedford attended an "Information Technology — Policy and Practice in the Public Sector" seminar run by the Royal Institute of Public Administration Australia on 25 November 1991.

Elizabeth Page attended a "Financial Management" workshop run by Premiers Department on 26-27 November 1991.

Frances Lemmes attended a "Fraud, Ethics and Accountability" seminar run by the Royal Institute of Public Administration Australia on 28-29 November 1991.

John Cross presented a paper at a "Seminar on Archives Legislation" at the Electoral and Administrative Review Commission in Brisbane on 9 December 1991.

Gail Davis and Wendy Gallagher attended a "How to Manage Priorities and Deadlines" seminar run by Fred Pryor Seminars on 10 February 1992.

Bernard Edwards attended a "DOS Introduction" training course run by First State Computing on 11 February 1992.

Bee Leong Pang attended a "Lotus 123 Introduction" training course run by First State Computing on 13 February 1992.

Deborah Sims attended a "Hands on Computers" training course run by First State Computing on 24 February 1992.

Janet Knight and Roslyn Beard attended a "Senior First Aid Certificate" training course run by St. Johns Ambulance on 17-18 February 1992 and 25-26 February 1992, respectively.

Twenty-six staff attended an "Archives Authority — Past, Present and Future" talk on 2 March 1992.

Jimena Galleguillos, Robin Carlisle and Bee Leong Pang attended a "Success Skills for Administrative Assistants" seminar run by Pryor Resources on 9 March 1992.

Mark Aggar attended a "Structural Efficiency Principle" conference run by Government Administration Association for Training and Development on 12-13 March 1992.

Clara Cesarone attended a "British Binding and Restoration" training course run by the Technical and Further Education Arts and Media Industry Training Division on 12-16 March 1992.

Robin Carlisle attended a "Word Advanced" training course run by First State Computing on 16-17 March 1992.

John Burke and Jennifer Stapleton attended a "Direct Marketing" symposium run by Permail on 18 March 1992.

Bernard Edwards attended an "Industrial Relations for Line Managers" training course run by the Department of Industrial Relations, Employment, Training and Further Education on 17-19 March 1992.

Ten staff attended a "Word Introduction" training course run by First State Computing on 19-20 March 1992.

Stephen Bedford, Gail Davis and Tracy Bradford attended a "Management Effectiveness" seminar run by Careertrack International on 23-24 March 1992.

Twelve staff attended a "Customer Care" workshop run by Trilogy Group on 23-24 March 1992.

John Cross attended a "Towards Federation 2001: Linking Australians and their Heritage" conference at the National Library of Australia, Canberra on 23-26 March 1992.

Rudi Gottl attended a "Hands on Computers" training course run by First State Computing on 31 March 1992.

John Burke, Jennifer Stapleton, Sally Irvine-Smith and Deborah Sims attended a "Direct Marketing" seminar run by Australia Post on 8 April 1992.

Andre Queree attended a "Supplyline Database" training course run by NEIS on 21 April 1992.

Christine Shergold and Michael Allen attended a "Dbase Introduction" training course run by First State Computing on 22-23 April 1992.

Christine Shergold, Stephen Bedford, David Brumby and Michael Allen attended a "Spreading the Word" seminar run by the Royal Institute of Public Administration Australia on 29 April 1992.

John Davies, Clara Cesarone, Annette Lennon, Michael Holland and Rudi Gottl attended a "Risk Management" forum run by the Public Sector Risk Management Association on 7 May 1992.

Coral Searle attended a "Ventura" training course run by EDUCOM on 13-14 May 1992.

Twelve staff attended a "Writing Skills" workshop run by Trilogy Group on 18 May 1992.

Sixteen senior staff attended an "Accrual Accounting Introduction" workshop run by Accrual Accounting Courses on 22 May 1992.

Mark Aggar and Denise Bechert attended a "Training Administration in the Workplace" training course run by Training Services Australia on 13-14 January 1992 and 26-27 May 1992, respectively.

John Cross attended the Annual Meetings of the "State and Territory Archivists Working Group" and the "Australian Council of Archivists" at the Charles Sturt University in Wagga Wagga on 26-27 May 1992.

Christine Shergold and Michael Allen attended a "Coreldraw" training course run by PCS Australia on 27 May 1992.

Frances Lemmes and Gerald Purkis attended the "Australian Society of Archivists Annual Conference, Archives Australia '92" at the Charles Sturt University in Wagga Wagga on 28-30 May 1992.

John Burke attended a "Managing for Performance" training course run by the Office of Public Management on 1-2 June 1992.

Christine Shergold and Michael Allen attended a "Windows 3.1 Technical Tips" workshop run by Microsoft on 2 June 1992.

Christine Shergold and Michael Allen attended a "Design and Layout" seminar run by Pollack Partners on 12 June 1992.

Deborah Sims and Shannon Searle attended a "Train the Trainer" training course run by North Sydney Business Centre on 22 May 1992 and 19 June 1992.

Bernard Edwards attended several "Personnel Management Group" meetings throughout the year.

Christine Shergold and Michael Allen attended several product demonstrations and workshops throughout the year.

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

Videos bought for training purposes during the year were: "Dealing with Office Fires"; "Managing Stress in the Workplace"; "Courtesy, Etiquette and Attitude in the Workplace"; "Managing Pressure at Work"; "Negotiation for Positive Results"; "Difficult People"; "Exceptional Customer Service"; and "Team Building".

Computer based training software programs bought during the year were: "Ventura Desktop Publishing — Windows Edition"; "Word for Windows 2.0"; "Typequick"; and "Introduction to PC's and DOS".

FINANCIAL RESOURCES

The Authority's financial statements have again been prepared on an accrual accounting basis for the year ended 1991-92, with the operations during the year also being carried out under an accrual accounting basis. Details of these are provided in the financial statements section of this report.

During this period Mr Nicholas Stafford-Gaffney, B.Bus.(Acc), ASCPA, has continued to be employed as a consultant on a part-time basis for the purpose of advising, assisting and implementing new procedures with the financial operations.

The internal audit program for the year consisted of the following areas: Review of Methodology to Determine the Cost of Providing a Document Reproduction Service; Stock Control System; and Fraud Risk Assessment. The audits were conducted by the Internal Audit Bureau as part of the Ministry for the Arts overall audit program.

In 1991-92 the Authority paid an audit fee of \$19 600 in respect of its accounts to the Auditor-General's Office.

In 1990-91 the Authority ordered four hundred copies of the Annual Report to be printed at a cost of \$11.16 each. In 1991-92 four hundred and fifty copies have been ordered at a cost of \$9.89 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

	1989-90 (%)	1990-91 (%)	1991-92 (%)
Salaries and Allowances	54	53.8	52.3
Rental and Cleaning	30	25.5	25.9
Equipment and Purchases	4	6.4	6.8
Printing and Publications	1	0.5	0.6
Gas and Electricity	4	4	3.9
Other	7	9.8	10.5
Total	100	100	100

A monthly breakdown of stores expenditure is given in Appendix 4.

REVENUE

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

Revenue Raised (cash basis)

	1989-90 (\$)	1990-91 (\$)	1991-92 (\$)
Archives Office	137 958	136 211	*197 078
Government Records Repository	737 458	1 207 287	1 719 200
Records Management Office	288 167	370 202	213 767
Total	1 163 583	1 713 700	2 130 045

* includes revenue from Special Deposits Account

CAPITAL WORKS

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

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

Source of Funds

	Allocation (\$)
Consolidated Fund — Other	528 000
Global Borrowings	2 000 000
Authority Reserves	1 400 000
Total	3 928 000

PAYMENT PERFORMANCE INDICATORS

The following payment performance indicators for the period April-June 1992 provide details of when accounts were paid in relation to the due dates.

Accounts Paid in April-June 1992

	April			May			June		
	No.	Amount	%	No.	Amount	%	No.	Amount	%
Current (within due date)	111	175 331	100	89	186 552	90	111	257 317	92
Less than 30 days overdue	—	—	—	8	1 742	8	8	5 216	7
Between 30 and 60 days overdue	—	—	—	2	22 888	2	2	629	1
Between 60 and 90 days overdue	—	—	—	—	—	—	—	—	—
More than 90 days overdue	—	—	—	—	—	—	—	—	—
Total	111	175 331	100	99	211 182	100	121	263 162	100

In following years this information will be supplied for the whole year and the details will be grouped into quarters of the year.

RISK MANAGEMENT AND INSURANCE

In May 1989, a comprehensive Risk Evaluation Report was prepared for the 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 premium 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 Authority also maintains membership to the Association of Risk and Insurance Managers of Australia.

During the year the Authority maintained insurance policies with the Government Insurance Office as Fund Manager of the Treasury Managed Fund for the following areas: worker's compensation; motor vehicles; property; public liability and miscellaneous.

Insurance Premiums

	1989-90 (\$)	1990-91 (\$)	1991-92 (\$)
Worker's Compensation	9 427	13 344	7 202
Motor Vehicles	1 609	2 208	4 575
Property	17 850	27 250	32 300
Public Liability	5 009	5 210	4 600
Miscellaneous	272	100	1 800
Total	34 167	48 112	50 477

Claims History

	1989-90	1990-91	1991-92
Worker's Compensation	0	1	5
Motor Vehicles	4	4	1
Property	0	1	1
Public Liability	0	0	0
Miscellaneous	0	0	0
Total	4	6	7

V FINANCIAL REPORT

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

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

- (a) the financial statements and notes thereto, exhibit a true and fair view of the financial position and transactions for the year ended 30 June 1992.
- (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:

Denneth W Knight

DATE:

14 August, 1992

CHAIRPERSON
ARCHIVES AUTHORITY

SIGNED:

John Ross

DATE:

14 August 1992

PRINCIPAL ARCHIVIST

SIGNED:

O. Richmond

DATE:

14 August 1992

MEMBER
ARCHIVES AUTHORITY

ARCHIVES AUTHORITY OF NEW SOUTH WALES
Notes to and Forming Part of the Financial Statements
30 June 1992

CONTENTS

Note

- 1 Reporting Entity**
- 2 Summary of Significant Accounting Policies**
 - Basis of Presentation
 - Accounting Records
 - Changes in Accounting Policies
 - Other Accounting Policies
- 3 Budget Review**
- 4 Operating Expenses**
- 5 Operating Revenues**
- Current Assets**
- 6 - Cash**
- 7 - Receivables**
- 8 - Inventories**
- Non-Current Assets**
- 7 - Receivables**
- 9 - Property, Plant and Equipment**
- Current Liabilities**
- 10 - Creditors**
- 11 - Provisions**
- Non-Current Liabilities**
- 11 - Provisions**
- 12 Equity**
- 13 Commitments for Expenditure**
- 14 Contingent Liabilities**
- 15 Note to Statement of Cash Flows**
- 16 Program Information**
- 17 Audit Fees**

ARCHIVES AUTHORITY OF NEW SOUTH WALES

Operating Statement

For the year ended 30 June 1992

	Notes	Actual 1992 \$'000	Budget 1992 \$'000	Actual 1991 \$'000
Operating Expenses				
Employee related	4(a)	(2 662)	(2 603)	(2 517)
Maintenance & working	4(b)	(2 090)	(2 251)	(2 030)
Depreciation	4(c)	(357)	-	(350)
Grants & subsidies	4(d)	(17)	-	-
Other	4(e)	(49)	(15)	-
		<u> </u>	<u> </u>	<u> </u>
Total Operating Expenses		<u>(5 175)</u>	<u>(4 869)</u>	<u>(4,897)</u>
 Operating Revenues				
User charges	5(a)	111	125	60
Grants & Subsidies	5(b)	12	-	-
Other	5(c)	1 892	-	1 906
		<u> </u>	<u> </u>	<u> </u>
Total Operating Revenues		<u>2 015</u>	<u>125</u>	<u>1 966</u>
 Net loss on sale of property, plant and equipment		(2)	-	(5)
		<u> </u>	<u> </u>	<u> </u>
NET COST OF SERVICES	3	(3 162)	(4 744)	(2 936)
 Consolidated Fund recurrent allocation		3 132	3215	3 239
Acceptance by Crown of Department liabilities	4(a)	151	-	-
		<u> </u>	<u> </u>	<u> </u>
Operating Result	12	<u>121</u>	<u>(1 529)</u>	<u>303</u>

The accompanying notes form part of these statements.

ARCHIVES AUTHORITY OF NEW SOUTH WALES
Statement of Financial Position
As at 30 June 1992

	Notes	Actual 1992 \$'000	Actual 1991 \$'000
Current Assets			
Cash	6	764	275
Receivables	7	658	814
Inventories	8	129	151
		<u>1 551</u>	<u>1 240</u>
Total Current Assets			
Non-Current Assets			
Receivables	7	1	378
Property, plant and equipment	9	15 517	15 822
		<u>15 518</u>	<u>16 200</u>
Total Non-Current Assets			
TOTAL ASSETS		<u>17 069</u>	<u>17 440</u>
Current Liabilities			
Creditors	10	119	62
Provisions	11	170	171
		<u>289</u>	<u>233</u>
Total Current Liabilities			
Non-Current Liabilities			
Provisions	11	--	377
		<u>--</u>	<u>377</u>
Total Non-Current Liabilities			
TOTAL LIABILITIES		<u>289</u>	<u>610</u>
NET ASSETS		<u>16 780</u>	<u>16 830</u>
Equity			
Asset Revaluation Reserve	12	4 828	4 828
Asset Acquired Free of Liability	12	--	4 500
Deferred Income	12	--	6 652
Accumulated surplus	12	11 952	850
		<u>16 780</u>	<u>16 830</u>
TOTAL EQUITY			

The accompanying notes form part of these statements.

ARCHIVES AUTHORITY OF NEW SOUTH WALES
Statement of Cash Flows
For the year ended 30 June 1992

	Notes	Actual 1992 \$'000
OPERATING ACTIVITIES		
Payments - Employee Related		(2 663)
- Maintenance & Working		(2 047)
- Grants & Subsidies		(4)
- Other		(62)
		<u>(4 776)</u>
Receipts - User Charges		133
- Grants & Subsidies		12
- Other		1 891
		<u>2 036</u>
NET CASH FLOW FROM OPERATING ACTIVITIES		<u>(2 740)</u>
INVESTING ACTIVITIES		
Purchase of property, plant & equipment	15	(54)
NET CASH FLOW FROM INVESTING ACTIVITIES		<u>(54)</u>
NET CASH FLOW FROM OPERATING & INVESTING ACTIVITIES		<u>(2 794)</u>
GOVERNMENT FUNDING ACTIVITIES		
Crown Accepted Liabilities	4	151
Consolidated Fund Recurrent Allocation		3 132
NET CASH FLOW GOVERNMENT FUNDING ACTIVITIES		<u>3 283</u>
NET INCREASE IN CASH		<u>489</u>
OPENING CASH BALANCE	6	<u>275</u>
CLOSING CASH BALANCE	6	<u><u>764</u></u>

Notes to the Statement of Cash Flows

- RECONCILIATION OF CASH**
For the purposes of the Statement of Cash Flows, the Authority considers cash to include cash on hand and in bank, special deposit accounts and sub-drawing accounts. Cash at the end of the reporting period is reconciled at Note 6.
- RECONCILIATION OF NET CASH USED IN OPERATING ACTIVITIES TO NET COST OF SERVICES**

Net Cost of Services	(3 162)
Depreciation	357
Loss on Sale of Fixed Assets	2
Decrease in Receivables	533
Decrease in Stock	22
Increase in Creditors	57
Decrease in Provisions	(378)
Decrease in Equity	(171)
Net cash used in operating activities	<u><u>(2 740)</u></u>

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 1992

1. REPORTING ENTITY

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

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

2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

(1) BASIS OF PRESENTATION

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

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

The Authority has been granted a once only exemption by Treasury from supplying budget figures for the Statement of Financial Position and Statement of Cash Flows (under Section 45EA of the Public Finance and Audit Act, 1983).

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) CHANGES IN ACCOUNTING POLICIES

- a) Following the adoption of the Code, the Income & Expenditure Statement, Balance Sheet, Statement of Source & Application of Funds and relevant Notes to the Accounts, as presented in last years' accounts, have been superseded.

They are replaced by the Operating Statement, Statement of Financial Position, Statement of Cash Flows and relevant Notes to the Accounts, respectively.

- b) Consolidated Fund Capital Appropriations are now recognised as contributions to Accumulated Surplus in the year they are received and not as contributions to Deferred Income.
- c) Deferred Income ceased being amortised from 1st July 1991. From this date both Deferred Income and Assets Acquired Free of Liability were transferred to Accumulated Surplus in line with Treasury directives. The financial effect of this change in accounting policy is disclosed in note 12.

ARCHIVES AUTHORITY OF NEW SOUTH WALES
Notes to and Forming Part of the Financial Statements
For the year ended 30 June 1992

- d) Treasury acknowledges, from 1st July 1991, the liability for Deferred Employee Entitlements, in respect of Long Service Leave and Unfunded Superannuation, as being an obligation of the Crown. Unfunded superannuation for those employees in the State Superannuation Fund are included in the accounts of the Ministry for the Arts.

The cost of employee entitlements to long service leave and superannuation are included in Employee Related Expenses.

However, as the Authority's liability for Inner Budget Sector Entities long service leave and superannuation have been assumed by the Crown, the Authority accounts for the liability for Inner Budget Sector Entities as having been extinguished resulting in a non-monetary revenue described as "Acceptance by Crown of Department Liability".

- e) The Authority acknowledges, from 1st July 1991, the liability for Provision for Annual Leave as being an obligation of the Authority, expensed in the year in which it is incurred.

As a result of this change in accounting policy the Authority has transferred \$171,033, from Prior Year Accumulated Surplus / (Deficit) to Provision for Annual Leave. This balance represents the Annual Leave Liability as at 30 June 1991.

- f) Archive Office income and expenditure relating to Publications, Royal Commissions, Projects & Miscellaneous, from 1st December 1991, ceased being allocated to the Special Deposits Account.

- g) Monetary resources which are allocated to the Authority by the government are recognised as revenues of the financial period in which they are received.

Prepayment and accrual adjustments, except for the reversal of the previous year's adjustments, ceased being included in the Consolidated Fund Recurrent Appropriations.

- h) The Authority entered into a Revenue Agreement with Treasury whereby it was encumbent upon the Authority to source \$125,000 towards its current year budget allocation.

Surplus funds in excess of the \$125,000 contribution are deemed to be Authority funds and at its disposal.

(4) OTHER ACCOUNTING POLICIES

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

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

ARCHIVES AUTHORITY OF NEW SOUTH WALES
Notes to and Forming Part of the Financial Statements
For the year ended 30 June 1992

The Authority's archive collection, which will be retained in perpetuity, is valued at \$1.00. The basis of this value is the result of the "Accounting Guidelines for Reporting Physical Assets in the Budget Sector" issued by Treasury in November 1989 and the adoption of the 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. In prior years, a value of \$1,500 was applied.
- d) Inventories are stated at the lower of cost or net realisable value. Cost is determined using the "first in first out" method of stock valuation.

3. BUDGET REVIEW

The actual net cost of services was lower than budget by \$1.582 million. This favourable result was primarily due to other operating revenues not being accounted for in the original budget.

Notes	1992	1991
	\$'000	\$'000

4. OPERATING EXPENSES

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

Salaries and wages	2 101	2 045
Payroll tax and fringe benefit tax	189	134
Recreation leave	174	211
Workers compensation insurance	7	13
Other	40	49
Superannuation	2(3)d 141	65
Long service leave	2(3)d 10	-
	<u>2 662</u>	<u>2 517</u>

- (b) Maintenance and working expenses comprise the following specific items:

Rent	1 194	1 185
Gas and Electricity	246	169
Alterations, Repairs and Charges	115	32
Minor Stores	145	78
Other	390	566
	<u>2 090</u>	<u>2 030</u>

ARCHIVES AUTHORITY OF NEW SOUTH WALES
Notes to and Forming Part of the Financial Statements
For the year ended 30 June 1992

	1992 \$'000	1991 \$'000
(c) Depreciation & Amortisation are charged as follows:		
Buildings	290	290
Office Furniture & Fittings	22	14
Computers	45	46
	<u>357</u>	<u>350</u>
(d) Grants & Subsidies comprise the following specific items:		
Chelmsford Royal Commission		
- Computer Records Downloading	4	-
Broken Hill Library Subsidy	13	-
	<u>17</u>	<u>-</u>
(e) Consultants	<u>49</u>	<u>-</u>
5. OPERATING REVENUES		
(a) User charges comprise the following items:		
Sale of Publications	12	9
Sale of Microfilm	34	28
Sale of Boxes	64	22
Sale of Souvenirs	1	1
	<u>111</u>	<u>60</u>
(b) Grants & Subsidies comprise the following items:		
Chelmsford Royal Commission		
- Computer Records Downloading	12	-
	<u>12</u>	<u>-</u>
(c) Other comprise the following items:		
Storage	980	504
File Retrieval	422	651
Consultancy	190	302
Interest Received	55	-
Other	245	449
	<u>1 892</u>	<u>1 906</u>

ARCHIVES AUTHORITY OF NEW SOUTH WALES
Notes to and Forming Part of the Financial Statements
For the year ended 30 June 1992

	1992 \$'000	1991 \$'000
6. CURRENT ASSETS - Cash		
Cash	9	5
Special Deposits	755	270
	<u>764</u>	<u>275</u>
7. CURRENT ASSETS - Receivables		
Trade debtors	644	643
Provision for doubtful debts	(7)	(7)
	<u>637</u>	<u>636</u>
Prepayments	21	7
Security Deposits	1	1
Employee Entitlements - Annual Leave	-	171
- Long Service Leave	-	377
	<u>659</u>	<u>1 192</u>
Current Assets - Receivables	658	814
Non Current Assets - Receivables	1	378
	<u>659</u>	<u>1 192</u>

During the year \$890 was written off to Bad Debts, of which \$330 has since been recovered.

8. CURRENT ASSETS - Inventories		
Stock on hand	129	151
	<u>129</u>	<u>151</u>

ARCHIVES AUTHORITY OF NEW SOUTH WALES
Notes to and Forming Part of the Financial Statements
For the year ended 30 June 1992

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

	Land (note (a)) \$'000	Buildings (note (a)) \$'000	Office Furniture and Fittings \$'000	Computers \$'000	Typewriters \$'000	Total \$'000
At cost or valuation						
Balance 1 July 1991	4 500	11 590	283	309	4	16 686
Additions	-	-	43	11	-	54
Disposals	-	-	(15)	-	-	(15)
	<u>4 500</u>	<u>11 590</u>	<u>311</u>	<u>320</u>	<u>4</u>	<u>16 725</u>
Balance 30 June 1992	4 500	11 590	311	320	4	16 725
Accumulated depreciation						
Balance 1 July 1991	-	560	135	167	2	864
Depreciation for the year	-	289	21	46	-	356
Writeback on disposal	-	-	(12)	-	-	(12)
	<u>-</u>	<u>849</u>	<u>144</u>	<u>213</u>	<u>2</u>	<u>1 208</u>
Balance 30 June 1992	-	849	144	213	2	1 208
Written Down Value						
At 1 July 1991	<u>4 500</u>	<u>11 030</u>	<u>148</u>	<u>142</u>	<u>2</u>	<u>15 822</u>
At 30 June 1992	<u>4 500</u>	<u>10 741</u>	<u>167</u>	<u>107</u>	<u>2</u>	<u>15 517</u>

Notes:

- (a) Buildings have been valued at the estimated written down replacement cost of the most appropriate replacement facility having a similar service potential or future economic benefit to the existing building. Land has been valued on an existing use basis subject to any enhancements or restrictions arising from development activities since acquisition. The August 1989 valuation was carried out by the Valuer General's Department.
- (b) **Exemption from the application of the Recoverable Amount Test:** The Treasurer has determined that the Recoverable Amount test as set out in Australian Accounting Standard AAS10 "Accounting for the Revaluation of Non-current Assets" is not to apply to budget sector agencies in respect of the year ended 30 June 1992 and subsequent financial years. This exemption is granted under Section 45EA of the Public Finance and Audit Act which came into effect on 1 July 1992.

ARCHIVES AUTHORITY OF NEW SOUTH WALES
Notes to and Forming Part of the Financial Statements
For the year ended 30 June 1992

	1992 \$'000	1991 \$'000
10. CURRENT LIABILITIES - Creditors		
Trade Creditors	66	57
Accrued Charges	53	-
Advance Treasury - Petty Cash	-	1
Advance Treasury - Sub Drawing A/c	-	4
	<u>119</u>	<u>62</u>

11. CURRENT LIABILITIES - Provisions

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

Balance 1 July 1991	171	159
Increase / (Decrease) in provisions	(1)	12
	<u>170</u>	<u>171</u>
Balance 30 June 1992		

Amount of recreation leave paid has been charged directly to the operating statement.

NON CURRENT LIABILITIES - Provisions

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

Balance 1 July 1991	377	305
Increase in provision	-	72
Acceptance by Crown	(377)	-
	<u>-</u>	<u>377</u>
Balance 30 June 1992		

Treasury acknowledges Long Service Leave as being a liability of the Crown (Refer Note 2(3)d)).

ARCHIVES AUTHORITY OF NEW SOUTH WALES
Notes to and Forming Part of the Financial Statements
For the year ended 30 June 1992

12. EQUITY

	Assets Acquired Free of Liability \$'000	Deferred Income \$'000	Accumulated Surplus \$'000	Asset Revaluation Reserve \$'000
Balance 1 July 1990	4 500	6 839	547	4 828
Additions	-	-	-	-
Disposals	-	-	-	-
Amortisation	-	(187)	-	-
Revaluation Increase	-	-	-	-
Revaluation Decrease	-	-	-	-
Reserves Transfer In	-	-	-	-
Reserves Transfer Out	-	-	-	-
Operating Result for the Year	-	-	303	-
Balance 30 June 1991	<u>4 500</u>	<u>6 652</u>	<u>850</u>	<u>4 828</u>
Balance 1 July 1991	4 500	6 652	850	4 828
Additions	-	-	11 152	-
Disposals	(4 500)	(6 652)	-	-
Amortisation	-	-	-	-
Revaluation Increase	-	-	-	-
Revaluation Decrease	-	-	-	-
Reserves Transfer In	-	-	-	-
Reserves Transfer Out	-	-	(171)	-
Operating Result for the Year	-	-	121	-
Balance 30 June 1992	<u>-</u>	<u>-</u>	<u>11 952</u>	<u>4 828</u>

Refer Note 2(3)c) for details regarding transfer of Assets Acquired Free of Liability and Deferred Income to Accumulated Surplus.

ARCHIVES AUTHORITY OF NEW SOUTH WALES
Notes to and Forming Part of the Financial Statements
For the year ended 30 June 1992

	1992 \$'000	1991 \$'000
13. COMMITMENTS FOR EXPENDITURE		
Lease Commitments		
Aggregate operating lease expenditure contracted for at balance date but not provided for in the accounts: Non cancellable		
Not later than one year	497	1 194
Later than one year but not later than 2 years	-	497
Later than 2 years but not later than 5 years	-	-
Later than 5 years	-	-
	<u>497</u>	<u>1 691</u>

This non cancellable lease represents the lease of 2 Globe St. It is a 10 year lease commencing May 1989 with a two yearly review of rental commencing December 1990. The next review date is December 1992 and hence the above figures only reflect lease commitments up to and including November 1992.

ARCHIVES AUTHORITY OF NEW SOUTH WALES
Notes to and Forming Part of the Financial Statements
For the year ended 30 June 1992

14. CONTINGENT LIABILITIES

The Authority is unaware of any contingent liability pending as at year end.

1992
\$'000

15. NOTE TO STATEMENT OF CASH FLOWS

Purchases of Property, Plant and Equipment

Additions at cost	54
Decrease/(increase) in creditors	-
Non-cash donations and industry contributions	-

Cash Paid	<u>54</u>
-----------	-----------

ARCHIVES AUTHORITY OF NEW SOUTH WALES
Notes to and Forming Part of the Financial Statements
For the year ended 30 June 1992

	Notes	1992 \$'000	1991 \$'000
16. PROGRAM INFORMATION			
Budget Number and Program: 24.1.1 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.			
Operating Expenses			
Grants & subsidies	(17)	-	-
Other	(5 158)	(4 897)	
		<u> </u>	<u> </u>
Total Operating Expenses		(5 175)	(4 897)
Operating Revenue			
User charges	111	60	
Other revenue	1 904	1 906	
Loss on sale of Non-Current Assets	(2)	(5)	
		<u> </u>	<u> </u>
NET COST OF SERVICES		(3 162)	(2 936)
 Government allocations	(a)	<u>3 283</u>	<u>3 239</u>
Operating Result after Consolidated Fund Allocations		<u>121</u>	<u>303</u>
Total Assets		<u>17 069</u>	<u>17 440</u>
 (a) Government Allocations			
Consolidated Fund recurrent allocation		3 132	3 239
Crown acceptance of liabilities		151	-
		<u> </u>	<u> </u>
		<u>3 283</u>	<u>3 239</u>

ARCHIVES AUTHORITY OF NEW SOUTH WALES
Notes to and Forming Part of the Financial Statements
For the year ended 30 June 1992

	1992 \$'000	1991 \$'000
17. AUDIT FEES		
The fee for the audit of the Authority's accounts and records by the New South Wales Auditor General's Office was	<u>20</u>	<u>19</u>
The Auditor-General received no other benefits.		

End of audited Financial Statements.



BOX 12 GPO
SYDNEY NSW 2001

AUDITOR-GENERAL'S OPINION

ARCHIVES AUTHORITY OF NEW SOUTH WALES

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

Scope

I have audited the accounts of the Archives Authority of New South Wales for the year ended 30 June 1992. 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 are the responsibility of the Authority. My responsibility is to express an opinion on these statements to Members of the New South Wales Parliament and Members of the Authority based on my audit as required by Sections 34 and 41C(1) of the Public Finance and Audit Act 1983. My responsibility does not extend here to an assessment of the assumptions used in formulating budget figures disclosed in the financial statements.

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

This audit opinion has been formed on the above basis.

Audit Opinion

The Archives Authority of New South Wales has departed from the provisions of AAS10 "Accounting for the Revaluation of Non-Current Assets" by not applying the recoverable amount test to its non-current assets. This is in line with an exemption granted by the Treasurer under section 41BA of the Public Finance and Audit Act 1983.

The exemption was granted because the Treasurer considers that, in respect of not-for-profit entities, the service potential of their assets is related to their ability to assist in the achievement of social service delivery objectives and is not dependent on their ability to generate net cash inflows. I am in agreement with the departure from the Standard. The quantification of the financial effect of the departure has not been assessed.

In my opinion, the financial statements of the Archives Authority of New South Wales comply with Section 41B of the Act and present fairly the financial position of the Authority as at 30 June 1992 and the results of its operations for the year then ended in accordance with Statements of Accounting Concepts and applicable Accounting Standards.

R.C. HENDERSON, FCA
DIRECTOR OF AUDIT

(duly authorised by the Auditor-General of New South Wales
under Section 45(2) of the Act)

SYDNEY
14 October 1992

Budget Number and Program: 24.1.1 Archives Authority

Detailed Budget in Accordance with Section 7 (1) (a) (iii)
of Annual Reports (Statutory Bodies) Act, 1984
- For Financial Year 1991-92
- Cash Basis

Archives Office

ITEM	ALLOCATION	EXPENDITURE
	1991/92	1991/92
	\$	\$
SALARIES AND PAYMENTS		
A.1 Salaries and Wages		
Penalties etc.	1,490,000	1,447,383
National Wage adjustment	54,000	
A.3 Overtime	34,000	28,284
A.5 Workers Compensation Insurance	5,000	4,574
A.7 Payroll Tax Expense	104,000	91,648
Sub-total "A" Items	1,687,000	1,571,889
MAINTENANCE AND WORKING EXPENSES		
B.2 Expenses in Connection with Building		
Rent	1,091,000	1,090,590
Rates	0	3,300
Maintenance	131,000	67,836
Cleaning	26,000	25,410
B.3 Subsistence and Transport		
Travelling and Subsistence	6,000	3,395
Motor Vehicles and Running Costs etc.	14,000	13,678
B.4 General Expenses		
Training/Seminars	15,000	18,557
Advertising and Publicity	3,000	1,591
Books and Periodicals	8,000	8,093
Fees for Services Rendered	50,000	59,050
Gas and Electricity	130,000	134,666
Other Insurance	30,000	29,788
Postal and Telephone	24,000	30,020
Printing	10,000	13,108
Stores, Equipment etc.	85,000	131,798
Minor expenses/OOP Expenses	3,000	2,556
Maintenance Contracts	12,000	16,338
Sub total "B" Items	1,638,000	1,649,774
OTHER SERVICES		
E.318 Archives and Records Management	10,000	23,070
E.320 Reproduction of Genealogical Research Kits	5,000	2,642
Sub total "E" Items	15,000	25,712
PROGRAM TOTAL	3,340,000	3,247,375

Budget Number and Program: 62.1.1 Archives Authority

Detailed Budget in Accordance with Section 7(1)(iii) of Annual Reports
(Statutory Bodies) Act, 1984 - For Financial Year 1992-93
Archives Office

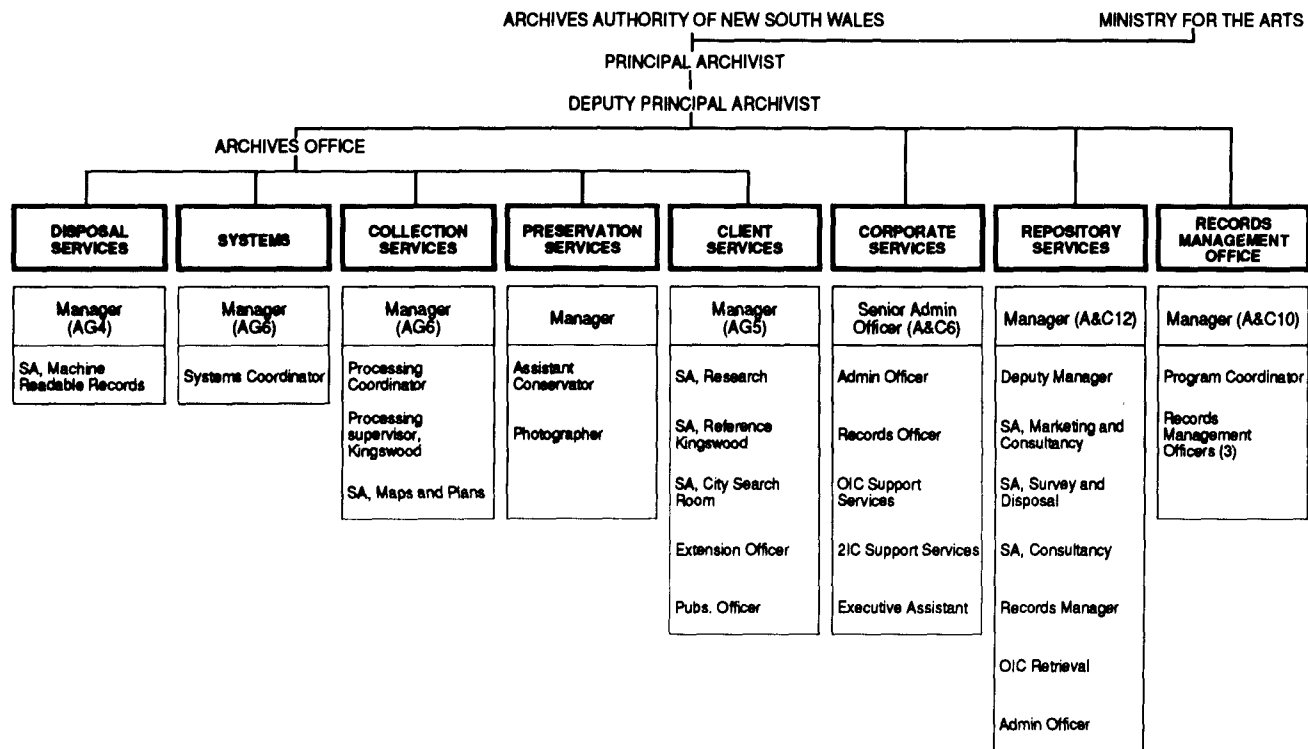
ITEM		ALLOCATION 1992-93 \$
REVENUE		
CONSOLIDATED FUND - RECURRENT		3,336,000
CONSOLIDATED FUND - CAPITAL WORKS		528,000
ARCHIVES OFFICE REVENUES		125,000
CARRY FORWARD FUNDS FROM 1991-92		60,000
TOTAL FUNDING		4,049,000
EMPLOYEE RELATED PAYMENTS		
A.100	Salaries, Wages, Penalties etc.	1,501,000
A.101	National Wage Adjustment	54,000
A.300	Overtime	31,000
A.500	Workers Compensation Insurance	5,000
A.700	Payroll Tax Expense	102,000
TOTAL EMPLOYEE RELATED PAYMENTS		1,693,000
MAINTENANCE AND WORKING EXPENSES		
B.201	Building Rent and Cleaning	1,263,000
B.202	Rates	4,000
B.203	Maintenance	131,000
B.205	Cleaning - Kingswood	26,000
B.301	Travelling and Subsistence	8,000
B.302	Motor Vehicles and Running Costs	14,000
B.303	Training and Seminars	15,000
B.401	Advertising	3,000
B.402	Books and Periodicals	8,000
B.403	Fees for Services Rendered	50,000
B.404	Gas and Electricity	138,000
B.406	Insurance	32,000
B.407	Postal, Telephone and Courier	32,000
B.408	Printing	11,000
B.409	Stores	81,000
B.410	Minor and Out of Pocket Expenses	3,000
B.412	Maintenance Contracts	9,000
TOTAL MAINTENANCE AND WORKING EXPENSES		1,828,000
CAPITAL WORKS		
F.100	Capital Works	528,000
TOTAL CAPITAL WORKS		528,000
TOTAL		4,049,000

VI ADDITIONAL INFORMATION

APPENDICES 1 - 4

CORPORATE SERVICES

ORGANISATION STRUCTURE



Establishment = 74

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

June 1992

PERMANENT STAFF AS AT 30 JUNE 1992

Principal Archivist
John Cross

Deputy Principal Archivist
Frances Lemmes

Archives Office

Manager, Systems
Christine Shergold

Manager, Collection Services
Richard Gore (Acting)

Manager, Disposal Services
Amanda Barber (Maternity Leave)

Manager, Preservation Services
John Davies

*Manager, Client Services/
Senior Archivist — Research*
Gail Davis (Acting)

Systems Co-ordinator
Michael Allen

Senior Archivist — Maps and Plans
Gerald Purkis

Processing Co-ordinator
Vacant

Senior Archivist — Reference, Kingswood
Roslyn Beard

Processing Supervisor — Kingswood
Vacant

Senior Archivist — Search Room, City
Tracy Bradford

Extension Officer
Wendy Gallagher

Senior Archivist — Machine Readable Records
Stephen Bedford

Assistant Conservator
Clara Cesarone

Publications Officer
Sandra Orellana

Photographic Officer
Rudi Gottl

Archivists
Rhonda Campbell
Vanessa Follett
Leonie Jennings
Angela Kavuzlu (Maternity Leave)
Martyn Killion
Janet Knight
Fabian Lo Schiavo
Cheri Lutz
Janette Pelosi
Laraine Tate
Kathleen Verdich
Vacant

Corporate/Support Services

Senior Administrative Officer
Bernard Edwards

Administrative Officer
Elizabeth Page

Executive Assistant
Robin Carlyle

Records Officer
Bee Leong Pang

Officer In Charge — Support Services
John Mauguere

Second In Charge — Support Services
Jimena Galleguillos

Clerical Officers
Patricia Beavis
Andrew Delves
Sharon Drew
Rosana Guevara

Appendix 2 (cont.)

Michael Holland
Annette Lennon
Tuula Lepisto
Heather Lighezzolo
Robyn McGuirk
Phillip Martin
Dianne Morgan
Coral Searle

Records Management Office

Manager

Denis Comber (On secondment to State Rail Authority)

Program Co-ordinator

Vacant

Records Management Officers

Megan Birch
Denise Bechert
David Brumby

Clerical Officer

Vacant

Government Records Repository

Manager

John Burke

Deputy Manager

Jennifer Stapleton

Senior Archivist — Marketing and Consultancy

Sally Irvine-Smith

Senior Archivist — Client Liaison and Training

Deborah Sims

Senior Archivist — Consulting

Vacant

Senior Archivist — Consulting

Vacant

Records Manager

Robert Wright

Officer In Charge — Retrieval/Returns

Sue Coleman (Maternity leave)

Second In Charge — Retrieval
Douglas Slade

Second In Charge — Returns
Sheryl Coles

Administrative Officer
Vacant

Clerical Officers

Robert Byrne
Alan Cartwright
Mary Cleanthous
Josephine Lee
Linda McConnell
Richard Taylor
Vacant

Drivers/General Assistants

Stephen Hauer
John McGuiggan
Tom Pittman

THE ARCHIVES AUTHORITY OF NEW SOUTH WALES

CODE OF CONDUCT

1. Introduction

- 1.1 The Archives Authority of New South Wales is a statutory corporation responsible to the Minister for the management of the Archives Office of New South Wales, the New South Wales Government Records Repository, and the Records Management Office of New South Wales. The officers and employees of the Archives Authority are subject to the provisions of the Public Sector Management Act, 1988.
- 1.2 This document is designed as a declaration of appropriate behaviour 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.
- 1.3 The code will be supplemented where appropriate by clauses in individual contracts covering projects or consultancies in other organisations.

2. General Principles of Conduct

- 2.1 For their general obligations as public servants, officers should refer to the *New South Wales Public Sector Code of Conduct* prepared by the Office of Public Management (July 1991).
- 2.2 All staff are specifically required to carry out the policies of the Archives Authority of New South Wales, as directed by the Principal Archivist.
- 2.3 Staff must maintain the dignity, good reputation and standards of the Archives Authority.

3. Confidentiality of Information in Restricted Records

- 3.1 All Archives Authority staff are covered by the confidentiality clauses of the *Archives Act*, 1960, and have a special responsibility to treat information in restricted records as confidential. Information from such records may only be given to officials of the creating agency, or to persons with specific formal authorization from the head of that agency (see *Archives Act*, 1960, Section 14 (6) (a),(b),(c)).
- 3.2 Archives Authority staff are entitled to examine restricted public records in the course of their duties. Such records should, however, be only examined 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.

Appendix 3 (cont.)

4. Responsibilities and Obligations of persons working for or on behalf of the Archives Authority as consultants

- 4.1 An appreciation of the value of information services and resources should be encouraged.
- 4.2 The highest professional standards should be maintained by consultants when providing reports and advice to clients.
- 4.3 All material obtained during the course of consultancy should be treated 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
 - ☐ the consultant has sought and received written permission to divulge designated material in a specified way
- 4.4 Clear understanding and agreement should be 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.
- 4.5 As far as practicable, consultants should ensure that the terms of any agreement reached with a client are fully complied with during the course of a consultancy.
- 4.6 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, consultants must ensure that all recommendations made conform to the provisions of the *Archives Act*, 1960.
- 4.7 Consultants should avoid gratuitous criticism of clients or other organizations, and should not comment adversely on the services provided by rival consultants.
- 4.8 Should doubts be raised as to the appropriateness or legality of the activities or recommendations of other consultants, action to alert a client may be taken through the correct channels.
- 4.9 Consultants should ensure that they avoid all possibility of personal financial gain at the expense of the Archives Authority or clients.

5. Improper or corrupt Conduct

- 5.1 All Archives Authority staff should avoid conduct which could be interpreted as 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
- ☐ 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
- ☐ reasonable grounds to dismiss a public official

5.2 Any person who becomes aware of improper or corrupt conduct should notify their manager, or senior management.

5.3 Sanctions may be applied if any person is involved in:

- ☐ unsatisfactory performance of duties
- ☐ breaches of terms and conditions of employment
- ☐ breaches of codes of conduct
- ☐ actions which may be prosecuted as breaches of the ICAC Act

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

- ☐ counselling by supervisors or senior management
- ☐ a record of behaviour documented and placed on file
- ☐ not being recommended for permanency, a further term of employment or a salary increment
- ☐ dismissal
- ☐ prosecution

Appendix 3 (cont.)

6. Post-separation employment

- 6.1 All persons leaving the employ of the Archives Authority must ensure that any confidential or commercially valuable information relating to the Authority's operations gained during the course of their employment is not used to the detriment of the Authority.

7. Declaration by staff

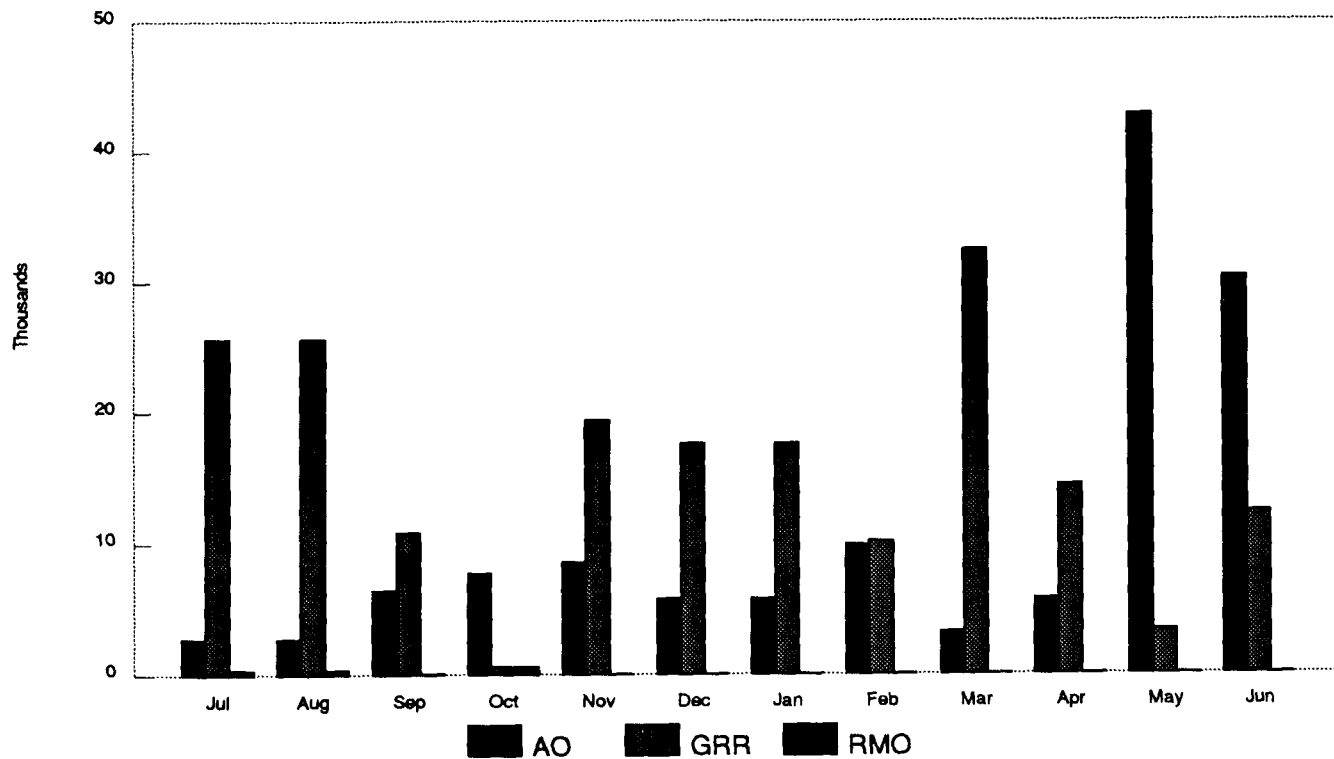
All staff must signify their agreement to abide by the Public Sector Code of Conduct and the Archives Authority Code of Conduct by signing the Code of Conduct/Confidentiality Declaration.

March 1992

Archives Authority of New South Wales

Stores and Equipment Purchases 1991-92

Monthly Breakdown — Total \$323,182



APPENDIX 5

FREEDOM OF INFORMATION

ARCHIVES AUTHORITY OF NEW SOUTH WALES

Supplementary Information required under the Freedom of Information Act 1989

A. Major kinds of documents held by the Archives Authority

1. Files

a) *Administrative files*

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

b) *Policy files*

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

c) *Disposal files*

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

d) *Reference files*

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

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

3. Disposal/accession and related records

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

4. Client Services — working records

Client 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. Client Services has also prepared a number of leaflets to assist researchers, covering family/local history research, Search Room, Research, Photographic and Extension Services.

Appendix 5 — Part 1 (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, Client Services (2 Globe Street, The Rocks, Sydney 2000; telephone: (02) 237 0132. Where possible, informal access will be arranged, and if copies are required charges will be levied. Where informal access is not possible, formal FOI procedures and fees will apply. Access would normally be given during office hours (9.00 am to 5.00 pm, Monday to Friday).

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

Head Office:

2 Globe Street
The Rocks
Sydney NSW 2000

Telephone:
(02) 237 0254

Repository:

O'Connell Street
Kingswood NSW 2747

(02) 673 1788

Leaflets on Repository Services are available only from the Repository.

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

2. Documents concerning personal affairs

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

Freedom of Information Statistics

SECTION A

Numbers of new FOI requests

FOI requests	Personal		Other		Total	
A1 New (including transferred in)	1	(8)	—	(9)	1	(10)
A2 Brought forward	—	(11)	—	(12)	—	(13)
A3 Total to be processed	1	(14)	—	(15)	1	(16)
A4 Completed	1	(17)	—	(18)	1	(19)
A5 Transferred out	—	(20)	—	(21)	—	(22)
A6 Withdrawn	—	(23)	—	(24)	—	(25)
A7 Total processed	1	(26)	—	(27)	1	(28)
A8 Unfinished (carried forward)	—	(29)	—	(30)	—	(31)

SECTION B

What happened to completed requests?

Result of FOI Request	Personal		Other	
B1 Granted in full	1	(32)	—	(33)
B2 Granted in part	—	(34)	—	(35)
B3 Refused	—	(36)	—	(37)
B4 Deferred	—	(38)	—	(39)
B5 Completed	1	(40)	—	(41)

SECTION C

Ministerial Certificates

C1 Ministerial Certificates issued	—	(42)
------------------------------------	---	------

SECTION D

Formal consultations

D1 Number of requests requiring formal consultations	—	(43)
--	---	------

Appendix 5 — Part 2 (cont.)

SECTION E Amendment of personal records

Result of Amendment Request	Total
E1 Result of amendment — agreed	— (44)
E2 Result of amendment — refused	— (45)
E3 Total	— (46)

SECTION F Notation of personal records

F3 Number of requests for notation	— (47)
------------------------------------	--------

SECTION G FOI requests granted in part or refused

Basis of disallowing or restricting access	Personal	Other
G1 Section 19 {applic incomplete, wrongly directed}	— (48)	— (49)
G2 Section 22 {deposit not paid}	— (50)	— (51)
G3 Section 22 {unreasonable diversion of resources}	— (52)	— (53)
G4 Section 25(1) (a) {exempt}	— (54)	— (55)
G5 Section 25(1) (b),(c),(d) {otherwise available}	— (56)	— (57)
G6 Section 25(1) (e) {documents more than 5 years old}	— (58)	— (59)
G7 Section 24(2) — deemed refused, over 45 days	— (60)	— (61)
G8 Totals	— (62)	— (63)

SECTION H Costs and fees of requests processed

	Assessed Costs	FOI Fees Received
H1 All completed requests	\$360 (64)	\$30 (65)

Appendix 5 — Part 2 (cont.)

SECTION I

Discounts allowed

Type of Discount Allowed		Personal	Other
I1	Public interest	— (66)	— (67)
I2	Financial hardship — Pensioner/Child	— (68)	— (69)
I3	Financial hardship — Non profit organisation	— (70)	— (71)
I4	Totals	— (72)	— (73)
I5	Significant correction of personal records	— (74)	— (75)

SECTION J

Days to process

Elapsed Time	Personal	Other
J1 0 - 30 days	1 (76)	— (77)
J2 31 - 45 days	— (78)	— (79)
J3 Over 45 days	— (80)	— (81)
J4 Totals	1 (82)	— (83)

SECTION K

Processing time

Processing Hours	Personal	Other
K1 0 - 10 hours	1 (84)	— (85)
K2 11 - 20 hours	— (86)	— (87)
K3 21 - 40 hours	— (88)	— (89)
K4 Over 40 hours	— (90)	— (91)
K5 Totals	1 (92)	— (93)

APPENDICES 6 - 10

THE PROGRAMS OF THE ARCHIVES AUTHORITY

GOVERNMENT RECORDS REPOSITORY: ANALYSIS OF HOLDINGS

(Figures are in linear metres)

Client	1990-91	1991-92
Agriculture	557.0	565.0
Attorney General	3717.7	4517.7
Auditor General	25.7	7.1
Building Services Corporation	390.3	547.4
Cabinet Office	379.6	380.6
Chief Secretary	246.3	197.2
Commercial Services Group	383.9	393.4
Community Services	1583.6	1945.5
Compensation Court	233.2	233.2
Co-operative Societies	183.3	189.2
Corporate Affairs	3825.0	3893.0
Corrective Services	2564.6	2718.2
Crown Solicitor	1665.6	1630.6
Dairy Corporation	115.0	115.0
Ethnic Affairs	3.7	3.7
Government Insurance Office	972.4	972.4
Health	583.9	1293.9
Home Care Service	217.9	455.2
Housing	828.9	670.3
Industrial Authority	1026.0	1026.0
Industrial Relations	640.4	883.2
Juvenile Justice	101.0	101.0
Land Titles Office	1678.4	1634.6
Lands Department	1794.7	1783.2

Client	1990-91	1991-92
Legal Aid Commission	3388.6	3991.9
Local Councils	369.8	557.3
Local Courts	4803.7	5214.3
Local Government	718.4	777.8
Maritime Services Board	445.2	465.9
Mineral Resources	2.2	87.5
Ministry for the Arts	59.8	70.3
National Parks	33.5	33.5
Ombudsman's Office	164.4	164.4
Pacific Power	2150.1	3667.3
Parliament House	71.2	90.8
Planning Department	151.9	178.1
Police Department	640.9	708.6
Premier's Department	280.8	252.6
Private	—	374.2
Protective Office	—	45.5
Public hospitals	2507.0	3976.5
Public Trust Office	64.3	77.4
Public Works	1088.6	1257.1
Roads & Traffic Authority	1135.1	1100.7
School Education	2002.4	2278.0
Soil Conservation	32.8	32.8
Sport, Recreation & Racing	10.5	29.6
State Authorities Superannuation	827.2	996.7
State Development	8.5	284.4
State Library	—	49.7
State Lotteries	108.1	133.1
State Rail Authority	710.4	745.8

Client	1990-91	1991-92
State Revenue	6137.7	6546.7
State Superannuation Office	9.7	7.1
State Transit Authority	151.1	330.4
Supreme Court	4464.7	4953.2
Technical & Further Education	286.9	483.2
Transport Department	218.6	230.1
Treasury	281.4	289.2
Universities Admission Centre	—	45.9
Valuer General's Department	226.1	216.0
Water Board	27.0	27.0
Water Resources Department	1104.2	843.4
Western Lands Commission	197.4	197.4
Women's Co-ordination Unit	18.5	18.5
WorkCover Authority	446.8	25.7
Total	59063.6	68012.2

COLLECTION SERVICES STATISTICS

Accessioning, destruction and processing of records

	City		Kingswood		Total	
	1990-91	1991-92	1990-91	1991-92	1990-91	1991-92
Quantity of records accessioned (metres):						
non-continuing	911	989.83	644	119.62	1 555	1 109.45
continuing	235	249.16	117	639.55	352	888.71
total	1 146	1 238.99	761	759.17	1 907	1 998.16
Other accessions: ¹						
microfilm (reels)	*	805	*	96	*	901
film (rolls)	*	74	*		*	74
plans	*	978	*		*	978
Quantity of records destroyed ²	153	189.78		291.63	153	481.41
Quantity of records processed	1 350	608.12	790	920.93	2 140	1 529.05
	c.1 100 maps/plans					c.1 100 maps/plans

Notes

¹ These figures relate to "non-standard" material, quantities of which cannot be readily expressed in metres. Please note that exact figures for items marked with an asterisk (*) were not kept before 1991-92

² The "records destroyed" figure relates only to the destruction of accessioned records culled by Archives Office staff. It does not cover records destroyed by or on behalf of government agencies acting on decisions of the Archives Authority

PRESERVATION SERVICES STATISTICS

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

* Includes items damaged by water

CLIENT SERVICES STATISTICS

Table 1 **Number of Users**

	1990-91	1991-92	Variation (%)
Number of new readers tickets issued	2 796	2 905	3.9
Number of readers tickets renewed	2 205	1 815	-17.7
Total readers tickets	5 001	4 710	-5.8
Proportion of new/total readers tickets	56%	61.7%	n/a
Number of daily undertakings (temporary tickets)	1 083	1 253	15.7
Total number of users	6 084	5 963	-1.8
Average number of visits per user	2.3	2.4	4.3

Table 2 **Search Room Statistics**

	1989-90			1990-91			1991-92		
	City	K/w	Total	City	K/w	Total	City	K/w	Total
No. of originals issued (volumes/boxes)	9 697	6 160	15 857	*9 174	15 498	24 672	8 967	15 851	24 818
No. of original maps issued	1 316	2 776	4 092	*1 069	2 590	3 659	451	2 233	2 684
No. of aperture card maps issued	4 098	—	4 098	*2 818	—	2 818	2 994	122	3 116
No. of microfilm reels issued	23 341	13 393	36 734	*20 075	10 572	30 647	17 939	11 146	29 085
No. of microfiche issued	22 408	30 278	52 686	*16 571	23 636	40 207	15 317	24 201	39 518
No. of CODs issued (Xerox copies of original documents)	3 898	572	4 470	*3 575	616	4 191	3 468	754	4 222
Total no. of issues	64 758	53 179	117 937	*53 282	52 912	106 194	49 136	54 307	103 443
Total no. of reader/visits	9 774	5 452	15 226	*8 912	4 924	13 836	8 824	5 262	14 086

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

Appendix 9 (cont.)

Table 3 **Research Service Statistics**

Correspondence dealt with	1990-91	1991-92
Inquiries returned/referrals/forms sent	*333	1 072
Non-standard correspondence	*143	375
Quotations sent	n/a	+196
Total written inquiries	2 204	1 643
Paid Research:		
Quotations accepted	n/a	+113
Convict research inquiries completed	78	58
Deceased Estate inquiries completed	n/a	29
Other paid research inquiries completed	—	1
Total paid research inquiries completed	78	201
	plus photographic orders	
Revenue:		
Quotations	4 500	3 742
Convict Research	4 680	3 960
Deceased Estates	n/a	1 310
Total revenue	9 180	9 012
Refunds	1 180	562
Net revenue	\$8 000	\$8 450
Telephone inquiries	6 213	5 818
Permission to publish	61	74

* April-June 1991 only

+ New system: January-June 1992 only

Appendix 9 (cont.)

Table 4

Extension Service Statistics

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

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

Appendix 9 (cont.)

Table 5

Photographic Service Statistics

	1990-91			1991-92		
	City	Kingswood	Total	City	Kingswood	Total
In the Search Rooms:						
Photocopies	18 583	31 266	49 849	18 822	27 176	45 998
Reader/Printer copies	7 824	3 257	11 081	6 690	3 043	9 733
Aperture Card negatives	537	323	860	220	243	463
Photographic prints	158	29	187	54	21	75
Arising from Written Inquiries:						
Photocopies			3 288			1 426
Reader/Printer copies			1 171			741
Aperture Card negatives			202			40
Photographic prints			30			1
Totals:						
Photocopies			53 137			47 424
Reader/Printer copies			12 252			10 474
Aperture card negatives			1 062			503
Photographic prints			217			76
Unpublished microfilms			183			256

CURRENT PUBLICATIONS OF THE ARCHIVES AUTHORITY

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

(a) Inventories and Guides

- (2) Colonial Secretary: Naturalization and Denization records (First edition published by the Public Library of New South Wales, Archives Section, 1959; new and revised edition 1967; revised and reprinted 1979; third edition, 1982)
- (13) Concise Guide to the State archives of New South Wales (Second edition, 1992)
- (14) Guide to Convict Records in the Archives Office of New South Wales. (Second edition, 1981; with Supplement, 1985)
- (16) Index to Assisted Immigrants Arriving Port Phillip, 1839-51. (1976; reprinted 1985)
- (17) Guide to Shipping and Free Passenger Records. (1977; Second edition, 1984)
- (19) Government (Colonial) Architect, 1837-c.1970 (1979)
- (21) Immigration: Index to Assisted Immigrants arriving Sydney, 1880-96 (1980)
- (23) Surveyor General: Select List of Maps and Plans, 1792-1886 (1980)
- (24) Clerk of the Peace: Part 1 — Quarter Sessions Records, 1824-1920 (1982)
- (26) Surveyor General: Select list of Maps and Plans, 1792-1886. Supplement (1984)
- (27) Immigration: Index to Assisted Immigrants arriving Moreton Bay (Brisbane), 1848-59 (1985)
- (28) Immigration: Index to Assisted Immigrants arriving Sydney, 1860-79 (1985) With Supplement, 1985
- (29) Immigration: Index to Assisted Immigrants arriving Sydney and Newcastle, 1844-59 (1987)
- (30) Index to the Papers of the New South Wales Colonial Secretary, 1788-1825 (1990)

(b) Information Leaflets

- (2) Publicans' Licences
- (3) Electoral Rolls
- (4) Birth, Death and Marriage Records
- (6) Maps and Plans

Appendix 10 (cont.)

- (7) Land Grants, 1788-1856
- (11) Colonial Secretary: Indexes and Registers to Letters Received, 1826-1900
- (14) Surveyor-General: Surveyors' Field books, 1794-1830
- (24) Department of Education: Subject files, 1875-1948
- (29) Returns of the Colony — 'Blue Books'
- (30) A Career as an Archivist in the Archives Office of New South Wales
- (35) Attorney General and Justice — Registry of Births, Deaths and Marriages: Microfilm copies of Registers of Baptisms, Burials and Marriages, 1787-1856
- (37) How to Use the Genealogical Research Kit
- (38) Muster and Census Records
- (39) Index to Abstracts of all Licences for Marriage granted to Free Persons, March 1813 - December 1827
- (40) The Colonial Secretary's Papers, 1788-1825
- (41) Professions and Occupations: A Select List of Sources
- (42) Probate Index, 1800-1984
- (43) An Introduction to Sources for Genealogical Research
- (44) Attorney General and Justice — Registry of Births, Deaths and Marriages: Microfiche copies of Indexes to Births, Deaths and Marriages, 1788-1905
- (45) Indexes in the Archives Office Search Rooms

(c) Technical Papers

- (1) Preservation of Books and Related Materials
- (2) Preventive Conservation — Basic Conservation Techniques
- (3) Guidelines in Establishing a Microfilming Programme
- (4) Microfilming of Records

(d) Document Kits

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

(e) Publications in Microform

- (1) *Genealogical Research Kit*
The *Genealogical Research Kit* (GRK) comprises the most important and heavily-used New South Wales official records relevant to family history research. It was published in four stages between 1984 and 1988, and consists of 523 reels of microfilm, 416 microfiche and a number of associated indexes, guides, leaflets and finding aids (see GRK order forms for full details).
- (2) *Colonial Secretary's Papers, 1788-1825*
These papers are available on 72 reels of 35mm vesicular roll microfilm and 312 diazo microfiche. Two printed publications — an index (Guide No.30), comprising a printed handbook and 63 microfiche, and Information Leaflet No.40, a guide to the microforms — complete the package (see Prospectus for full details).

(f) Other Publications

- (1) Annual Reports of the Archives Authority of New South Wales
- (2) Archeion: The Magazine of the State Archives
- (3) ArchiVista: News and Views from the State Archives

(g) Postcards

- (1) Police telegram reporting whereabouts of the Kelly gang of bushrangers, 7th January, 1880
- (2) Steam locomotive 0446 class, Engine No. 452 (it ran 59 years on New South Wales Railways), c. 1890's
- (9) Construction of Sydney Harbour Bridge: View from McMahons Point, September, 1930
- (10) Construction of Sydney Harbour Bridge: Erection of Deck, October, 1930
- (11) Construction of Sydney Harbour Bridge: Erecting the Deck, December, 1930
- (12) Opening of Sydney Harbour Bridge: Official cars crossing Bridge, March, 1932

(h) Maps

- (1) An outline of the settlement of New South Wales, 1817
- (2) Plan of the Settlement and Garrison Farm, Norfolk Island, May 1829

(i) Posters

- (1) Men of Wyalong Goldfield — Handbill, 28 March, 1903

Appendix 10 (cont.)

- (2) Sydney Harbour Bridge Celebrations, 1932
- (3) The Australian Mail Steamer "Orient"
- (4) "Kelly Gang", 1899
- (5) Harbour Bridge construction from Circular Quay, c.1930
- (6) Harbour Bridge opening, March 1932

(j) Hotel Plans

- (1) Proposed Lilly Bridge Hotel, corner of Ross and Wigram Streets, Forest Lodge, 1887
- (2) Ambassador's Hotel, Pitt Street, 1924

(k) Souvenirs

- (1) Ticket of Leave tea towel
- (2) Ticket of leave blank
- (3) "Docu-mints", individually wrapped after dinner mints

(l) Standards and Guidelines

- (1) General Records Disposal Schedule — Personnel

(m) Records Management Publications

- (1) File creation
- (2) File Movement and Resubmit Systems
- (3) General Records Disposal Schedule
- (4) Glossary of Records Management Terms
- (5) Records Storage Information Handbook
- (6) File Titling and Indexing

(n) Government Records Repository Publications

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