Contents

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

Overview 2010-11

Our charter, direction and services

Director's review

Message from the Chairperson

Performance summary

Our charter, direction and services

Our charter – who we are, why we exist

Who we are

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

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

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

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

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

We administer *the State Records Act 1998*.

Links to State Plan

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

State Records contributes to the NSW State Plan by:

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

The State Plan activities which State Records contributes to are:

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

Legislation and functions

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

Our History

>1821
Colonial Secretary and Registrar of the Records appointed

>1879
Keeper of Archives position proposed but not established

>1887
Archivist appointed to transcribe records for *History of New South Wales from the Records*

>1910
Trustees of Public Library prepare report on neglect of government records

>1911
Departments advised to transfer historical records to the Mitchell Library

>1953
Archives Department established within Public Library of NSW

>1955
Government Records Repository established

>1960
Archives Act 1960 passed

>1961
Archives Authority of NSW and Archives Office established

>1976
Records Management Office established

>1998
State Records Act 1998 passed

>1999
State Records Authority and its Board established

Our direction – where we are heading, how we work

Vision

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

Aims

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

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

Values

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

Our services – what we do, clients and stakeholders

What we do

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

Our clients and stakeholders

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

NSW public sector
- Central agencies
- Departments, agencies, and statutory bodies
- Ministers' offices
- State owned corporations
- Local councils
- The public health system
- The universities
- The Governor
- The Houses of Parliament
- Courts and tribunals

Director's review

Once again State Records NSW had a very challenging year in 2010-11 however, many significant achievements were made.

June 2011 marked the 50th anniversary of archives legislation in NSW. The acceptance of responsibility for government archives was a very long and tortuous process in New South Wales which finally came to fruition with the passing of the Archives Act 1960, which came into force on 1 June 1961. A function to celebrate the event was held at NSW Parliament House on 31 May 2011 and many former staff and Board members attended including previous Principal Archivists/Director, (Russell Doust, John Cross and David Roberts) and previous Chairpersons, (Ken Knight, David Levine and Shirley Fitzgerald). Concurrently Dr Peter J. Tyler's book State Records NSW 1788-2011 was launched by our current Chairperson Professor Lucy Taksa.

Dr Tyler had spent over twelve months 'embedded' within State Records NSW and was given free access to all records and documents to facilitate the writing of the history. 1,500 copies of the book were printed and they have been circulated widely.

The development of an online exhibition, showcasing 50 iconic items from the State archives collection was also developed during the year. This exhibition highlights the unusual nature of much of the material held in the archives rather than more traditional documents.

In February 2011 State Records received approval from Treasury for a 3 year pilot project to develop a Digital State Archive (DSA) for NSW. This project had been on State Records' risk register since 2003, so funding was most welcome. This funding will be used to create the necessary workflows and to test hardware, systems and software. Further funding to roll out the DSA to all universities, local government, area health services and to all agencies will be required in 2013-2014.

During 2010-11 the Government Records Repository (GRR) had another financially successful year. The GRR has operated as an off-budget service unit since 1 July 1990, relying primarily on paper-based records storage fees to generate its operating revenue. In 2010-11 the GRR's revenue and expenditure were both significantly above target, leading to an operational surplus of $3.1 million on revenue of $13.4 million, which is 23% of earnings and represents an increase of 17.5% in revenue on the previous financial year.

The GRR made an additional early repayment on its T-Corp loan during the year. This leaves only one payment of $1.9 million remaining on the Stage 6 Building which opened for business in 2005.

Funds from the GRR continue to support many key programs at State Records NSW but increasingly more funds have had to be transferred from the GRR to core activities such as collection documentation and preservation. The overall effect of these transfers on the GRR is that key projects for the development of the business have to be put on hold or delayed. Most pressing is construction of a Stage 7 Building at Kingswood. Planning was due to start in 2010-11 but has been delayed.

Work on comprehensive retention and disposal authority coverage continued during the year with the achievement of 85% coverage for agencies, local government, area health services and universities. This work will continue during 2011-12, as we work towards achieving comprehensive coverage for the whole sector. Continued improvements in disposal authority coverage will result in the more efficient and cost effective storage and the destruction of records at the appropriate time, which will assist agencies to meet their budgetary commitments by not paying for unnecessary storage.

A major review and audit of collection documentation was completed and the question of collection documentation and preservation was highlighted on State Records' risk register as being in the extreme category of risk. While efforts have been made to reduce the backlog of collection documentation, massive influxes of archives over the last three years have made progress exceedingly slow in the context of the resources available. Likewise with the preservation of the collection, it is quite beyond State Records' current capability to do more than provide a stable and climate controlled environment for the State's archives.

Interventions at the item level on a massive scale are beyond the resources at our disposal.

During the year our volunteers continued to make a magnificent contribution to State Records. They worked approximately 3,687 hours, an increase of 100 hours over last year and there were 34,384 items added to the on-line indexes, an increase of 15,357 on last year. State Records began its volunteers program in 2001, so 2011 is its 10th year of operation. The work of our volunteers and staff has ensured that State Records remains in the top 40 of NSW Government websites in terms of use. The indexing work done by volunteers has been invaluable in making our collections more accessible to the general public.

High demand for records management training continued throughout 2010-11 and in collaboration with our training partners, 43 short courses were delivered to a total of 579 participants, indicating there is still demand for records management training. Courses were held at locations around NSW: 35 in the Sydney CBD or Western Sydney and 8 in regional centres (Dubbo, Grafton, Griffith, Newcastle, and Wagga Wagga). Our new Training Resource Centre and suite of e-learning modules commenced in 2010-11 and has been well received. During 2010-11, we had 7,512 unique visits to the e-learning site, with 2,471 visitors completing e-learning modules. The top e-learning modules for 2010-2011 were: 'Recordkeeping concepts', 'Digital recordkeeping concepts', and 'Your Responsibilities for Managing Email'.

During 2010-11, we conducted or participated in a number of events to raise awareness and understanding of digital recordkeeping challenges and solutions in government organisations, including presentations for Energy Australia, the Department of Education and Training and the Records Management Association of Australia Local Government Chapter conference.

We also gave talks for the broader community including Museums and Galleries NSW, the TRIM (Records Management Software) User Group, Digital Information Management Summit, Lectora (Online Course Development Software) User Group, the Council of Australasian Archives
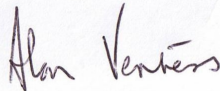
and Records Authorities annual workshop, the Australian Society of Archivists NSW Branch, the national conference of the Australian Society of Archivists and the National Meta 2011 conference.

With a large collection (including many records in fragile condition), there is considerable demand for items to be treated to allow for access, copying or display. 1,421 items were treated during 2010-2011, representing minimal change from the previous year. Again there were many items treated prior to agency retrieval (591 items), in particular files recalled by the Department of Family and Community Services. However, it is gratifying to note that records treated as part of planned projects (646) made up a higher proportion (45%) of the overall total than in the past.

Records were also treated for researcher access or copying purposes (69 items), and for exhibition loans (14 items).

State Records web site continues to be the first point of call for those requiring information about the archives collection, the Government Records Repository or record keeping for the wider public sector. During the year there were over 2.2 million unique visitors to the web site which has been developed to include links to Web 2 applications especially with You Tube, Twitter, Facebook and Flickr. This has enabled State Records to access previously untapped audiences. The 'Archives Outside' blog proved to be particularly successful during the year providing practical information to small archives in regional New South Wales.

In conclusion I would like to express my sincere thanks to all the staff and volunteers, including the Board at State Records (who are volunteers) for their continuing dedication and service to New South Wales during 2010-11.

ALAN VENTRESS

Message from the Chairperson

It gives me great pleasure to write my fifth annual message as Chairperson of the Board, especially during State Records' 50th anniversary year. I would like to pay tribute to the work of the Board and to express my personal appreciation to them as volunteers, for their commitment to fulfilling their responsibilities under the NSW State Records Act. A major responsibility for the Board is the assessment of New South Wales Government records for designation as State archives. Effective decision-making in relation to the disposal or retention of government records is extremely serious business. By identifying records to be retained as State Archives, the members of the Board ensure that current and future generations have a capacity to learn about government processes and procedures as these evolve over time. Not only is this critical to the maintenance of good governance but also of democracy itself.

Accordingly, I would like to thank Stephen Davies (Director Heritage, Urbis jhd), Zoe DeSaram (Director of Climate Change, Air and Noise, Office of Environment, Department of Premier and Cabinet), Robyn Foster (General Manager, Internal Customer Services, NSW Police), The Honorable Don Harwin MLC, His Honour Justice Rob Macfarlan (Supreme Court of NSW), Denise Dawson (General Manager Corporate Services) and Councillor Karen McKeown (Penrith City Council).

I would like to take this opportunity to acknowledge and honour the tireless work of Anthea Kerr, Assistant Director General, Policy, Department of Finance Services who tragically passed away in April 2011. Anthea was a stalwart and effective supporter of State Records NSW and was instrumental in our efforts to gain funding for the Digital State Archive. She was also a great advocate for State Records within government and had alerted both the Department and Treasury to the serious issues facing the organization in the context of our risk register and the extreme threats in the areas of documentation and preservation of the collection.

I would also like to thank Hon Justice Henric Nicholas for his contribution to the Board over the last three years.

During the past year the Board examined and approved 12 retention and disposal authorities. Since the commencement of my term as Chair I have sought to enhance the special expertise of each member and the validity of its recommendations by recommending a process of external consultation in order to provide the Board with input from experts. This has allowed for further verification and access to additional information prior to decision-making on the destruction of records or the extension of retention periods.

I would particularly like to thank :
Michael Bogle (heritage consultant); Professor John Burgess, Newcastle Business School, University of Newcastle); Mark Dunn (President of the History Council of NSW); Dr Barrie Dyster (Economic Historian, School of Economics, University of NSW); Professor Lesley Hughes (Department of Biological Sciences, Faculty of Science, Macquarie University); Dr Bruce Judd (Visiting Senior Research Fellow, City Futures Research Centre, UNSW); Professor Brian Opeskin (Macquarie University Law School); Professor Greg Patmore (Director of the Business and Labour History Group, Faculty of Economics and Business, University of Sydney); Michelle Richmond (Historian and Senior Heritage consultant with Godden Mackay Logan); Professor John Shields (Discipline of Work and Organisational Studies, Faculty of Economics and Business, University of Sydney); Dr Joo-Cheong Tham (Senior Lecturer, Melbourne Law School) and Associate Professor Anne Twomey (Sydney University Law School).

On behalf of the Board I would also like to sincerely thank all State Records' volunteers who continue to make a wonderful contribution in the area of indexing archival materials. Without their assistance many of the state's archives would remain inaccessible. The time given by the volunteers is greatly appreciated by the staff and management of State Records and the work the volunteers ensures that State Records' web site is extremely content rich and very popular with family historians.

I would like to again commend the commitment of all State Records' volunteers for the time they give to the organisation and to the State of

NSW. As a result of their labours State Records is able to provide the level of service that has become expected by the general public. I am especially pleased that State Records volunteers have developed long-lasting ties with the organisation, which reflects well on State Records as much as on the volunteers.

State Records has a long history of engaging with third parties to enhance the accessibility of relevant records for the benefit of the community. Soon after the passage of the NSW Archives Act 1961- the first legislation in Australia to provide for the orderly collection and retention of records that are significant historical documents, or are necessary for the ongoing smooth administration of government business in 1961, which enabled the appointment of the first archives authority - the Genealogical Society of the Church of Jesus Christ of Latter Day Saints was given permission to microfilm archives of genealogical interest. More recently in the 2008/09 financial year, support for such activities was enhanced when State Records entered into an agreement with ancestry.com to digitise and make available 19th century archives already widely available on microfilm. We see the importance of such access to government records in shows such as 'Who Do You Think You Are?' and its popularity attests to the broad interest in a wide range of archival sources. In the past year State Records continued to explore agreements with third parties such as Ancestry.com to increase the diversity of channels by which the people of NSW can access the State archives collection. Agreements with third parties to digitally copy and publish State archives on the Internet has enhanced access to NSW State archives, by making them readily available to a world wide audience.

The Government Records Repository (GRR) had a very good year financially with an operational surplus of $3.159 million. However, it must be pointed out that the GRR supports the Treasury funded side of the organisation to a significant degree which means that money transferred is opportunity forgone for the development of the GRR as a business entity. Funds from the Government Records Repository continue to support a variety of essential programs particularly the digitisation of popular parts of the collection and State Records' preservation program.

The Government Records Repository now holds 467,000 linear metres of non current records and during 2010-11 over 51,900 linear metres of records were accessioned. 370,045 file retrieval operations took place. Operational efficiency continued to be boosted through the use of GRRweb which has given agencies increased control over their holdings.

The 'In Living Memory' exhibition, now in its sixth year of operation has continued to prove very popular especially with the Aboriginal community in New South Wales. There were also group visits from diverse organisations, including Creative Youth Initiatives, Mission Australia; South Western Sydney Institute TAFE; Indigenous Police Recruitment, Our Way Delivery Program; tourism trainees from Strathfield College and Aboriginal Affairs NSW. The exhibition also attracted visitors from around the world, including United Kingdom, USA, Canada, Brazil, Chile, Italy, France, Germany, Switzerland, Czech Republic, Poland, Japan, Korea, Taiwan, India, Thailand, Indonesia and New Zealand.

The launch of Dr Peter J Tyler's book 'State Records NSW 1788-2011' at NSW Parliament on 31 May 2011 was a particular highlight of the year for me. The celebration of 50 years of service to the people and government of NSW by State Records was an event worthy of commemoration.

I would like to commend all State Records staff and volunteers for providing such outstanding service to the Government and people of NSW. State Records NSW is the keeper of our public memory and I am honoured to Chair the Board of an organisation that punches far above its small size and small budget.

PROFESSOR LUCY TAKSA, PhD
Chairperson of the Board

Performance summary

Introduction

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

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

Details of specific activities carried out over the year are reported on in a separate *Activity report 2010-11* available on our website www.records.nsw.gov.au.

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

Outcomes

State Records aims to:

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

Achievements

We estimate that 85% of public offices have comprehensive functional records retention policies (also known as disposal authorities). This continuing improvement is largely due to our strategy to develop general retention and disposal policies to cover common business functions as well as assist NSW Government agencies to develop retention and disposal policies for their unique activities. We approved 12 functional policies submitted by public offices. In addition 3 general policies were developed by State Records.

We accessioned 52,000 linear metres of non-current records into the Government Records Repository, bringing the total holdings in the GRR to 467,000 linear metres. This level of accessioning is nearly three times our estimate of 20,000 metres. Net growth in holdings was 33,000 linear metres for the year, which is an astonishing figure, the highest in the GRR's history. The difference between incoming records and growth in net holdings reflects the large quantities of records destroyed, transferred to the State Archives or permanently recalled by clients during the year.

We performed 370,000 file retrieval operations at the request of clients, which is significantly above our estimate. Efficiency in file retrieval, transport and other operational areas continues to be boosted by the roll-out of further enhancements to our electronic inventory system, RS-SQL. In total, 840,233 different activities were managed through RS-SQL during the year, compared with 624,452 activities in 2009-10. This large increase demonstrates the heightened levels of growth the GRR is experiencing, and also that we are bringing all our activities and processes under the control of our automated business systems.

Outlook

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

The GRR anticipates on-going strong demand for our records storage and associated services in 2011-12. Our estimate of 5% net growth in holdings for the year reflects the continued emphasis we and our clients are placing on the destruction, culling and transfer to archives of previously unsentenced records.

Quality recordkeeping and records management by public offices and public officials

Outcomes

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

In 2010-11 we sought improvements in public sector recordkeeping and records management systems and practices. We continued to implement our *Chief Executives Strategy*, providing information to new CEOs on records management obligations. We also continued our *Better skills strategy*, providing records management training to public officials. Finally, we continued to seek improvements in digital recordkeeping in the public sector through the implementation of our *Digital records strategy*.

Achievements

As we became aware of new public sector CEOs we sent them information about recordkeeping obligations and assistance available. During 2010-11 14 information packs were sent to new CEOs.

We offered 43 courses attended by 579 public officials in our annual records management training program. This was achieved in partnership with private sector training providers. A further 1,318 NSW public officials attended presentations on recordkeeping and records management, including forums and briefings on particular products.

We worked closely with others on the digital recordkeeping strategy. This included working closely with NSW government agencies and other stakeholders to ensure an integrated approach to records management and information management strategies across the sector. We also developed and improved digital recordkeeping products, including practical tools and guidance on digital recordkeeping.

In the first half of 2011 we received funding for the Digital Archives Project. This is a three year project to build our capacity to accept, preserve and make available digital records of the NSW Government as State archives. This work is a key component of our digital records strategy.

Outlook

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

'Future Proof', our digital records strategy, will continue as a central focal point in 2011-12. Work will continue on developing digital recordkeeping tools, guidance and training. We will also continue to work closely with NSW Government agencies and stakeholders to ensure that digital records needed to support Government business are appropriately managed. The Digital Archives project will continue with key work including requirements definition for digital archives systems and processes, software development and some testing.

Board Chairperson Prof Lucy Taksa addresses the audience at the function to mark the 50th anniversary of the establishment of the Archives Authority of NSW. NSW Parliament House, 31 May 2011

Protection, transfer and cataloguing of State Archives

Outcomes

State Records aims to ensure that:

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

Achievements

We worked closely with agencies (particularly Land and Property Information) to transfer into our custody a large quantity (2,053 metres) of State archives. 149,199 record items were catalogued, bringing the total discoverable through our online catalogue to 455,592.

Outlook

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

Rhonda Campbell, Di Morgan and Dawn Troy at the function to mark the 50th anniversary of the establishment of the Archives Authority of NSW. NSW Parliament House, 31 May 2011

Government and public use and benefit from records and archives

Outcomes

State Records aims to ensure that:

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

Achievements

Our online ordering and payment service for copies of State archives continued to prove very popular. We added 74,000 entries (including names) to online indexes, another popular service.

Public outreach events which we ran or participated in were attended by 3,226 people.

Outlook

The *In Living Memory* exhibition of photographs from the Aborigines Welfare Board remains a vital resource for the Indigenous and wider communities. Since the exhibition tour drew to a close there has been increasing interest within Aboriginal communities about the future of the exhibition. The Exhibition Team has engaged in a re-consultation process with families and Elders connected to the photos, to develop approaches to keeping the exhibition alive within communities. At the same time, work has been undertaken to process the thousands of photographs that were taken by senior Indigenous photographer Mervyn Bishop as part of the tour. These photographs provide an important record of NSW Aboriginal life today and will become State records for future generations.

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

Compliance with corporate governance requirements

Outcomes

State Records aims to ensure that:

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

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

Indicators, targets and results

Indicator	Result 2010-11	Target
No. of participants in records management program events	1,437	900
Percent of public offices with comprehensive access directions	46%	44%
Percent of public offices with comprehensive records retention policies	85%	90%
No. of records retention policies approved	15	12
Metres of non-current records in storage	467,000	425,000
Metres of non-current records accessioned	51,900	20,000
No. of file retrieval operations	370,000	320,000
Metres of standard format records in archival custody	69,117	68,739
Metres of records transferred to archival custody	2,053	1,500
No. of catalogued record items discoverable online	455,592	336,393
No. of record items catalogued	149,199	30,000
No. of archives information access points	42	42
No. of website visits	2,221,303	1,100,000
No. of original record items used by readers	25,425	26,000
No. of public program participants	3,226	3,600

Kingswood Repository, Stage 2 Ground Floor, 1983

Facts 2010-11

2,221,303 website visits

49,015 reading room visitors

25,425 original archives used

42 community access points to State archives collection across NSW

467 kilometres of non-current records stored at Western Sydney

69.117 kilometres of standard format archives in custody

455,592 record items discoverable online

24,302 unique visits to the Future Proof blog

98,044 unique visits to the Archives Outside blog

NRS4481 Government Printing Office Glass Negatives "The Garden Palace n.d.' Digital ID4481_7-16211-SH1409

Services and Operations

Records storage services
Non-current records stored efficiently

Services for the public sector
Efficient retention of public sector records
Records retention policies cover whole public sector
Quality recordkeeping across the public sector
CEOs and public officials aware, committed and skilled
Effective records management programs, systems and practices across the NSW public sector

State of public sector recordkeeping
Identifying performance issues

The State archives collection
Public offices protect or transfer archives
The State Archives collection is appropriately stored and preserved
The State Archives Collection is catalogued and documented

Services for the public
Sensitive public sector information is appropriately protected
Use of the State Archives Collection
Archives reaching a broader audience
The State archives collection is widely accessible to people and government
Communities know about and value the State Archives Collection

Corporate information and communications

Records storage services

Non-current records stored efficiently

In 2010-11 State Records' off-budget records storage business, the Government Records Repository (GRR) continued to provide secure and efficient records storage and related services to the public sector. The GRR had an exceptionally successful year which saw all indicators well above predicted levels.

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

In December 2010 the Board of State Records endorsed a new 5-year Business Plan for the GRR which acknowledged that paper storage will continue to provide about 75% of the GRR's income in the short-term but is expected to then plateau. The GRR has been directed to investigate new income streams to augment our declining core revenue from paper storage. The Board also acknowledged that investment in new initiatives would have an impact on the financial position of the GRR.

File storage and retrieval service demand met

The GRR has embarked on a more aggressive approach to marketing our services. This has resulted in a significant upturn in activity over the 2010-11 year.

The GRR accessioned 51,975 linear metres of non-current records during the year compared to 36,088 in 2009-10. This brought the total holdings to 467,876 linear metres of public sector records. There are now over 2,462,700 individual containers of records in storage with

Achievements and highlights
• 7.75% net growth, with $3.15 million operating surplus
• Continued success of value-added services
• High levels of activity in the health sector

the GRR. We accessioned nearly three times more records than our estimate of 20,000 linear metres, although this was offset by the destruction, transfer and permanent recall of 18,330 linear metres. This compares to the 15,177 linear metres removed from storage in 2009-10.

The number of file retrieval operations came to 370,045 which is a significant increase on last year's figure of 316,037. This is above our estimate of 320,000 operations. this is a major turn-around on the downward trend of the past few years and has impacted all areas of the GRR's operations, including Customer Service, File Retrieval and Transport.

File retrieval operations

	2009-10	2010-11	Variation (%)
No. of files requested	176,357	198,856	+12.75%
No. of files returned	125,750	182,396	+45%
Total file retrieval operations	316,037	370,045	+17

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

Net growth of holdings

Result 2009-10	Result 2010-11	Target 2010-11
5.0%	7.75%	5.0%

Case study –Supreme Court

In 2010 the GRR was approached by the archival programs of State Records to aid them in dealing with records from the Supreme Court. The Supreme Court had two major problems:

- approximately 25 kilometres of Court records in the basements of the Supreme Court building that needed to be quickly removed to allow for a major building refurbishment project; and

- 16,000 boxes of probate records previously transferred as State archives, the listings of which were found to be so substandard that State Records refused to accept any further archival transfers until this problem was rectified.

The GRR was effectively the only supplier of records services with the capacity to deal with both these issues concurrently. The GRR provided the Supreme Court with a comprehensive proposal whereby their extensive basement holdings would be removed within 9 months, the probate packets already transferred as State archives would be re-listed, and further archival records would be listed preparatory to transfer as State archives. The GRR based this proposal on a cost-recovery basis only, in line with our responsibilities as an integral part of State Records NSW and its mission to protect and preserve the state's records.

As of 30 June 2011, over 95% of the records from the basement had been efficiently and securely transported to storage in the GRR. Moreover, two thirds of the probate packets requiring re-listing have been processed and reincorporated into the archival system. This has significantly increased the number of items from the archival collection which are fully accessible on-line.

This demonstrates the important role the GRR plays in the recordkeeping regime of NSW, allowing it to provide practical, timely and substantial support to government agencies in dealing with records-related issues.

Expansion of value-added services

In the GRR's Business Plan 2010-15, we undertook to increase consultancy revenue by an annual rate of 10% per year. We are pleased to report that in the 2010-11 year, Fees & Consultancy revenue was increased by a massive 217%. This was related to three major factors:

- The continued popularity of the GRR's specialised health file sentencing service, discussed in detail below.

- An increase in the provision of professional archival services, most importantly the appraisal of records. For example, this year the GRR conducted desk-top appraisals for the Department of Corrective Services, Department of Finance & Services and the Office of Liquor Gaming & Racing. Also, an increase in the GRR's professional staff has allowed us to expand our extremely popular and well regarded physical appraisal service, undertaking projects for Ageing Disability and Home Care, South East Sydney & Illawarra Area Health Service, and Communities NSW.

- Significantly increased levels of cataloguing, indexing and data entry work. The GRR now deploys a number of different teams to work on multiple projects. Major projects were carried out for Family & Community Services, Justice Health, Land & Property Management Authority and the Supreme Court as described above.

Financial viability remains strong

The GRR has operated as an off-budget service unit since 1 July 1990, relying primarily on paper-based records storage fees to generate its operating revenue. In 2010-11 the Government Records Repository's revenue and expenditure were both significantly above target, leading to an operational surplus of $3.1 million on revenue of 13.4 million, which is 23% of earnings and represents an increase of 17.5% in revenue on the previous financial year.

Non-current records stored efficiently

The GRR made an additional early repayment on its T-Corp loan during the year. This leaves only one payment of $1.9 million remaining. This payment is due in May 2012 but will probably be paid out by December 2011.

As noted above, the financial position of the GRR has been impacted this year by higher expenditure caused both by increased short-term staffing costs to handle off-site and data-entry projects and the fact that we are operating now at the limits of our storage capacity, which brings inherent inefficiencies and increased costs.

The GRR's contribution towards archival projects for 2010-11 was $1.2 million which represents 39% of net profit, leaving the GRR an adjusted operating profit of $1.9 million after the contribution.

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

We undertake constant monitoring of our fleet to ensure that it remains appropriate to our needs and that we meet our agreed greenhouse gas reduction targets. The GRR is dedicated to the use of E10 fuel wherever possible.

Our close attention to the energy efficiency of our fleet continues to produce tangible savings for us.

Of the 18,330 linear metres of paper records removed from storage in 2010-11, 10,792 linear metres were pulped and recycled, compared to 10,057 linear metres in 2009-10.

The GRR has also commenced the recycling of suitable plastics wherever possible through an arrangement with Visy Industries. This has led to a significant reduction in plastic leaving our premises in general waste destined for land-fill.

Revenue targets and results before contribution

	Result 2010-11 $'000	Target 2010-11 $'000
Revenue	13,428	11,800
Expenditure	10,268	8,760
Surplus	3,159	3,040

Government Records repository Leading Hand Ron Sneddon using a high-reach order picker to access records at the Jack Williams satellite repository.

Case Study	**GRR continues to work with the public health sector.**
	Much of the GRR's activity in the year has again centred on working with Local Health Networks to reduce their records accumulations and dispose of records that otherwise cannot legally be destroyed.
	The GRR's automated health patient records sentencing application, (designed and built in-house), performs destroy date calculations automatically, and allows patient files to be sentenced with a greater degree of accuracy in a shorter time-frame. When combined with the GRR's wireless technology it allows for real-time tracking of patient files as they are scanned from the medical records area in the hospital directly to our system for relocation, sentencing, storage, access via GRRWeb and ultimately for disposal.
	Since its first use in 2008-09 the application has proven so successful that the GRR is currently working with all Sydney Local Health Networks and with Justice Health to capture patient data and sentence multiple accumulations of medical files. This has resulted in increasing quantities of records being sent to the GRR from the public health sector.
	A team of data-entry staff is two years into a five year project to sentence all patient files from the various hospitals in the former South East Sydney Illawarra Area Health Service. Meanwhile another team located at the Jack Williams repository is sorting and re-indexing patient information from over 4 kilometres of medical and other files belonging to Justice Health after they were removed from another storage supplier.

Outlook and capability

The Western Sydney Records Centre has total storage space of 435,000 linear metres for non-current records and archives, with the GRR now utilizing an additional 110,000 linear metres in leased satellite repositories in the Penrith area. We expect that demand for our records storage and associated services will amount to a 5% net growth of holdings.

The GRR has run out of storage space and has continued to lease and equip off-site warehousing to maintain its business. While this is a cheaper option in the short-term than building on-site not all GRR needs can be effectively met by leased accommodation, which is of a lower standard and is less efficient to service.

The GRR's holding grew by 33 kilometres in the 2010-11 year. A large proportion of this growth has been in records that are not suitable for storage in the satellite repositories, whether because they are high use, or are to be transferred in the future to the State archives, such as material from the Supreme Court. It is because of the increase in holdings of these types of records that the construction of Stage 7 is essential. The GRR Business Plan showed clearly that we anticipate continued growth in the storage of long-term temporary records and records required as State archives. These records need to be stored in air-conditioned accommodation under State Records' own storage standard.

Because of this, endorsement was sought from State Records' Board as part of the Business Plan for the GRR to begin planning for a proposed Stage 7 building on-site at the Western Sydney Record Centre. A Business Case is currently being developed and the strategy is to have the GRR entirely debt free before a request for loan funding is formalised.

We are concerned that any delay in the construction of Stage 7 will lead to an increased proportion of GRR revenue being diverted to lease expenses rather than being available for construction.

Services for the Public Sector

Efficient retention of public sector records

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

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

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

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

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

Goals:

In partnership with public sector organisations:
- to put in place records retention policies that systematically cover all official records;
- to encourage routine application of these policies by public offices; and
- to ensure that public offices apply these policies to digital records.

Records retention policies cover whole public sector

Objectives for 2010-11
- Increase the percentage of public offices that have comprehensive records retention policies.
- Develop a general retention policy for records relating to the retailing of energy and associated products.
- Issue revised general retention policy for local government records.

Achievements and highlights
- 85% of public offices have comprehensive records retention policies.
- Issue of a general retention policy for records relating to energy transmission and distribution network services.
- Issue of a revised general retention policy for local government records.
- Issue of a retention policy for records documenting the provision of social housing services.

Online access to retention policies

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

Product developed, accessible and used

In late 2008 State Records commenced a project to trial the use of an XML format for developing and managing retention policies. State Records developed an application for drafting and transforming authorities in XML. *Authority Editor* is a full implementation of State Records' XML schema. Throughout 2010-2011 State Records used this XML schema supported by the Authority Editor for drafting and reviewing policies. This has proved great benefit by streamlining the drafting and reviewing of authorities. The Authority Editor has also been distributed to a number of public offices and others for their use.

Existing records retention policy coverage a good baseline

We estimate that 85% of the current baseline of 424 NSW public offices monitored have all or most of their records covered by records retention policies. This is a good result given the size and complexity of the public sector and the limited resources we are able to allocate to this work.

Many public offices have all of their records covered by records retention policies as a result of our strategy over many years of developing general policies that apply to like organisations. General policies exist that cover all or most of the records of local councils, health services, universities, ministers' offices, rural lands protection boards and catchment management authorities. These organisations account for approximately 57% of the organisations in the NSW public sector.

Of the remaining government agencies and state owned corporations (which account for approximately 43% of the NSW public sector), general retention policies cover all common types of records they create or hold, such as administrative, financial and personnel records. These public offices must develop retention policies covering the records of their unique functions. At the end of 2010-11 approximately 69% had done this.

Increase in retention policies covering government agencies

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

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

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

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

During the year there was a continued increase in retention policies covering records of NSW Government agencies and State owned corporations. Fifteen retention policies (12 functional retention policies and 3 general retention policies) were approved with 12 additional public offices achieving comprehensive disposal coverage through the issue of whole of agency disposal policies. These agencies included Cobar Water Board, Lord Howe Island Board, Ageing, Disability and Home Care, Election Funding Authority, Law and Justice Foundation, Aboriginal Housing Office, Endeavour Energy, Transgrid, Police Integrity Commission and the Industrial Relations Commission.

Three of the records retention policies approved during the year were reviews of existing policies. These included records retention policies for local government (local and county councils), Housing NSW and Ageing, Disability and Home Care. Three retention policies approved during the year permitted the transfer of ownership of certain records as a result of the sale of government or local council businesses. One policy was approved to provide additional coverage for legacy records maintained by a public office and another to permit the disposal of deteriorated acetate negatives by a public office.

Retention policies approved

	Result 06/07	Result 07/08	Result 08/09	Result 09/10	Result 10/11
Whole of agency	11	17	9	9	6
Partial	14	9	14	3	6
Total	25	26	23	12	12

Note: Does not include three General Retention Policies also approved.

General retention policies issued

During the year 3 general records retention policies were approved and issued. These authorities will assist NSW public offices to improve records management practices and implement consistent decisions.

One of these policies was a major review of the general policy for local government records. The revised policy establishes consistent retention and disposal requirements for records created and maintained by NSW local and county councils and ensures the policy continues to reflect current business and regulatory requirements and community expectations applying to the local government sector.

Another of the general retention policies issued during the year included a retention policy for records relating to the provision of energy transmission and distribution network services. This retention policy establishes consistent records retention and disposal decisions applying to the State Owned Corporations (Transgrid, Ausgrid, Endeavour Energy and Inland Energy) licensed to provide energy transmission and distribution network services. A policy was also issued to permit the transfer of ownership of certain records as required as part of the sale of State owned energy services businesses and assets.

Staff from Government Recordkeeping at the 50th anniversary function.
(L to R) Grace Hui and Kate Cumming.

Case study

Broadening scope of policies to increase coverage and application

In 2009 Housing NSW and the Aboriginal Housing Office (AHO) submitted draft retention policies for review by State Records. In reviewing these policies State Records' identified the potential for combining the two draft documents into a single policy for records relating to the provision of social housing in NSW. As well as reflecting the close working relationship between Housing NSW and the AHO (Housing NSW provides tenancy and property management services to AHO tenants and maintains records about AHO tenants or properties on behalf of AHO), the issue of a single policy provided the opportunity to extend the scope of the application of the policy to include City West Housing, also responsible for the provision of social housing services, and the Housing Appeals Committee, an independent body responsible for the review of the decisions of social housing providers. Such an approach would ensure consistency in records retention and disposal decisions, where appropriate, and would assist State Records' Board in appraising records retention decisions relating to the provision of social housing in NSW, regardless of which organisation created or managed the records.

In consultation with these organisations State Records combined the draft documents into one policy which was then circulated for review and comment by external stakeholders and a number of academic researchers prior to its final submission to State Records' Board for approval. Once approved and issued the policy provided coverage for 3 public offices which did not previously have coverage (AHO, City West Housing and the Housing Appeals Committee) and was a timely review of Housing NSW's existing policy (which was over 10 years old). The development of polices that can apply across public offices responsible for similar or related government functions is a more resource effective means of broadening the scope of records retention policy coverage across the public sector, facilitates stakeholder consultation and Board review and approval processes and also has potential benefits in the case of future administrative changes.

Disposal Implementation Improvement Strategy

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

- reducing the costs of records storage;

- reducing the time and cost associated with finding specific records when they are needed; and

- minimising the risks arising from illegal or unmanaged destruction of records and from inadvertently keeping records that should be destroyed.

To raise the level of implementation of disposal authorities across agencies and State Owned Corporations, from 2008 State Records required all NSW Government agencies and State Owned Corporations that were producing draft functional retention and disposal authorities for approval to submit a disposal implementation plan which would advise State Records of plans for implementing the new functional retention and disposal authority (and other general disposal authorities) with current and future records, transferring State archives, and reducing accumulations of unsentenced records in storage. During this year, a further three disposal implementation plans have been received.

State Records has reviewed this strategy and determined that the strategy is concluded, as its aims have been met, with most public offices with large accumulations of unsentenced records introducing projects and processes to reduce quantities of records. Public offices will no longer be required to submit disposal implementation plans.

Outlook and capability

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

Shea's Creek Repository, about 1977

Quality recordkeeping across the public sector

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

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

Goals:

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

Our report on the state of public sector recordkeeping as at 30 June 2011 is contained elsewhere in this annual report.

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

Recordkeeping events improve awareness and skills

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

- 233 NSW public officials attended our Records Managers Forums (three held in Sydney);
- 130 attended a presentation on digital preservation and digitisation to the Museums and Galleries NSW annual conference;
- 155 attended a presentation on monitoring records management and business systems assessment at the Records Management Association of Australasia's Local Government Chapter meetings in Penrith and Kiama;
- 45 attended presentations on assessing business systems; and
- 755 attended presentations and talks given to specific public offices or at records and archives management events.

CEOs and public officials aware, committed and skilled

Increasing CEO awareness and commitment to recordkeeping

Our success in improving records management across the NSW public sector relies on our ability to make CEOs aware of the benefits of good recordkeeping and persuading them to commit to implementing standard practices. Despite anecdotal evidence indicating we are making a difference, this continues to be a challenge for us.

State Records last conducted research among CEOs on their awareness and commitment to recordkeeping in 2002. This showed areas where State Records could improve and led to development of our on-going *Chief executives strategy*. We have not had the resources to repeat the research to ascertain whether our strategy is achieving the desired effects.

During 2010-11 we promoted good recordkeeping to CEOs by:

- Sending 14 information packs to new CEOs; and
- Issuing the *Future Proof* newsletter to all CEOs.

Objectives for 2010-11
- Continue *Chief executives strategy*, particularly sending information on recordkeeping obligations to new public sector CEOs.
- Continue records management short course training program, in partnership with private sector providers.
- Develop on-line training modules on recordkeeping topics.

Achievements and highlights
- 1,897 participants in records management events, including 579 records management practitioners trained across NSW.
- Advised 14 new chief executives of recordkeeping obligations.
- 7,512 unique visits to the e-learning site, with 2,471 visitors completing e-learning modules.

Demand for records management training continues

In collaboration with our training partners, 43 short courses were delivered to a total of 579 participants. Courses were held at locations around NSW: 35 in the Sydney CBD or Western Sydney and 8 in regional centres (Dubbo, Grafton, Griffith, Newcastle, and Wagga Wagga).

While demand for training continued during 2010-11, there were a number of course

Training course participants

Result 06/07	Result 07/08	Result 08/09	Result 09/10	Result 10/11
463	597	391	325	579

cancellations due to insufficient numbers. Course numbers in regional centres still continue to be low in comparison to Sydney courses.

Some of our training partners have taken the initiative to arrange and deliver in-house courses for particular public offices, and these have included conducting tailored courses on 13 occasions for 2 clients in Sydney.

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

Our new Training Resource Centre and suite of e-learning modules commenced in 2010-11 and has been well received. The top e-learning modules for 2010-2011 were: 'Recordkeeping concepts', 'Digital recordkeeping concepts', and 'Your Responsibilities for Managing Email'.

Quality recordkeeping across the public sector

Case study

Taking training to the people: developing on-line training modules

We conducted a survey of our clients and their training needs in late 2009, and 80% of respondents indicated that they were interested in online training. So in 2010 we evaluated and selected a development package and began producing online modules.

In July 2010, the first six modules were released in HTML on a special site connected to our website. These include:

- *Recordkeeping Concepts, Framework for recordkeeping in the NSW public sector, Digital Recordkeeping Concepts,* and *Email Management* which were developed for records managers.

- *Your responsibilities for managing email* which can be undertaken by any relevant staff in the NSW public sector.

- *Role of the Nominated Senior Officer* which is directed at the senior executive in the organisation with overall responsibility for records management.

We were overwhelmed by positive responses to the initial modules. Several organisations took up our offer to obtain the modules and modify them for internal use. Our statistics revealed consistently high use within Australia, and also interest from other countries, predominantly from the United Kingdom, Canada, New Zealand and Papua New Guinea, but also as far afield as Lithuania, Sweden, Pakistan and Russia.

The release of the modules created demand for more. We negotiated with the National Archives of Australia to modify their excellent *Keeping the Knowledge* module, and in 2011 we released our version called *Recordkeeping and you!* which provides all staff with information about their recordkeeping responsibilities in the NSW public sector. We also developed a version of this module called *Recordkeeping and you: supervisors and managers* to address the particular responsibilities of NSW public sector employees in management or supervisory roles to ensure staff create the necessary records of business transacted.

In June 2011 we added the most recent module, *What records management can do for you!* This was developed to give ICT professionals an overview of how records management can assist them to address problems they face. The module is supported by more detailed information on our website.

Interest in the modules continues to be high. More and more NSW and interstate organisations are requesting the modules so they can modify them and offer them as part of broader internal training programs. Developing online modules is now an integral component in our endeavours to educate records managers and other staff about the importance of good recordkeeping.

Outlook and capability

State Records will continue to promote the benefits of good recordkeeping to chief executives of NSW public sector organisations. Promotion will focus on strategic areas such as improving digital recordkeeping and developing and implementing records retention policies. We will continue to provide, with the support of training partners, a range of short course records management training to records practitioners around NSW. During 2011-12, we will continue to seek to raise awareness and understanding of digital recordkeeping requirements and tools amongst ICT professionals, to enable better cooperation with recordkeeping professionals in the design of compliant systems that support business. In addition, we will seek to use other opportunities to improve skills across the sector, such as adding to our on-line training modules.

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

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

State Records aims to influence how records are managed in hundreds of NSW public sector organisations and across thousands of workplaces. We have direct contact with, and provide advice to, about 500 organisations, a high proportion of which are in regional and rural NSW. We expect parent departments to take a leadership role with those branches and units we do not have regular contact with. Monitoring public sector performance and compliance is a challenge for us. The findings of the 2010 Digital Recordkeeping Survey of NSW Public Offices is reported on in the section 'State of public sector recordkeeping'. Instances where we followed up on reports of recordkeeping failure are described in our report on the 'State of public sector recordkeeping'.

Objectives for 2010-11
- Meet continued demand for expert advice on recordkeeping from public officials.
- Obtain intelligence on current digital recordkeeping practices and extent of challenges facing the NSW Government.
- Develop new standard and guidance and tools to assist public offices to manage digital records and assess their records management programs.

Achievements and highlights
- Effective use of the Future Proof blog (24,302 visits) and Twitter account to communicate widely
- Four new guidelines on recordkeeping developed
- Exposure draft of new records management tool for assessing compliance and capacity in records management

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Advice and guidance provided in response to demand

State Records provided an advisory service to public offices on records management issues via mail, email and telephone. Four new guidelines were added to our manual for records management practitioners. The guidelines provided guidance managing shared drives, using records management techniques to contribute to information security objectives, enterprise architecture for records managers and keeping recruitment records using e-Recruitment services. In addition, guidance on implementing the Standard on digital recordkeeping was revised.

Records management standards and guidance at a glance:
⇒ Online *Government recordkeeping manual* provides one place to go for all standards, policies and guidance.
⇒ Future Proof web page provides entry point for advice and resources on digital recordkeeping,
⇒ Six mandatory records management standards currently issued.
⇒ Over 60 separate guidelines on all aspects of recordkeeping and records management.
⇒ Surveys of public sector records management practice and compliance conducted from 1996 to 2010.

Quality recordkeeping across the public sector

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

New records management tool for assessing compliance and capacity in records management

In July 2010 the new Records Management Assessment Tool was released on State Records' website as an exposure draft. The tool is designed to allow public offices to self assess their compliance with the obligations of the *State Records Act 1998*.

The Tool allows public offices to determine areas for improvement in the implementation of policy, procedures, processes and practices in recordkeeping and records management. Feedback has been positive, with a number of public offices keen to use the tool. A final version of the tool will be released in 2011-2012.

Keyword thesaurus products

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

Industry Involvement

State Records participates in industry research and standards-setting where the outcomes have direct relevance to recordkeeping in the NSW public sector. During 2010-11 we participated in the following ways:

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

Keyword licenses sold and revenue

	Result 08/09	Result 08/09	Result 08/09	Result 09/10	Result 10/11
Keyword AAA	23	11	21	12	10
Keyword for Councils	18	25	17	19	9
Revenue	$33,085	$22,860	$30,970	$25,805	$19,785

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

Digital records strategy, Future Proof

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

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

In 2010-11 State Records has undertaken a number of projects to help promote and protect the digital records of NSW government. These are detailed in the sections below.

Standard on digital recordkeeping

As well as business and cost benefits, there are inherent and significant risks associated with the move of government business to the digital environment. The Standard on digital recordkeeping was developed by State Records to help public offices identify and manage these risks.

In October 2010 State Records undertook a sector-wide compliance survey to assess levels of public sector compliance with the Standard. While the specific outcomes of the survey are reported elsewhere, the survey results have been used to develop case studies and further advice about business system assessment and to directly contact a number of public offices who required additional guidance.

During 2010-11 State Records conducted a number of free workshops, *Managing recordkeeping risk in business systems*, to assist public offices to understand the risks of moving to digital business systems and to develop strategies to mitigate these risks. Using knowledge gained from this work with public offices, State Records has also expanded the advice which is part of its guideline supporting the standard, *A short guide to implementing the standard on digital recordkeeping*.

State Records has also developed an indicative list of high risk business processes and related business systems to help local government

meet the requirements of the standard. A blog posting 'Defining high risk records' was developed to provide further guidance.

Digital Records Advisory Group (DRAG) meeting, 18 November 2010

Digital State archives at risk project

In October 2010 State Records completed a project to assess how current digital records that have been identified as State archives are being managed in their creating organisation.

The intent of this project was to:

- identify any risks facing digital archives in their parent institutions
- provide information to be used in the development of guidance for parent institutions about how to manage their archival records, and
- gather relevant format or dependency data about current digital archives to help State Records in its digital archive planning.

After surveying a range of large and small public offices with identified State archives in their current recordkeeping systems it was determined that State Records should undertake the following activities to help to assist public offices to manage their high risk, high value records and ensure their long-term preservation. These recommendations are all now components of State Records' current *Digital disposal strategy*:

- develop more guidance on digital format issues and management. Guidance on the use of JPEG and audio visual records has already been developed, with more guidance to follow in the coming year
- a thorough assessment of how record disposal operations are and can be performed in the records management software packages listed on the government IAMS (Information Asset Management Systems) panel contract and the development of advice for public offices in how they can improve their use of these technologies.
- ongoing promotion of good recordkeeping practices, good record migration practices, record storage practices, record digitisation practices, disposal in business systems and promotion of State Records' XML schema for the production and management of retention and disposal authorities (which has applicability and utility in both records and business systems). This work commenced in 2010-11 and will continue over the coming year.

Digital recordkeeping guidance, advice and tools

Additions to the suite of digital recordkeeping guidance from State Records during 2010-11 included four Recordkeeping in Brief publications – *Managing shared drives*, *How records management techniques and skills can contribute to information security objectives*, *An introduction to enterprise architecture for records managers* and *Keeping recruitment records using e-Recruitment*.

During November 2010, we also produced the third issue of the newsletter *Future Proof* aimed at NSW public Sector Chief Executives. This edition contained advice on the management of records in cloud service environments and communicating some of the findings of State Records' ICT attitudes survey.

The Future Proof blog, launched in September 2008, continues to serve as an important means of communicating up to date information, guidance and case studies to government. The blog has also proven to be a very useful mechanism for repackaging and reiterating important messages about digital recordkeeping and for reaching a wide and diverse audience. In 2010-11 we had a total of 24,302 visits to the Future Proof blog. The majority of site visits come from Australia, however a large proportion of British, American and Canadian users also accessed the site. As of July 1 2010, we had 138 RSS subscribers to the blog.
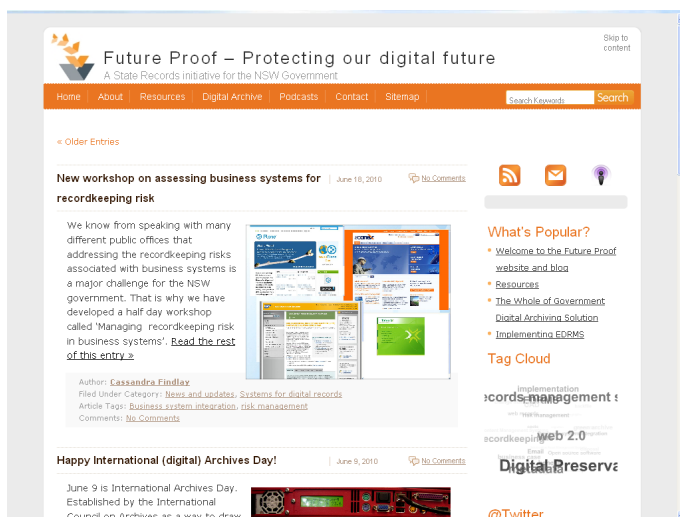
There were 25 posts made by staff on the Future Proof blog http://futureproof.records.nsw.gov.au/ during 2010-11.

These postings included:

- Recordkeeping and the cloud
- Defining your high risk records
- Evolutionary taxonomy, records management and fish
- The ethics of access
- Electronic document and records management software business rules
- Metadata's family tree
- Removable media
- How might a digital archive look in 2020?

We also added to our podcast series with nine new recordings including talks on:

- Business process and information analysis
- State Records' new online e-learning modules in records management
- Delivering recordkeeping projects in collaboration with ICT and business professionals, and
- Digital State archives plans at State Records.

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

Web site analysis shows that approximately 10% of users come to the Future Proof site specifically to access the podcast series, so it is proving to be another useful mechanism for communicating with our audience.

The Future Proof Twitter account has also again been a useful mechanism for disseminating guidance and advice. Over the year State Records' staff posted 195 tweets on this account and the FutureProofNSW Twitter account has 239 followers. Twitter has been used as a means to promote content on the State Records and Future Proof websites and to also disseminate topical and timely information about digital recordkeeping. Content posted via the FutureProofNSW account is regularly retweeted by other members of the Twitter community which helps to further circulate our recordkeeping advice and encourage discussion. Over the year Twitter has also been a useful mechanism for enabling greater collaboration with other archival institutions, both within Australia and across the world, and for raising staff awareness of national and international recordkeeping initiatives.

State Records' Digital Archives project

In 2010-11 State Records' long quest for additional resources to build our capacity to accept, preserve and make available digital records of the NSW Government as State archives was finally rewarded, with advice from NSW Treasury in February 2011 of our successful application to the Government's ICT Reinvestment Pool fund for $3.6 million over three years. Rather than waiting until the new financial year the first instalment was made available to us in April, enabling us to start on establishing the project in the first half of 2011.

Sitting within our overall digital records strategy, Future Proof, the Digital Archives project entails the formation of a project team, establishment of physical infrastructure and the creation of new systems, tools and processes to enable State Records to manage, protect and make available archival value digital records of the NSW Government.

The Digital Archive Team
(L to R) Paul Elliott, Damien Juhasz, Cassie Findlay, Richard Lehane and Wisanu Promthong

By late June 2011 the majority of the team was in place, including a Project Manager, two Project Officers, a Systems Administrator and Systems Developer. An additional Systems Developer is to be recruited in the first half of 2011/12.

In this period work also proceeded on the design and specifications for a dedicated office space, processing area and server room for the digital archives project, at the Western Sydney Records Centre at Kingswood. Building work is expected to commence early in the new financial year. Our Systems Administrator is also starting on the formulation of the best and most flexible hardware and networking configuration to meet the evolving needs of the Digital Archives facility.

The team has also been busy with researching current best practice in Australia and internationally in digital archives systems, tools and practices. Close contact with other archives institutions including the National Archives of Australia, Public Record Office Victoria and Archives New Zealand has been an important part of this process, and further visits and information sharing activities amongst our digital archives teams is planned.

It is expected that in 2011/12 the team will be primarily engaged in requirements definition for digital archives systems and processes, software development and testing and in dealing with selected classes of low risk digital archives requiring preservation and access, such as digitised copies of physical State archives already in custody. We will also be working to form partnerships with other government agencies with public information access and management responsibilities.

There will be regular updates on what is happening in the Digital Archives project on the Future Proof blog, from Future Proof on Twitter and in other State Records communication methods such as For the Record, our e-newsletter for government agencies.

Digital recordkeeping awareness, knowledge and skills

During 2010-11, we conducted or participated in a number of events to raise awareness and understanding of digital recordkeeping challenges and solutions in government organisations, including presentations for EnergyAustralia, the Department of Education and Training and the Records and Information Management Professionals Australasia (RIMPA) Local Government Chapter conference.

We also gave talks for the broader community including Museums and Galleries NSW, the TRIM (Records Management Software) User Group, Digital Information Management Summit, Lectora (Online Course Development Software) User Group, the Council of Australasian Archives and Records Authorities annual workshop, the Australian Society of Archivists NSW Branch, the national conference of the Australian Society of Archivists and the national Meta 2011 conference.

During this period State Records was invited to be a member of the NSW Spatial Council Metadata Working Group to provide advice on the recordkeeping components of NSW spatial data management.

Digital Awareness Month

As part of State Record's objective to upskill its own staff in the area of digital recordkeeping, the organisation again hosted its annual Digital Awareness Month (DAM) in June 2011.

Each week through June all staff were sent an e-newsletter. These were colourful and full of interesting facts, some 'IT' trivia, and quizzes but also contained some important conceptual and factual information about digital recordkeeping issues.

Presentations were also offered to staff during the month, focusing on different digital recordkeeping issues such as metadata and digital archives. These were well attended and well received. A post-Digital Awareness Month survey showed that this training was welcomed by State Records staff. Comments in the survey included:

- 'Congratulations: I think it's a DAM fine idea!'

- 'Thanks. A useful supplement to other professional development opportunities.'
- 'Loved the newsletters: very entertaining.'

A report on Digital Awareness Month has been published on the Future Proof blog.

Through the coming year State Records will continue to investigate opportunities for staff development on digital recordkeeping issues and will look to share any initiatives developed with the rest of the public sector.

Digital Records Advisory Group

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

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

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

- City of Sydney
- Department of Finance and Services
- Corrective Services NSW
- Community Services NSW
- Hunter New England Health
- NSW Department of Transport
- NSW Ambulance Service
- ServiceFirst
- Transgrid
- The University of Sydney

Australasian Digital Recordkeeping Initiative (ADRI) partnership

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

In 2010 – 11 State Records took a lead role on an ADRI project to develop a glossary of agreed common disposal triggers and definitions. The purpose of this project is to enable better implementation of disposal decisions within records and business systems and improve applicability of disposal triggers to digital records.

Outlook and capability

In 2011-12 the focus for NSW public offices will be on meeting the requirements of the *Standard on digital recordkeeping* compliance timetable relating to ensuring that existing systems supporting high risk business processes that are designated as digital recordkeeping systems met the requirements of the Standard. This will mean that it will be particularly important for public offices to consider the recordkeeping requirements of business conducted outside of traditional EDRMS environments. To assist in this work we will continue to offer workshops and publish case studies relating to recordkeeping in business systems. We will also continue to develop a range of tools, training and guidance that will offer an integrated approach to digital recordkeeping and information management across the sector.

2011-12 will be the first year of funding for the Digital Archives project. There will be a focus on completing infrastructure needs (office space, processing area and server room), as well as key work such as definition of requirements for digital archives systems and processes, software development and some testing.

Dr Peter Tyler addresses the audience at the function to celebrate the 50th anniversary of the
creation of the Archives Office of NSW
NSW Parliament House, 31 May 2011

State of public sector recordkeeping

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

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

State Records started conducting records management surveys in 1996 and has conducted several compliance and information surveys since then. A targeted survey – the 2010 Digital Recordkeeping Survey - was conducted during September and October 2010. A report of the survey is available below.

We also gather information from NSW Public Offices on digital recordkeeping issues and challenges, which feeds into the development of guidance and tools.

In this report we:

- discuss the results of the Survey of ICT attitudes to recordkeeping
- comment on the number of public offices with comprehensive records retention policies
- discuss the results of the 2010 Digital Recordkeeping Survey of NSW Public offices
- describe how we identify cases of less than good practice, and note a case that were addressed.

Survey of ICT attitudes

In July 2010 State Records surveyed Information and Communications Technology (ICT) staff across government to ask them about their attitudes to recordkeeping. The survey was designed to help State Records better understand the problems ICT staff face in relation to managing digital information, the attitudes of ICT professionals to recordkeeping and records management, and to identify what ICT staff perceive as areas of commonality and barriers to effective cooperation. The results from the 217 survey responses received were illuminating. ICT professionals identified that the biggest issues they face are:

- little or poor classification and difficulties in retrieval
- overwhelming volume of storage and problems with storage management
- inadequate technology, poor system integration or the diversity of systems
- inadequate training and the failure of staff to meet their responsibilities
- issues with authenticity and security, and
- difficulties with managing and preserving access to digital records over time

ICT professionals identified that they could most use recordkeeping advice on digital preservation, email management and business system design and implementation. Assisting with classification and retrieval issues also ranked as a key area where help would be appreciated.

ICT staff reported that a key barrier to an effective working relationship with records staff is the fact that both records and ICT tend to work in 'professional silos' with little regular communication between the professions. A key area in which State Records can assist identified in the survey is in helping to build better working relationships between records and ICT staff.

A good working relationship between records and ICT professionals is critical to the short and long term management of the digital records of Government business and so the survey results will assist State Records and other recordkeeping professionals to work better with the ICT community. In response to the survey State Records has:

- produced a comprehensive survey report
- developed an online training package for ICT professionals, *What records management can do for you*
- introduced an 'ICT Professionals' section on the State Records website which contains links to new and existing guidance that addresses the issues raised in survey responses
- consulted more widely with ICT staff when developing new recordkeeping products implemented strategies to deal with ICT concerns, such as the *Digital disposal strategy*, which will in part help to improve storage and retrieval issues with digital information

Analysis of retention policy coverage

A total of 424 public offices were analysed for the extent of the disposal coverage of their functional records. Of these, 240 public offices (57%) are covered by general retention policies.

Three ratings were applied to the remaining 184 (43%) public offices:

- Green light (69%) – these public offices have comprehensive coverage of their functional records.
- Amber light (9%) – these public offices have some functional records covered.
- Red light (22%) – these public offices have no or few functional records covered.

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

- Cobar Water Board
- Lord Howe Island Board
- Election Funding Authority
- Ageing, Disability and Home Care
- Law and Justice Foundation
- Aboriginal Housing Office
- City West Housing
- Housing Appeals Committee
- Endeavour Energy
- Transgrid
- Police Integrity Commissioner and

- the Inspector of the Police Integrity Commissioner
- Industrial Relations Commission (including coverage records of records of the former Government and Related Employees Appeals Tribunal and Transport Appeals Board).

State Records encourages public offices to review their retention policies as appropriate. During the year 2 organisations, Housing NSW and Ageing, Disability and Home Care, sought and obtained a full review of their retention policies. The reviews were timely and will ensure the policies continue to provide comprehensive coverage that meets the operational and business requirements of these organisations.

The review of the NSW Housing policy provided the opportunity to expand the application of the authority to 3 public offices carrying out similar or related services (the Aboriginal Housing Office, City West Housing and the Housing Appeals Committee). These 3 public offices did not have existing coverage and the policy establishes consistent records retention and disposal decisions for records relating to the provision of social housing services.

The review of the policy for Ageing, Disability and Home Care enabled the organisation to provide coverage for records of functional responsibilities not previously covered, extending the scope of its retention policy coverage from partial to comprehensive.

2010 Digital Recordkeeping Survey of NSW Public Offices
The 2010 Digital Recordkeeping Survey was conducted to assess conformity of public offices with the first set of requirements of the *Standard on digital recordkeeping* and how public offices are progressing with implementing the second phase of requirements.

The survey was carried out during September and October 2010 and 309 NSW Government agencies, State Owned Corporations, local government organisations, public health organisations and universities took part. There was a 100% response rate to the survey. The full report of the survey is available on State Records website and contains more details of the findings than is presented here.

The first phase of requirements focus on new business systems and the disposal of

recordkeeping metadata and commenced 30 June 2009. The survey found that 213 new business systems have been acquired /built / or contracted to use by public offices. 83% (177) of these new systems meet the basic recordkeeping functionality required by the Standard and the majority of these systems also meet the minimum metadata requirements of the Standard.

However, the statistics also reveal that there is a small proportion of systems (18%) which are potentially creating and capturing records but without adequate safeguards because public offices in acquiring these systems have not identified nor defined whether they should be creating and capturing records of a business process. Compounded with this, public offices identified that 22% of the systems assessed are keeping records in systems which may not be 'trusted' recordkeeping systems.

In addition, the survey found that only 9% (20) of systems have a migration plan for the digital records and associated metadata in the system. The survey findings indicate that many public offices have not commenced planning for the long term management of digital records, as the systems have not been assessed for their capacity to document the disposal of digital records nor have metadata mappings or migration plans been completed for these systems.

The second phase of requirements, which commence June 2011, focus on existing business systems which capture and manage records pertaining to high risk business. The survey found that 28% (85) have identified their high risk business processes, 54% (167) are progressing with this work, and 18% (57) have not undertaken this work. These figures indicate that many public offices have commenced work to implement these requirements however there are a significant number of public offices who have not yet started.

The 2010 survey has focused attention on digital recordkeeping within senior management in many public offices and has raised awareness of the need for further clarification about the challenges and issues that digital recordkeeping poses to public sector organisations.

The findings from the survey will assist State Records to develop further guidance for public offices on migrating records, managing recordkeeping metadata, and undertaking disposal of digital records. In addition, State Records will continue to communicate to public offices that they need to identify high risk business processes, define the records they need to create of those processes and ensure that digital records of such high risk processes are adequately managed (in systems that are compliant with the Standard).
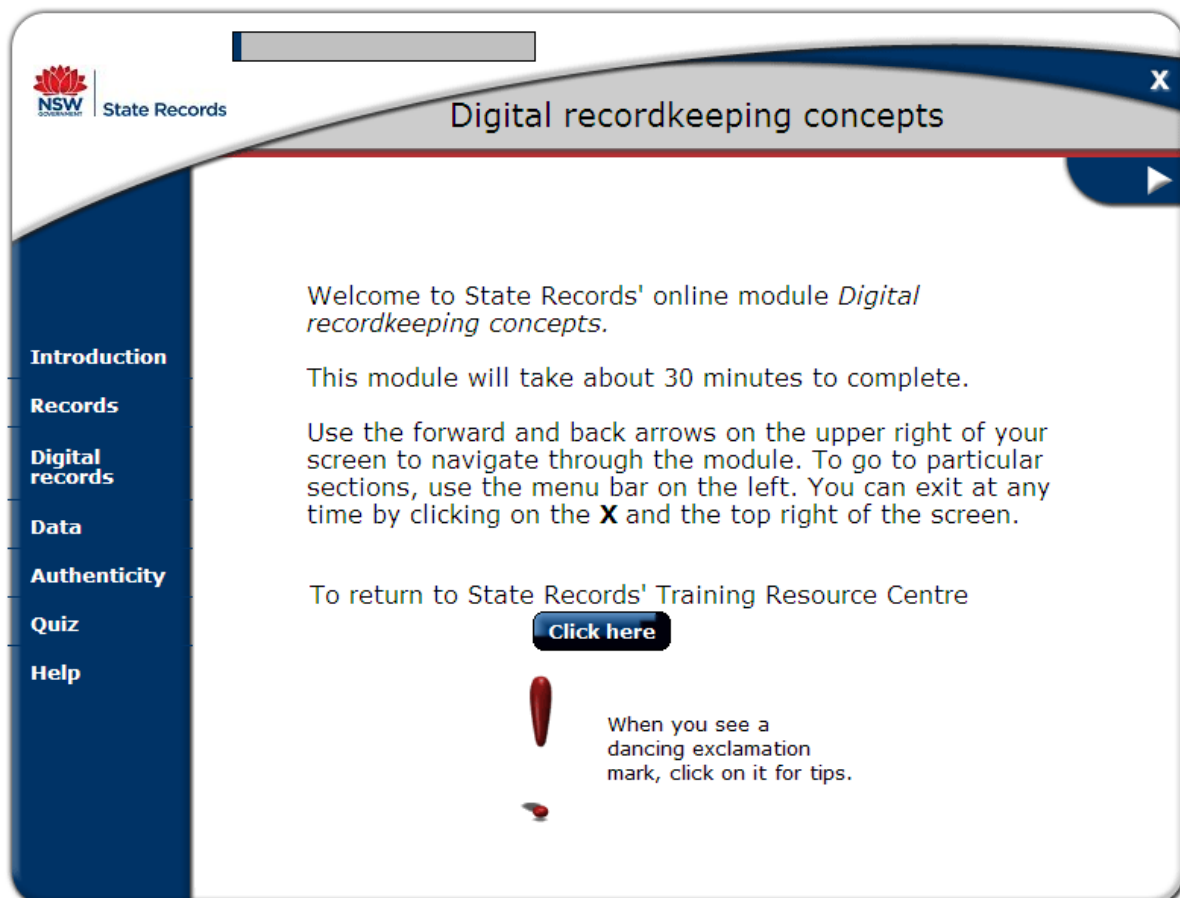
On-line training course on digital recordkeeping concepts
http://elearning.records.nsw.gov.au/

Identifying performance issues

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

State Records has acted on six instances of reported poor performance. One of the cases is described below.

Frameworks for good recordkeeping

State Records investigated a possible recordkeeping issue at the NSW Police Force after complaints by two members of the public.

Briefly, the complaints raised issues concerning the disposal of CCTV surveillance tapes of drug exhibit storage spaces/rooms and recordkeeping in relation to risk assessments for drug audits.

CCTV surveillance tapes

State Records sought confirmation from the NSW Police Force that CCTV surveillance tapes pertaining to workplace incidents in 2009 had been retained for the appropriate retention period. The NSW Police Force advised that the tapes concerned had been erased. In its report to the NSW Police Force, State Records noted that the CCTV surveillance tapes should have been
retained in accordance with the requirements of the NSW Police Force's *Functional retention and disposal authority DA 220* and that the failure to retain these tapes for the appropriate retention period is a breach of section 21 of the *State Records Act 1998*. State Records sought legal advice on prosecuting this breach of the State Records Act.

State Records also assessed policy and procedural documents pertaining to the management of CCTV surveillance tapes. Four recommendations were made including an immediate direction by NSW Police Force to staff that all CCTV footage recording notified incidents where staff are injured are to be retained in accordance with the requirements of DA 220, and that procedural documentation
CCTV surveillance tapes should be updated and strengthened.

Risk assessment records

State Records also assessed policy and procedural documents pertaining to managing incidents or possible incidents in the workplace, follow-up/action that occurs, and the management of these records in order to assess whether full and accurate records had been created by the NSW Police Force in relation the identification of hazards and risks in the workplace, and incidents in the workplace.

Section 12 (1) of the State Records Act requires that public offices "must make and keep full and accurate records of the activities of the office." The *Standard on full and accurate records* provides criteria for determining whether a public office has created and kept full and accurate records of ***any*** aspect of the organisation's business.

At the heart of this issue is whether the policy and rules issued to staff, at the time of the incidents, contained sufficient and adequate instructions on creating and capturing records, and whether there was conformity with these rules. Failure to create and capture records documenting actions, decisions, guidance or advice into appropriate recordkeeping systems can expose an organisation to a high level of risk or embarrassment. State Records' assessment was constrained by the limited number of documents provided by the NSW Police Force.

State Records made one recommendation seeking an update to procedural documentation to include references to the *General retention and disposal authority: administrative records* and the appropriate disposal classes for risk assessment records.

The NSW Police Force was given an opportunity to respond to the report and its recommendations. The NSW Police Force's response indicated that the recommendations were accepted and would be implemented. State Records will monitor progress on this matter.

The State archives collection

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

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

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

Increasingly, records of government business are 'born digital', and those digital records identified as State archives should be preserved in digital form. After many years of submissions, State Records has received funding for the Digital Archives Project, which will allow us to put in place the necessary staff, technology and guidance to make digital archiving operational.

State Records is committed to maintaining a range of access points. We provide access to the State archives through two reading rooms, our website and 42 community access points across regional NSW. We are also committed to promoting the State archives collection as a rich cultural and information resource. This involves us in presenting an extensive public program of talks, tours, exhibitions and other events.

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

Public offices protect or transfer archives

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

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

Objectives for 2010-11 • Encourage public offices to transfer their archival value records to our custody. **Achievements and highlights** • 2,053 linear metres of archives plus 760 plans transferred as State archives.

Continuing interest from agencies in managing their own archives

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

The State's archives can only be managed outside State Records' custody by agreement, which involves control over the archives passing to State Records, and which places a number of obligations on the public office. There are currently five 'distributed management' agreements in place, covering three of the regional repositories (at Wagga Wagga, Armidale and Newcastle University), plus the University of Western Sydney, and the New South Wales Police Force (selected records only). The first Distributed Management Agreement with Charles Sturt University reached the end of its initial five year term and was renewed on a continuing basis in March 2010.

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

People and Government use and benefit from the State archives collection

Public offices continue to transfer State archives

Quantities of archives proposed for transfer can fluctuate considerably from year to year, and are largely outside our control. However, 2010-2011 saw a continuation of the general pattern of the past five years, with transfers totalling more than 2,000 metres.

98 transfers covering 145 series were received at Western Sydney. Land and Property Information was again the most active public office, with the series of NRS 13859 Crown plans making up the bulk of the records transferred. The primary impetus for these continuing large-scale transfers has been the move to digital modes of business within the Authority, as very large series such as the Crown plans are being digitised, thus allowing the original records to be 'retired' to archival storage. Other transfers of note included Post-mortem files from Forensic Medicine, Cabinet Office 'TCO' files, and Minutes of the Dental Board. More than 214 metres of Parliamentary archives were also received for storage and preservation under the terms of an agreement with the NSW Parliament.

Regional repositories received several transfers of State archives, including administrative and policy records created by Charles Sturt University and the University of Newcastle. It is also worth noting that for the first time, records in archival collections other than regional repositories are now formally part of the State archives collection. Descriptive information for a number of important series of Police Special Branch records was finalised during the year, and agreement was reached with the Powerhouse Museum for the preservation and management of glass negatives and related records from Sydney Observatory, held for many years by Macquarie University.

Metres of standard format records transferred as archives

	Result 07/08	Result 08/09	Result 09/10	Result 10/11
State Archives transferred to State Records' custody	1,326	6,079	1,292	1,872
State archives transferred/added to regional repositories	n/a	n/a	28	50
State archives transferred/added to other distributed collections	n/a	n/a	n/a	131
Total			1,320	2,053

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

People and Government use and benefit from the State archives collection

Support for regional repository network

Support for the six regional repositories continued, focussing on grant funding, training and advice on preservation, documentation and transfer matters. State Records continued to build relationships with the regional repositories, and the Senior Project Officer visited all the repositories (with the exception of the University of Wollongong) during the year to inspect and monitor the management of State archives, and to discuss current and future activities and projects. We also provided advice and guidance to a number of community Archives organisations, including the Bus and Tram Museum.

The biennial Regional Repository Forum was held in Orange on 25 October 2010, with staff from four of the regional repositories attending. Discussions and presentations focused on collection management and documentation, and the use and potential of Web 2.0 technologies. There was also a session on community archives collections, with participants from a number of societies across the Central West region.

State Records continued to support the promotion and outreach of regional repositories through the *Archives Outside* blog, which provides an online forum for the repositories to promote both their collections and their parent institutions. Further details about *Archives Outside* are given elsewhere in this Report.

Number of non standard format items transferred as archives

	Result 07/08	Result 08/09	Result 09/10	Result 10/11
Maps and plans	171,937	617	1,086	760
Maps and plans (to regional repositories)	n/a	n/a	5,000	0
Total			6,086	760

Outlook and capability

State Records anticipates that significant quantities of archives will continue to be transferred to our custody over the next five to ten years, as the bulk of paper-based records become inactive and as agencies with responsibility for vital infrastructure implement major copying projects. However, the large number of series being transferred continues to place pressure on our limited archival and clerical support staff resources.

It is gratifying that many public offices are fulfilling their obligations under the State Records Act by transferring inactive permanently valuable records as State archives. Unfortunately the volume of material transferred over the past 10 years is such that we are unable to fully check all consignments, and a large backlog has built up; delaying final approval of many transfers, and the registration of consignments and uploading/'publication' of item lists.

Increased demand for the transfer of State archives in digital form is expected, especially now that funding has been provided for the Digital Archives project. Whilst transferring archives into our custody is important to us, we will also continue to support a distributed State archives collection. To this end we aim to put more distributed management agreements in place with regional repositories and those public offices that have the capacity to manage archives in accordance with the conditions that ensure they are properly preserved, documented and accessible to the community.

People and Government use and benefit from the State archives collection

Donations of records

Offers of State archives gratefully acknowledged

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

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

Donor	Records donated
Mr Arthur Courtney	Observation book for Swan Vale School, covering the period September 1927 until the school closed in March 1939
Ms Terri Chesher	Records of the former NSW Health Translation Service
Dr Carolyn Pettigrew (records referred by the State Library, NSW)	Papers relating to liquid industrial waste treatment
Ms Bev McClymont	Admission and discharge Register, Macquarie Street Asylum at Parramatta, 1893-96
Ms Sue Cook (on behalf of her family)	Plans relating to the construction of the Sydney Opera House
Mr Geoff Cunningham	Soil conservation records
Mr Dennis Barrett	1990 Nyngan flood records
Mr Brett Johnson	Day books of former Arts Adviser to Premier Bob Carr

The State archives collection is appropriately stored and preserved

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

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

Metres of standard format records in archival custody

	Result 09/10	Result 10/11
Archives in State Records' custody	61,319	63,176
Records to be appraised in State Records' custody	3,520	3,521
Total in State Records' custody	64,839	66,697
Archives in regional repositories	2,400	2,420
Total in archival custody	67,239	69,117

Note: These figures do not include the 305 metres of Parliamentary archives held by agreement with the NSW Parliament.

Objectives for 2010-11
- Preserve born-digital State archives.
- Undertake conservation treatment on priority items.

Achievements and highlights
- Digital Archives project – funding received and project commenced

- Priority items received conservation treatment

The State archives collection continues to grow

The State archives collection increased by a record quantity of 2,053 metres of standard format archives during the year, bringing the total collection to more than 67 kilometres and over 339,092 maps and plans.

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

Record items of non standard format in archival custody

	Result 09/10	Result 10/11
In State Records' custody	338,416	339,092
In regional repositories	13,588	15,726
Total non-standard format in archival custody	352,004	354,818

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

People and Government use and benefit from the State archives collection

Planning for digital archives preservation

Archives Control and Management staff attended a number of presentations during the year in relation to digital preservation as part of building internal skills and capacity to move into our new role as a repository for 'born digital' State archives. Funding for this project was finally allocated during 2010-2011.

Preservation advice provided to agencies

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

State Records seeks to ensure that records of archival significance are being properly stored and managed while still in agency custody, and to provide guidance on appropriate handling, packaging and transportation for records to be transferred. We also assist agencies to identify seriously damaged records, and advise on essential remedial conservation work that may be necessary before they can be accepted into our custody. Conservation advice was provided to public offices on 21 occasions, particularly to agencies in rural and regional locations. More general advice (by telephone or email) is also given to regional repositories, local libraries and councils, as well as to Government agencies.

Visits and tours at our conservation facilities at Kingswood are given for agency staff and members of the public (there were 15 such visits during the year), and we occasionally take short and longer term work experience placements.

Macro-preservation challenges

Work continues on reducing the risk of bringing pests or mould into storage areas through improved checking and processing of transferred consignments. High-risk consignments are identified, quarantined, and treated using low temperature before they are introduced into the main storage areas. This also applies to archival material stored in or being sent to the GRR, and 2,550 batches of records were checked during the year.
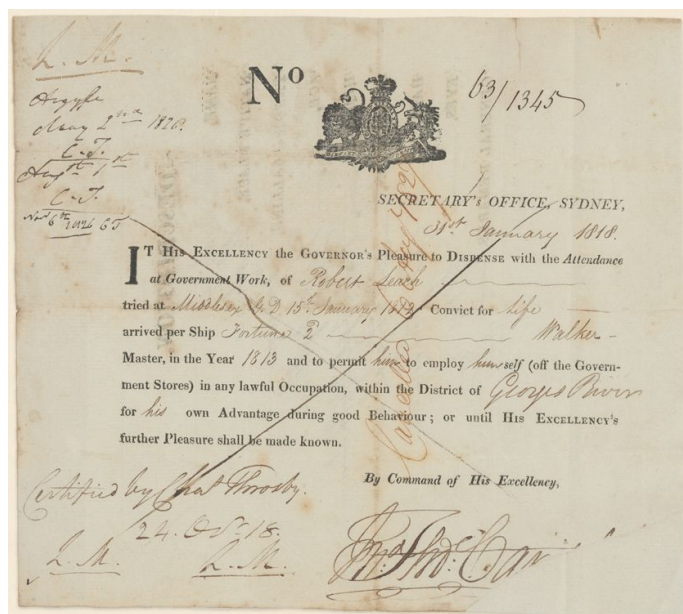
Original Ticket of Leave Robert Leach - As featured in 50th Anniversary Exhibition. Reference: NRS905 4/1941 27/7218 No. 63/1345.

Items receive conservation treatment

With a large collection (including many records in fragile condition), there is considerable demand for items to be treated to allow for access, copying or display. 1,421 items were treated during 2010-2011, representing minimal change from the previous year. Again there were many items treated prior to agency retrieval (591 items), in particular files recalled by the Department of Family and Community Services. However, it is gratifying to note that records treated as part of planned projects (646) made up a higher proportion (45%) of the overall total than in the past.

Records were also treated for researcher access or copying purposes (69 items), and for exhibition loans (14 items). A number of records were also treated as part of our ongoing volunteer program, particularly Deceased Estates files (30 boxes). The major planned projects involved the preparation of the Crown Plans (NRS 13859) for digitisation by Land and Property Information (LPI) (445 plans), and preparation of plans of public buildings (NRS 4335) for an internal digitisation project (201 plans).

Further advice was supplied in relation to the conservation of vol. 6 from the' Old register', part of an important early colonial series - *Registers of Assignments and other Legal Instruments;* NRS 5604). LPI was able to allocate funding for this work (in addition to $25,000 previously supplied by State Records from sales of the DVD copies of the series and associated index). Conservation work on the register has commenced, and is progressing satisfactorily. Completion of this work is a pre-requisite for the transfer of the series as State archives.

Senior Conservator Elizabeth Hadlow and volunteer Ann Knowles with colonial pardon box.

Outlook and capability

A review of preservation, copying and storage is planned for the upcoming year, building on preliminary planning already undertaken to identify the scope of the review and the methodology. Monitoring and treatment of records will continue in order to minimise their deterioration. Conservation staff will continue to provide advice to agencies to assist in the preservation of records of long-term and archival value.

The State archives collection is catalogued and documented

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

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

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

The documentation methodology we have used since the 1990s is known as the 'series system' and is common to many Australian archival institutions. This involves research, which results in registrations of archival series (groups of related items) and of the bodies that created or were responsible for them (agencies, persons). Broader contextual information is also captured about how the NSW government has functioned and been organised since 1788. However, series cataloguing is an inherently labour-intensive task, and it remains a significant challenge to utilise our limited resources in tackling the substantial numbers of new series being transferred, as well as a large inherited backlog.

The change of government in March 2011 with the election and swearing-in of the 94th (O'Farrell/Stoner) Ministry resulted in a considerable amount of additional documentation at the Ministry, Portfolio and Agency level with the previous thirteen principal departments (2009-2011) reduced to nine principal departments from April 2011. Other context-related work was undertaken as required, but the main emphasis for the year was on series registration.

Objectives for 2010-11

- Improve documentation of series transferred and held as State archives
- Improve documentation of regional State archives by distributing grant funding for Archives in the Bush.
- Catalogue 30,000 records items and reach more than 336,000 record items discoverable online.

Achievements and highlights

- Significant progress made with series documentation (Western Sydney and regional repositories)
- More than $30,000 distributed as grant funding to regional repositories for documentation projects.
- 149,199 record items catalogued, bringing total discoverable online to 455,592 record items.

Record progress with series documentation

Following the detailed internal review/audit of collection documentation completed during 2009-2010, action was taken to address the large backlog of documentation work that has built up over the past decade. A number of archivist and clerical vacancies were filled, and some of our cataloguing processes have been refined and streamlined to improve efficiency and output. The combination of these factors meant that 2010-2011 was our most successful year in cataloguing the State archives since the introduction of the series system in the mid-1990s.

Archivists at Western Sydney were able to prepare 286 draft series registrations, and a strong focus on checking, editing and approval of series documentation allowed us to record a net increase of 402 series descriptions available through *Archives Investigator*. These included new registrations and enhancements to existing documentation.

Examples of full/enhanced series registrations becoming available included some major series

of Lands records (such as NRS 18346, Old Form Torrens Title bound registers, 1863-1964 and NRS 13889, Surveyors' field books [Surveyor General], 1794-1929); records of child welfare institution (including NRS 19559, Admission and discharge registers [Endeavour House, Tamworth], 1948-1980, NRS 19708, Admission and discharge registers [Brush Farm Home, Eastwood], 1944-1987); and some important electoral records (NRS 16067, Maps of New South Wales electoral districts, 1893-1957, and NRS 16071, Results of elections conducted by the State from 1894 to 1913).

Series and context documented

	2010/11	Total at 30 June 2011
Series in State Records' custody	259	*14,202
Series in regional/ distributed custody	356	1,482
Total series approved	615	15,684
Agencies	72	3,535
Persons	7	184
Portfolios	0	62
Ministries	1	94
Organisations	17	283
Activities	0	14
Functions	0	182

* Includes split series held at Western Sydney and Mitchell Library; or Western Sydney and regional repositories. Series approvals for 2010/11 include series which were previously Concise Guide registrations and have now been fully registered, in addition to 'new' approvals.
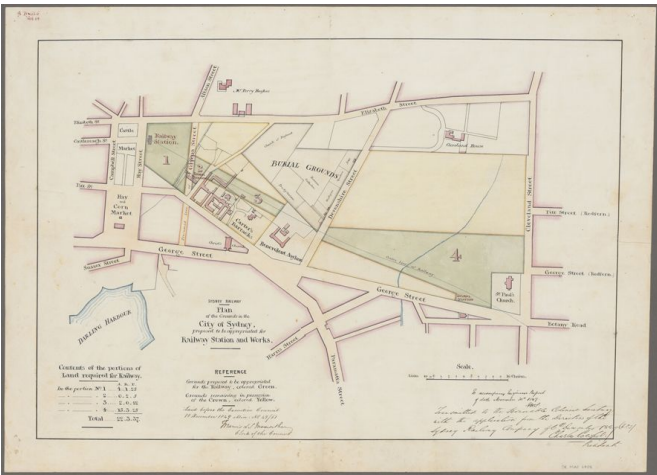
Plan of grounds for Sydney Railway, 1849 - As featured in 50th Anniversary Exhibition. Reference: NRS905 Map 6408

Regional archives being documented

Documentation of regional State archives was a continuing priority for 2010-2011. More than 350 regional series and some related agency registrations were finalised and approved, including many significant Lands series. Most of these series had been registered at Charles Sturt University Regional Archives (CSURA) and the University of New England and Regional Archives at Armidale (UNERA).

This regional documentation work was made possible by a continuation of the Archives in the Bush grant funding program for regional repositories for another year ($31,908 was distributed in 3 grants). These grants have made a major contribution to the cataloguing of regional State archives since funding commenced in 2001. In addition to the documentation grants, smaller grants were made in the form of supplies and material such as archival boxes.

Funds could not be spread more widely across the network, as the overall budget was limited, and several repositories were still in the process of completing projects funded in previous years.

Regional Repository Wagga Wagga – Jillian Kohlhagen, arrangement and description.

Grants to regional repositories

Repository	Project	Grant
University of New England and Regional Archives	Documentation of Lands records	$16,908
Charles Sturt University Regional Archives	Documentation of Local Government records	$12,000
Charles Sturt University Regional Archives	Travel/record transfer outreach funding	$3,000
Total		**$31,908**

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

Major boost to item documentation

At 30 June 2011, 455,592 entries relating to record items were available through our online catalogue *Archives Investigator;* an increase of 149,199 items over the year. This represents the largest number of items added to the system in any one year, thanks largely to the commencement of a major rectification project undertaken by the GRR which involves checking batches of previously-transferred Probate packets (NRS 13660) and correcting errors in the existing documentation (originally supplied by the Supreme Court). The accurate lists produced by this project are then uploaded into the Business Operations System. The discrepancy between the target figure and the number of items actually added is due to the fact that it was not possible to determine the likely rate of progress with the GRR documentation rectification project at the time the target figure was set.

Other significant additions during the year include items from various series created by the Sydney Opera House Trust and associated committees.

People and Government use and benefit from the State archives collection

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

	Result 10/11	Target 10/11
Record items catalogued in year	149,199	30,000
Catalogued items discoverable online	455,592	336,393

* Does not include record items available separately on the website (currently c. 11,800 items). Not all items catalogued are discoverable online.

Colonial Secretary's correspondence

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

During the year we continued:

- the process of improving access to the 1826-1827 and other in-letters which have been relocated
- identifying in-letters suitable for selective digitisation.

We also:

- filmed and made available in our reading rooms 2 films containing Special bundles relating to applications by convicts for free passages for their wives and children, the arrival of convict families, and to the convict establishment at Port Macquarie
- created additional Special bundles as well as re-describing some existing ones to better depict their subject matter and contents.

Outlook and capability

The findings of the collection documentation review will continue to shape our priorities in coming years; in particular the need to keep up with cataloguing and documenting new archives as they are transferred to our custody, to make inroads into the substantial backlog of uncatalogued archives, and to increase the number of record items discoverable through our online catalogue. The notable improvements in our cataloguing output (particularly in the first half of the year) were extremely gratifying, but continuing progress has been set back somewhat by the loss from the section (through resignation and secondment) of two of our three recently-appointed archivists.

If we are to build on the initial progress we have achieved, and particularly if we are to reduce our long-term backlogs dedicated funding over a number of years will be needed, and the priority and resources allocated to this task will need to be one of the key issues considered as part of future corporate planning. Our volunteers are also important to our success in the area of item-level documentation, and we would like to develop the capacity to support a more active volunteer program.

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

Services for the Public

Sensitive public sector information appropriately protected

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

Goals:
- Encourage public offices to make access directions (decisions about public access) for all records over 30 years old.
- Protect sensitive information through the application of appropriate closure protocols.
- Promote awareness and use of the State's archives as cultural, historical and evidential assets.

Access directions cover all records kept more than 30 years

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

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

Objective for 2010-11
- 44% of public offices have comprehensive access directions in place.

Achievement
- 46% of public offices have comprehensive access directions in place.

Increase in access directions

Sixteen public offices made comprehensive access directions during the year, bringing the percentage of public offices with coverage for all records over 30 years old to 46% (of a total of 433 public offices). This was significantly higher than the objective of ten public offices. The greater number of comprehensive access directions was due to the change of government and the strategy put in place before the election to ensure records from Ministers' offices were appropriately covered for future public access.

Like records retention policies we rely on public offices to make access directions providing assistance to them as required. The main trigger for making access directions remains the requirement that all State archives transferred to State Records to be covered by an access direction. There continues to be an increase in public offices making comprehensive access directions as they transfer records under newly approved retention policies.

During the year several public offices revised and renewed access directions including the University of Technology, Sydney and The University of Sydney.

Number of public offices making access directions

	05/06	06/07	07/08	08/09	09/10	10/11
Partial coverage	7	3	-	2	3	3
Comprehensive coverage	29	78	22	11	10	16

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

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

Case study In the lead up to the March State election strategies were put in place to ensure that the records of Ministers' offices were covered by access directions to ensure future public access. Under the State Records Act the Minister is responsible for authorising access to the records of their office. Past experience in tracing and contacting former Ministers to authorise access to records and informing current Ministers whose offices carry out the same function were not always successful and usually frustrating. By providing Ministers offices' with a model set of directions and a form letter for authorising the access directions, all but one Minister set access directions. The records are currently held electronically by the Department of Premier and Cabinet and when transferred as State archives they will be appropriately covered by access directions.

Outlook and capability

We continue to face challenges in encouraging public offices to make access directions for all their records over 30 years old. Following the success of the strategy for local councils we will continue developing similar strategies that target individual public offices and promoting general model directions for particular functions across government. The introduction of the *Government Information (Public Access) Act 2009* this year has seen an increase in the amount of records being made available, under that Act, in the closed period (that is records less than 30 years old). This provides an opportunity to increase the records made available under early access authorisations as well the type of records made subject to open to public access directions. In addition we will be investigating ways to reduce the demands placed on public offices by seeking to remove the obligation to renew closed to public access direction every five years.

Use of the State archives collection 2010-11

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

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

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

State Records encourages research into, and use of, the State archives collection or other original sources of archives, through sponsorship of the Archival Research Fellowship, which was inaugurated in 2009. The Fellowship is offered annually by Government to assist a person living in NSW to complete a research project that makes substantial use of the records collection of State Records. As the recipient of the 2010 Fellowship Dr Amanda Kaladelfos was awarded $15,000 to research and write a history of capital punishment in NSW from 1855 to 1939, using the NSW State archives.

Archives reaching a broader audience

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

Literary works

Publications that drew on the State archives collection included:

- *Jorn Utzon* by Michael Asgaard Andersen
- *Beneath the Pines: a history of the Stockton Centre* by Laila Ellmooos and Emma de Voss
- *Set in Stone, The Cell Block Theatre* by Deborah Beck
- *Frederick Robert D'Arcy: colonial surveyor, explorer and artist, c 1809-1875* by Andy Macqueen.
- *Painting The Rocks: the loss of old Sydney* by Paul Ashton ... [et al.]. Sydney : Historic Houses Trust of NSW, 2010.
- *Elizabeth 1828, the worst and most turbulent: from Celtic cross to Southern Cross* by Suzanne Voytas.
- *From Canton with Courage: Parramatta and Beyond Chinese Arrivals 1800-1900* by Jack Brook
- *Not Just Ned a True History of the Irish in Australia* by Richard Reid
- *Farewell My Children, Irish Assisted Emigration to Australia 1848-1870* by Richard Reid
- *Macquarie's Towns* by Ian Jack
- *West of the line: an historical journey back in time in the Warral, Duri, Winton, Bective, Somerton, Gidley and surrounding areas* by Robyn Wing, Julie Banks and Jim Hombsch.
- *Life's hard school: a reflective history of the Goulburn District, incorporating Bungonia, Jacqua Reefs, Old Marulan, Mooroowoollen and Marulan South* by Phil Leighton-Daly
- *Breaking up of the convict establishment at Port Macquarie, 1847* by Port Macquarie & Districts Family History Society Inc..
- *Sydney gaol records for Port Macquarie convicts, 1821-1826* by Port Macquarie & Districts Family History Society Inc.

Archives serving a variety of purposes

- NSW Stage 6 (HSC) Aboriginal Studies Syllabus
- Interactive kiosks at the Sydney Theatre Co.
- Invitation to The Opera Gala, Opera Australia
- Interpretive signage at the Australian Technology Park, Eveleigh
- Interpretive sign within the Bathurst Railway Precinct- Ben Chifley's Railway History Card
- TV Documentary, *Tough Nuts*
- Documentary for History Channel, *Tony Robinson's Australia*
- Documentary, *A Short History of the Walsh Bay Precinct*
- Community Film, *The Green Corridors of Southern Sydney*
- Sydney Opera House Conservation Plan
- Program for ABC Open South Coast and Tablelands
- TV series Underbelly...*Razor*
- VOD cast for City of Sydney *City Talks* program
- Digital signage to promote the Visionaries' display at the Museum of Sydney

TV Series *Who do you think you are?*

Segments filmed for the previous UK and Australian series versions of the television series *Who do you think you are?* were repeated in 2011.

Exhibitions

Exhibitions that used material from the State archives included:

- Bradfield: The Bridge and Beyond, SciTech Library University of Sydney
- Scheyville Centenary Celebrations
- Convict Sydney Hyde Park Barracks Museum
- First Government House Display at Museum of Sydney
- *True Blue...150 years of Service & Sacrifice:* to commemorate 150th anniversary of the NSW Police Force

The State archives collection is widely accessible to people and Government

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

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

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

Objectives for 2010-11
- Enhance services to the public through our website.

Achievements and highlights
- 74,000 entries added to online indexes.
- 2,221,303 unique visitors to our website.
- Online ordering and payment for copies of State archives increased by 17%.
- 11,597 archival research and related enquiries handled by post, email and telephone.

Online photocopy order service continues to grow

The popularity of the online copy service continued to grow during 2010/2011, with a 17% increase in the number of researchers using the online order and payment service. The number of researchers placing orders by mail has fallen by 11.8%.

Copy orders from the public

	2009-10	2010-11	Variation (%)
Orders placed online	3,123	3,659	17%
Orders received by mail	796	702	-11.8%
Copying orders from the public	3,919	4,361	11.3%

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

Website visitors increase

An estimated 2,221,303 visits were made to our website during the year. This figure represents a significant increase over the previous year.

Services available on our website include:

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

Interests of researchers

Topics of interest

Researchers of the State archives collection were interested, amongst many other topics, in:
- Capital punishment
- The history of Crown Street Women's Hospital
- 150th Anniversary of NSW Police
- Aboriginal Crew members to North American ports
- Working women prior to 1870
- Sydney's ocean beaches

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

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

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

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

Archives Outside blog

Archives Outside is a blog established by State Records NSW to provide interaction, promotion, outreach and guidance with, to and for keepers of Archives in NSW. It has a strong focus on regional NSW and features posts on Web 2.0, conservation, archival collections, managing archives/Archives and dating photographs and collaborative posts in which experts contribute their knowledge on a range of topics through comments. Following on from a successful first year the Archives Outside blog continues the pattern of weekly posts and has introduced a "Q&Archives" series in which SRNSW staff are interviewed about the work they do. The "Moments in Time" series in which blog visitors help to date and locate photos in our archival collection has proved to be a very popular means of communicating directly with users of the archives. It is a very interactive series and we obtain useful information which in turn enhances our catalogue.

State Records' 50th anniversary

As part of State Records' 50th anniversary celebrations an online exhibition featuring 50 iconic items from the collection has been developed. The exhibition showcases the richness, diversity and often quirky nature of our holdings. The 50 items date from the State's founding documents recording the convicts on the First Fleet up to the establishment of the Archives Authority in 1961.
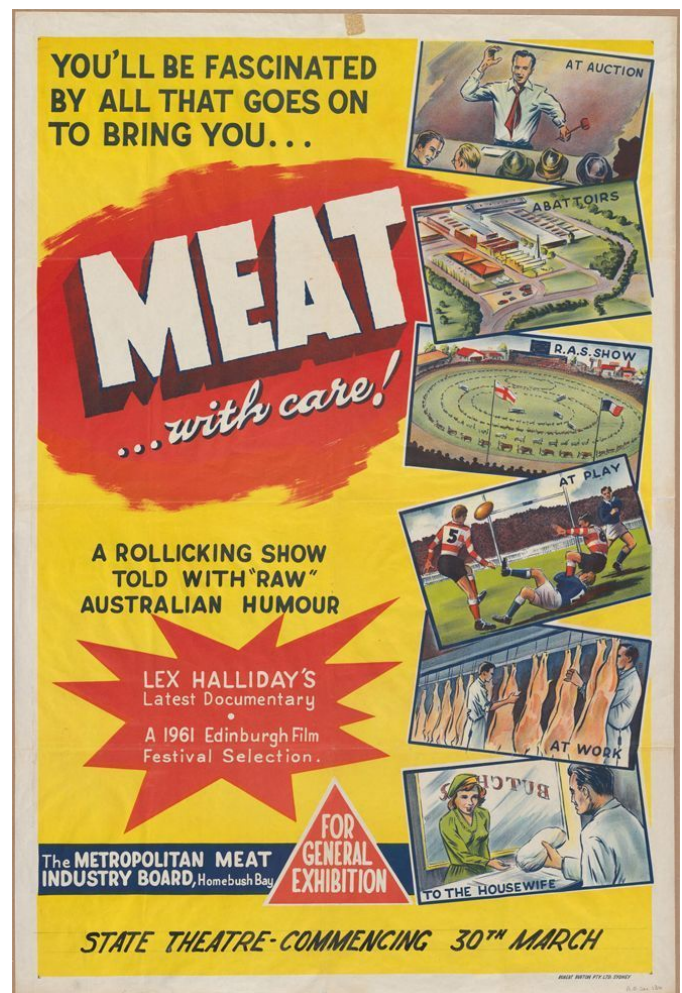
Poster Meat with Care, 1961 - As featured in 50th Anniversary Exhibition. Reference: NRS5194 Doc134.

Enquiry services remain popular

State Records' public enquiry service continued to be popular. 7,430 enquiries by email and post were received and responded to during the year, an overall increase of 11.8% on last year. Telephone enquiries decreased by 12.6%.

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

123,474 names added to our website indexes

Indexes to State archives are one of the most popular resources on our website. For many people, names of people, places and subjects are the key to locating records relevant to their research. A total of 74,000 name index entries were added to our own online indexes. In addition 49,474 colonial passenger lists were added to the Mariners and Ships in Australian Waters website which State Records hosts. New indexes added to our website 2010-11 included:

• Squatters and Graziers
• Permission to marry
• Publicans

Entries were added to existing indexes covering convict records, criminal depositions, registers of firms, intestate estates, deceased estate records, gaol records and soldier settlement. There are currently 1,278,231 index entries online.

Meeting service guarantees

	Target	2009-10	2010-11
Responses to written enquiries in 20 working days	15 days	99%	99%

Public enquiry service

	2008-09	2009-10	2010-11	Variation (%) from last year
From the public				
Written enquires (letter/fax)	952	968	900	-7%
Written enquiries (electronic)	5,011	5,680	6,530	15%
Written enquiries total	5,963	6,648	7,430	11.8%
Telephone enquiries	5,159	4,649	4,062	-12.6%
Total	**11,122**	**11,297**	11,492	1.7%

Electronic service delivery at a glance:

⇒ State archives collection is accessible via the State Records website, through finding aids, Archives and Photo Investigator, guides and publications.

⇒ 78 indexes are available covering records relating to convicts, immigrants, the Colonial Secretary's correspondence, courts (civil and criminal), gaol inmates, education and child welfare, soldier settlers, deceased estates, probate, shipping, railway employees and firms.

⇒ Online enquiry and copy service available to the public and remote clients, offering research advice, guidance and an online payment facility.

⇒ Digital copies of the passenger lists of assisted immigrants arriving between 1838 and 1896 are available online at no charge.

Reading room visitors

There were 49,015 visits to our two reading rooms during the year: 21,815 at the Sydney Records Centre and 27,200 at the Western Sydney Records Centre.

Access to State archives in the reading rooms is free in accordance with government policy. Original (uncopied) State archives are only accessible at the Western Sydney Records Centre. A Reader's Ticket is required to use original archives. 1,330 Readers Tickets (valid indefinitely) were issued during the year.

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

There has been a slight decrease (-4.5%) in the use of original items and in the number of readers (-1.06%) using original records in the Western Sydney reading room.

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

Both reading rooms are wheelchair accessible.

Visitor satisfaction

Our annual survey of archive users was conducted between 11 October and 5 November 2010. The survey is used to obtain feedback on our online and reading room services to enable improvements to be made.

Visitor satisfaction

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

The demographic profile of respondents has changed from earlier surveys in terms of sex, this may be the result of carrying out the survey online. Respondents were predominantly female (60.4%) down from 68.8% in 2009. Clients are still predominantly over 50 years of age (73.4%).

The responses indicated a generally high level of satisfaction with the website and online resources and services. There were also high levels of satisfaction with the *Archives in Brief* publication series and the photocopying service, although

Reading room visitors

	2006-07	2007-08	2008-09	2009-10	2010-11
Western Sydney	30,396	30,321	29,804	23,821	27,200
Sydney	31,009	25,627	24,663	28,765	21,815
Total	**61,405**	**55,948**	**54,467**	**52,586**	**49,015**

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

	2009-10	2010-11	%Variation
Original archives issued	26,620	25,425	-4.5%
Readers using original items	5,476	5,418	-1%
Average number of original items per readers	4.9	4.7	-4.1%

there were a number of unfavourable comments about the cost of photocopies.

As with previous surveys *Archives Investigator* had the highest level of dissatisfaction with 30 respondents reporting they were not satisfied.

In response State Records will continue to provide *Archives Investigator* seminars and develop further tips on using *Archives Investigator*.

A total of 659 people answered the survey, a considerable increase in the 174 responses in 2009.

Charles Sturt University Regional Archives has strong demand

Demand in 2010-11 for regional State archives continues to be highest in Wagga Wagga at the Charles Sturt University Regional Archives. In the year under review there were 1,641 reader visits and 458 issues of original (uncopied) records at the centre.

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

Temporary recall of State archives

Public offices may recall individual State archives required for official use. State Records may provide temporary custody of the original record, or supply a copy. 2,249 requests were made for archives, with 1,960 items returned or copies supplied to the relevant agencies entitled to recall them.

Kit of copied archives and guides facilitates regional and rural access

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

State Records continued to support the network by:

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

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

315 photographs added to online database

Despite the limited availability of staff resources for much of the year, we were able to add 315 digitised photographs from the collection to our online database *Photo investigator*, bringing the number of images available at 30 June 2011 to 7,604. These additions were from the Government Printing Office Glass Negatives (NRS 4481), and included images of public buildings (Sydney and country, particularly post offices, court houses and police stations), houses, bridges, ships and other maritime images, and rural scenes. With the help of contributors to our popular blog Archives Outside, we were able to identify and date a number of previously unidentified photographs from this series.

Community stakeholders at a glance:
⇒ family historians, community and local historians
⇒ heritage enthusiasts
⇒ professional historians and academics
⇒ high school and university students
⇒ seniors
⇒ Aboriginal people
⇒ women
⇒ artists
⇒ public officials

Significant plans and documents digitised

2010-2011 was a particularly productive year for the digitisation of plans and documents. 371 plans from the series NRS9590 Plans of Licensed Premises: Hotel Plans have been digitised in full colour, and are now available to be viewed through *Archives Investigator*. NRS19348 and NRS12462 Darling Harbour Resumption Maps have also been digitised.

We also digitised and published on the website an important 'suite' of foundation documents for the Sydney Opera House: NRS 12825 Competition drawings submitted by Jørn Utzon to the Opera House Committee, NRS12707, "Sydney National Opera House" ("Red Book"), NRS12708 "Sydney Opera House" ("Yellow Book"), and NRS 12702 International Competition for a National Opera House at Bennelong Point, Sydney New South Wales, Australia: Conditions and Programme" ("Brown Book").

Work also commenced on scanning the series NRS 4335 Plans of Public Buildings; and the significant Sim Collection from National Parks and Wildlife relating to Aboriginal heritage sites is being progressively digitised for preservation purposes.

Probably the most significant project for the year was State Records 50th anniversary online exhibition, which featured 50 items from the collection. These all had to be carefully prepared, and digitised to a high standard for display on the website.

Selected priority records microfilmed

Extensive sorting and cataloguing work has been carried out over a number of years on the Colonial Secretary's Papers, 1826+, as an essential task prior to copying. A number of important Special bundles were microfilmed during the year, including several bundles relating to the convict system.

Work also continued on the long term project to copy the Gaol Photograph description books for NSW prisons, 1870-1930. The records for Maitland Gaol were indexed and microfilmed during the year, as well as a small quantity of additional early records from Darlinghurst Gaol that were previously unidentified.

State archives borrowed for major exhibitions

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

During 2010-2011, a total of 19 original items went out on loan to the following institutions:

- National Museum of Australia **-** "Irish in Australia" (4 items); "Landmarks" (1 item)
- Historic Houses Trust (Museum of Sydney) - "Painting the Rocks" – (9 items)
- State Library of New south Wales – "Marinawi" – (5 items)

Increasing access to State archives through agreements with third parties

State Records continued to explore agreements with third parties to increase the diversity of channels by which the people of NSW can access the State archives collection. Agreements with third parties to copy and publish State archives enhance access to State archives, especially online publication, by providing alternative avenues of access. State archives subject to such agreements are already open to public access and already available for public inspection.

Outlook and capability

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

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

Communities know about and value the State archives collection

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

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

Extensive public program achieved

In 2010-11, 3,226 people attended a total of 93 events. Just over 40% of participants attended events in regional New South Wales.
Onsite activities are held at the Sydney Records Centre and the Western Sydney Records Centre. In addition to our programmed events, we also accept invitations to address family and local history societies. Group research visits to the Western Sydney Reading Room continue to be popular, with 26 groups, made up of 342 members, visiting the Centre in the reporting period.

Objectives for 2010-11
- Meet continued public demand and expectations for an extensive outreach program of talks, tours, group visits and exhibitions.

Achievements and highlights
- Organised or contributed to 93 outreach events, attended by 3,226 people.
- *In Living Memory* NSW regional tour.

	2009-10	2010-11
Onsite	712	553
Sydney	905	995
Western Sydney	216	246
Regional and rural NSW	2,380	1,375
Canberra		57
Outside NSW	65	
Total	**4,278**	**3,226**

Numbers of public program participants by location

Christine Yeats at a seminar held in West Wyalong 26 March 2011

In Living Memory exhibition

The original version of the exhibition continues to attract local and international visitors and small group tours to State Records Gallery in The Rocks, where it first opened in September 2006. A touring version of the exhibition travelled to 18 venues in New South Wales over a period of two and a half years, including Dubbo, Griffith and Broken Hill in 2010-11. A third 'suitcase' version was also created in 2010 to respond to important opportunities, such as a one-day Healing Workshop for Stolen Generation members in Sydney, and side trips to Menindee and Wilcannia while the tour was on display in Broken Hill.

The period since the exhibition tour finished has been one of consolidation and re-consultation. In the process, possible new futures for the exhibition have begun to emerge. The Exhibition Team has concentrated on an all-out effort to finalise work on Mervyn Bishop's photographs of people from 18 communities taken during the course of the tour. They are an extraordinary document of contemporary NSW Aboriginal life, unlike any other project that we are aware of at this time. In particular, the photographs form an important record of surviving Stolen Generation people and others who still remember living on reserves and missions and being under the control of the Aborigines Welfare Board.

As communities receive copies of these photographs as mementoes of the exhibition, they are being given the opportunity to decide if they are happy for their photos to become part of the ongoing exhibition. This permission process also provides an opportunity to re-consult via a survey questionnaire about the exhibition and its potential future as an ongoing cultural asset in regional communities. Work has also begun on a book documenting the life of the exhibition, featuring Mervyn Bishop's photographs, archival photos from the Aborigines Welfare Board, photographs from personal collections and artworks connected to the communities visited by the tour. Funding and sponsorship is being sought to realise this project.

Serving the Indigenous Community

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

In Living Memory NSW tour

Elder Previews and opening events for the *In Living Memory NSW tour* in 2010-11 have attracted over 345 Elders and local community members to the exhibition throughout New South Wales.

- 65 visitors for the opening at Griffith Regional Theatre
- 85 visitors to the opening at the Broken Hill, Regional Art Gallery
- 60 visitors to the Elders Day and exhibition in Menindee
- 70 visitors to a community dinner and exhibition in Wilcannia
- 65 members of the Stolen Generation at a Healing Workshop in Sydney

A total of 360 visitors have signed the touring visitor's book.

In Living Memory at State Records Gallery

In Living Memory is still on display at State Records Gallery in The Rocks. There were group visits throughout the year from diverse organisations, including Creative Youth Initiatives, Mission Australia; South Western Sydney Institute TAFE; Indigenous Police Recruitment, Our Way Delivery Program; tourism trainees from Strathfield College and Aboriginal Affairs NSW. The exhibition also attracted visitors from around the world, including United Kingdom, USA, Canada, Brazil, Chile, Italy, France, Germany, Switzerland, Czech Republic, Poland, Japan, Korea, Taiwan, India, Thailand, Indonesia and New Zealand.

Addressing the needs of culturally diverse communities

State Records' *Ethnic affairs priority statement* 2010-11 identified objectives for delivering our services to linguistically and culturally diverse communities.

James Christian, Chief Executive, Aboriginal Affairs NSW, visits the Western Sydney Records Centre at Kingswood 24 August, 2010

Outlook and capability

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

Corporate information and communications

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

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

Information systems support service delivery

We have three primary electronic information systems supporting our services.

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

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

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

During the year the BOS and *Archives Investigator* databases were upgraded to the latest software version and some minor issues in *Investigator* affecting search forms and the display of some data were corrected.

In April, work was completed on the migration of the BOS reports, originally designed using Crystal Reports, to the Microsoft SQL Reporting Service. The new reports are much improved allowing users to change the selection criteria directly on a report after it has run, and providing dynamic links to other reports without having to return to the BOS menus.

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

A major upgrade of the FIRST library management system which is used to manage State Records' corporate reference library was completed in November. The upgrade was performed at the database, system and client level.

Managing our information and records

Records management initiatives focused on records capture, sentencing and disposal

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

- Completed the sentencing of the approximately 2,000 1997-2000 "R" (Reference) files
- Continued the sentencing of the approximately 8,500 records in the legacy "EXCARMS" database in TRIM
- Continued the appraisal of the building plans from both the City office renovations and Kingswood site extensions.
- Conducted an audit of sensitive material and provided for greater secure storage capacity
- Processed a quantity of returned files relating to the ATFRS project
- Sentenced a quantity of legacy pre-1965 files as Required as State Archives

In June, an auditor from IAB Services conducted a review of the "adequacy and effectiveness of the current internal control environment operating over TRIM Records Management and Compliance". A report of the review is expected to be presented in July.

It had been intended to undertake a major version upgrade of the TRIM records management system to correct integration issues with Microsoft Office 2010. However, the project has been postponed as testing of the new version revealed that it has significant shortcomings. State Records has lodged change requests with the TRIM developer who has advised that these problems will be addressed in a future release.

Management of sensitive information protects privacy

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

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

Content/service delivery/wider audiences

State Records has continued to exploit the new channels of content delivery and user interaction available on the Internet, popularly referred to as "Web 2" applications. Facebook, Twitter, YouTube, Flickr, Slideshare and a number of Blogs are all used to deliver content and to communicate and interact with the community.

On-line resources/services

The shopping cart system developed to allow the easy ordering of copies from multiple indexes went live on 15 July 2010. Customers are now able to order copies of archival items from many indexes in a single order and pay just one charge for postage and administration.

Free wireless Internet access was installed at both reading rooms during the year.

In March, equipment was installed to allow Western Sydney Reading Room clients to download electronic copies of microfilmed documents via a computer interfaced with a microfilm scanner.

In addition, a camera and associated software and equipment have been installed in the Western Sydney Reading Room to allow users to make digital copies of original documents issued to them.

The task of migrating the corporate intranet to the Plone content management platform was completed. While the bulk of the work was completed during the previous year, the new site did not go live to staff until 1 July 2010.

New websites were set up on State Records' Wordpress platform during the year. In September, a site was established to host digital galleries to showcase images and records from our archival collection. One such gallery was the *50 Years at State Records* anniversary exhibition. In March, a site was launched to support State Records' new Open Data Project. The aim of this project is to publish datasets relating to the collection so that interested people can develop new and creative ways of exploiting the information.

In May, State Records' Plone web content management system underwent a major version upgrade. The new version corrected problems that had affected the stability and utility of State Records' main website for some time.

Trends

Indicator	2006/07	2007/08	2008/09	2009/10	2010-11
Metres of non-current records in storage	373,737	395,477	413,320	434,232	467,876
Metres of standard format records in archival custody	58,516	59,842	65,919	67,239	69,117
No. of catalogued record items discoverable online	205,460	239,876	269,832	306,393	455,592
No. of archives information access points	42	42	42	42	42
Metres of non-current records accessioned	32,470	34,983	33,630	36,088	51,975
No. of file retrieval operations	321,216	313,920	327,122	316,037	370,045
No. of disposal policies approved	25	26	23	16	12
Metres of records transferred to archival custody	849	1,326	6,079	1,320	2,053
No. of record items catalogued	31,218	34,416	29,682	36,561	149,199
No. of original record items used by readers	26,540	25,554	26,831	26,620	25,425
No. of website visits	976,382	1,553,894	1,598,503	1,594,946	2,221,303

Governance and accountability 2010-11

Board and management

Strategic planning and reporting

Client and stakeholder relationships

Managing risks

Managing our people

Government Information (Public Access) Act (GIPA) 2009

Managing our physical assets and finances

Audited financial statements

Board and management

The Board

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

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

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

Board members

Board members 2010-11

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

Ms Denise Dawson
General Manager, Corporate Services, Sydney Water
First term: 1/1/10- 31/12/12
Nominated by the Minister who administers the State Owned Corporations Act 1989, to represent State owned corporations
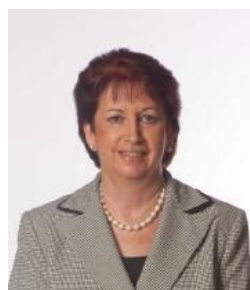
Ms Zoe DeSaram
Director of Climate Change, Air and Noise, Office of Environment and Heritage, Department of Premier and Cabinet
First term: 2/4/08-31/12/10
Second term: 1/1/11-31/12/13
Nominated by Minister who administers the Public Sector Employment and Management Act 2002 to represent departments
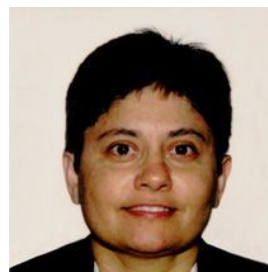
Ms Robyn Foster
General Manager, Internal Customer Services, NSW Police Force
First term: 2/4/08-31/12/10
Second term: 1/1/11-31/12/13
Nominated by Minister administering State Records Act to represent State law enforcement agencies, after consultation with the Ministers responsible for those agencies.
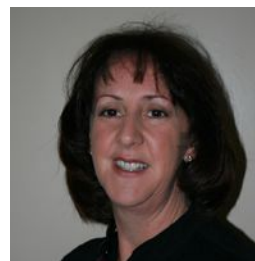
Board members

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

Hon. Justice Henric Nicholas
Judge of the Supreme Court of NSW
First term: 2/4/08-31/12/10
Did not seek re-appointment
Nominated by the Chief Justice of New South Wales
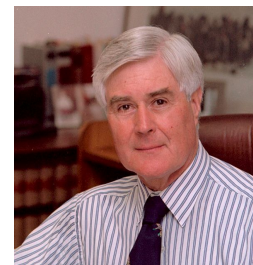
Ms Anthea Kerr
Assistant Director General, Policy, Department of Finance and Services
First Term: 8/9/10– April 2011
Nominated by Minister who administers the Public Sector Management Act 2001 to represent departments

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

Hon. Justice Robert Macfarlan
Judge of the Supreme Court of NSW
First term: 1/1/11-31/12/14
Nominated by the Chief Justice of New South Wales

Ms Karen McKeown
Councillor, Penrith City Council
First Term: 25/3/09-31/12/11
Nominated by Minister administering State Records Act to represent local government

Board attendance

Member	Attended	Eligible
Mr Stephen Davies	5	6
Ms Denise Dawson	5	6
Ms Zoe DeSaram	4	6
Ms Robyn Foster	4	6
Hon Don Harwin, MLC	5	6
Ms Anthea Kerr	3	3
Hon Robert Macfarlan	2	3
Ms Karen McKeown	3	6
Hon Henric Nicholas	2	3
Professor Lucy Taksa	5	6

Board meetings

The Board meets every two months. Six meetings were held in 2010-11.

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

Department of Finance and Services Audit and Risk Committee

The Board's Audit, Finance and Risk Committee was wound up on 13 October, 2009. State Records then joined the Department of Finance and Services Audit and Risk Committee.

Board Chairperson Professor Lucy Taksa, Dr Peter Tyler and Director
Alan Ventress at the function to celebrate the 50th anniversary of the
creation of the Archives Office of NSW
NSW Parliament House, 31 May 2011

Board and management

Oversight by Minister

State Records is subject to the direction and control of the Minister responsible for the *State Records Act 1998,* except in relation to approving the disposal of records. Our Minister is the Minister for Finance and Services and the Minister for the Illawarra.

Strategic committees

Executive Team

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

Senior staff

Director
Mr Alan Ventress, **BA, DipLib,**

Deputy Director
Mr John Burke, BA, DipLib, DipArchAdmin,

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

Senior managers

Mr Michael Allen, BA, DipLib,
Chief Information Officer

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

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

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

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

Warwick Hunter, Megan Martin, Alan Ventress and Noelle Nelson at the launch of Land and Property Management Authority Kiosks 3 November 2011

Management Committee

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

Information Management and Technology Steering Committee

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

Occupational Health and Safety Committee

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

Future Proof Strategy / Digital Archives Steering Committee

Established in February 2008, the Future Proof Steering Committee provided direction and oversight for State Records' digital records strategy, including efforts to secure the necessary funding to implement digital archiving capacity. On the commencement of the Digital Archives project in April 2011, the Committee endorsed new Terms of Reference and a name change, becoming the Digital Archives Steering Committee. The Steering Committee forms part of the governance framework for the Digital Archives project.

The committee comprises the Director, Deputy Director (Chair), Manager, Government Recordkeeping, Manager, Archives Control and Management, Chief Information Officer, Project Manager, Digital Archives and Executive Officer (Secretary).

State Records Authority
of New South Wales

Key

| Executive | Managers |
| RSP Service Groups | Support services |

- Department of Finance and Services
- Board
- Director
- Executive Unit
- Deputy Director
- Manager Government Records Repository
- Chief Information Officer
- Manager Public Access
- Manager Special Projects
- Manager Government Recordkeeping
- Manager Archives Control
- Corporate information & communications
- Reference services & outreach
- Regulation, guidance & promoting best practice
- Corporate resources and facilities
- Documenting, storing, preserving the archives
- Storing non-current records

Strategic planning and reporting

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

Reading Room, Sydney Records Centre, The Rocks

Corporate planning

Strategic plan

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

Results and Services Plan

Our objectives for the year were set by our *Results and services plan 2010-11* which shows how what we do aims to make a difference to the people and communities of NSW in accordance with the State Plan.

Total Asset Management Plan

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

ICT Strategic Plan

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

Progress under the Plan is regularly reviewed by the IM&T Steering Committee. State Records will shortly commence the development of a new plan for the next three year period.

Social responsibility plans

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

Multicultural Policies and Services Program

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

State Records continued its long-standing policy of staging events for culturally and linguistically diverse communities.

State Records NSW has updated its *Immigration from many lands* webpage (http://www.records.nsw.gov.au/state-archives/resources-for/historians/immigration/immigration-from-many-lands) with the addition of a selection of photographs and copies of records showcasing the diversity of the State's shared history. The page includes links to the Archives in Brief (fact sheets) listing key records sources in the NSW State archives relating to some of the many national and cultural groups that have made NSW home. One of the highlights of the updated webpage is a section on Russian migration and settlement in NSW. There is a link to a selection of the articles which State Records published in April 2011 exploring the history of Russian migration and settlement. A number of the articles were based on presentations at the May 2010 seminar which State Records co-hosted with the Royal Australian Historical Society.

In the first half of 2011 State Records NSW made significant updates to *Archives in Brief 33: Chinese migration and settlement* and *Archives in Brief 62 Lebanese migration and settlement*. State Records' suite of Archives in Brief is available online and hard copies are available in both reading rooms.

State Records will investigate the possibility of holding similar events for diverse communities in 2011-12 and future years.

Program action plans

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

Corporate reporting

Program reporting

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

Annual reporting

Our annual report is the primary mechanism by which we account for the past year to Parliament, central agencies and stakeholders. This year we have aimed to focus more on our performance and less on activities. A separate *Activity Report 2010-11* is published on our website.

This annual report complies with:

- *Public Finance and Audit Act 1983* and Regulation 2010
- *Annual Reports (Statutory Bodies) Act 1984* and Regulation 2010
- *Government Information (Public Access) Act 2009*
- Treasury Circulars and Treasurer's Directions
- Premier's memoranda.

State Records staff members Warwick Hunter and Cassie Findlay host visitors from Oman 30 August 2010

Client and stakeholder relationships

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

Advisory committees

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

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

Digital Records Advisory Group

This committee held four meetings in 2010-11. Members during year:

Lesley Alexander, Manager, Information Services, Department of Finance and Services
Ken Carroll, TransGrid
Susan Fletcher, Manager, Document Management, City of Sydney
Mark Goleby, Collaborative Government Services Manager, Government Chief Information Office
Greg Jackson, Manager, Records, Privacy and Information Security, Hunter New England Health
Peter Konstantin, Director, Information Management, Corrective Services NSW
Michael Landsbergen, Head of Corporate Services, NSW Ambulance Service
Margaret Miller, Manager, Records and Mail Operations, ServiceFirst
Tim Robinson, Manager, Archives and Records Management Services, University of Sydney
Russel Smith, Director Administrative Services, Community Services NSW
Jonathan Summers, Manager, Information Communications and Technology, Public Works, Department of Finances and Services
Catherine Sykes, Records Manager, Department of Transport

Community Advisory Committee

Members during year:

Rosemary Annable, professional historian
Michael Bennett, Professional Historians Association (NSW)
Dr David Carment, Australian Historical Association
Heather Garnsey, Society of Australian Genealogists
Carol Liston, Associate Professor, School of Cultural Histories and Futures, University of Western Sydney
Craig Mackey, railway historian
Perry McIntyre, professional genealogist and historian
Lesley Muir, Royal Australian Historical Society
John Petersen, NSW Migration Heritage Centre
Jan Richards, Central West Libraries
Dr David Roberts, Editor, Journal of Australian Colonial History, University of New England
Richard Shapter, Heritage Office, NSW Department of Planning
Tracey Sullivan, History Teachers Association

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

Advisory committees at a glance:
⇒ State Records convenes two standing advisory committees representing our public sector and public clients and stakeholders.
⇒ Members are appointed for a maximum of two, three year terms.
⇒ Meetings are held quarterly and Community Advisory Committee meetings twice a year.
⇒ Digital Records Advisory Group.
⇒ State Records thanks these committees for providing valuable advice during the year.

In Living Memory touring exhibition advisory committee

Members during year:

Mervyn Bishop, exhibition team member
Christine Blakeney, representing Bomaderry Aboriginal Children's Home
Cecil Bowden, representing Kinchela Aboriginal Boy's Home
Ronald Briggs, State Library NSW
Lola Edwards, representing Cootamundra Aboriginal Girl's Home
Melissa Jackson, State Library of NSW
Ray Minniecon, representing Kinchela Aboriginal Boy's Home
Keith Munro, Museum of Contemporary Art
Glendra Stubbs, Link-Up
Tracee Bradshaw, Link-Up
Kirsten Thorpe, Aboriginal & Torres Strait Islander Data Archive
Paulette Whitton, Gadigal Information Service Aboriginal Corporation, Koori Radio
James Wilson-Miller, Powerhouse Museum
Lyall Dennison, Aboriginal Trust Fund Repayment Scheme
Robynne Quiggin, Aboriginal Trust Fund Repayment Scheme Panel

Stakeholder groups

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

Comments were invited from the recordkeeping / archives community, user groups and other stakeholders on products / tools such as the report of the survey of ICT attitudes, exposure draft of the Records Management Assessment Tool, on various records management guidance and draft retention and disposal authorities.

Corner of Bettington and Merriman Streets, The Rocks
Government Printing Office Glass Plate Negatives Digital ID: 4481_a026_000187

Guarantees of service:

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

Participation on client and stakeholder committees

State Records' staff are actively involved with client and stakeholder organisations through participation on governing bodies and committees. Full details of staff participation on client and stakeholder committees can be found in the *Activity Report 2010-11*, which is accessible via the State Records' website (www.records.nsw.gov.au).

Handling complaints and suggestions

We have a suggestion box and accept feedback on our services as part of our guarantee for public oriented services. Feedback can be provided directly to reading room staff, or by post or email. One complaint was received during the year. It related to the removal of one of the online finding aids from the website following the integration of the data into *Archives Investigator*. The matter was resolved satisfactorily.

Publication of information for the public

State Records complies with the Department of Finance and Services' Customer Feedback Management Policy. Quarterly reports on customer feedback are provided to the Department of Finance and Services in accordance with the requirements of the policy.

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

Publications relating to our functions and activities cover:

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

New publications during the year included a digital version of the guide to the records of the Vice Admiralty Court 1787-1911, previously published as Guide 22 in 1980 and Archives in Brief on Norfolk Island and Justices of the Peace. Publications revised during the year covered Chinese Migration and Settlement in NSW, Lebanese migration and settlement in NSW and Italian migration and settlement in NSW.

Hosted websites

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

Four sites are hosted as a service to the archival and research communities. The website of the Council of Australasian Archives and Records Authorities (CAARA), of which the Director is a member, has been hosted since 2001. The *Mariners and Ships in Australian Waters* website was created by Mary-Anne Warner and comprises indexes and digitised records from the State archives collection. State Records has hosted this site since 2003. Since 2009, State Records has been hosting a site to support the Soldier Settlement Project. This undertaking is an ARC Linkage Project involving Monash University, the University of New England, the Department of Veterans' Affairs and State Records. State Records also hosts the Tabularium website. Tabularium is a freeware collection management system for archives. The site provides news and information about the product (Tabularium) which may also be downloaded.

Managing risks

State Records is committed to the maintenance of a robust risk management regime as part of its strategic operating environment. Through regular and ongoing application of risk management methodologies, comprising risk identification, analysis and assessment, we seek to minimise our exposure to unacceptable risks. Management of risks is the responsibility of the executive team and senior managers in conjunction with the Audit and Risk Committee of the Department of Finance and Services.

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

Business risks identified and rated

In 2011 IAB Services completed a major update and review of our existing organisation-wide business risk assessment to examine our ability to identify and measure risks and to identify areas for possible improvement in our risk control and risk minimisation strategies. This follows on from the work done for our first major risk assessment in 2005.

The review identified 65 risk areas, an overall reduction of 4 risk areas compared to the 2005 review.

Our key business risks continue to be:

- The inability to store and preserve "born-digital" records.
- Degradation of records due to the nature of the media and the passage of time.
- Key person dependencies and the loss of highly specialised management and technical personnel.
- Funding being insufficient to meet core responsibilities.
- Damage to records from natural disasters and poor storage and environmental controls.
- Being affected by adverse changes in the commercial environment for the GRR.
- Perceived conflict between regulatory and commercial roles.

After reviewing the risk register developed IAB Services found our overall assessment to be moderate**.**

During the year, IAB Services provided our internal audit function. In 2010-11 one major and two smaller reviews were conducted:

- Organisation wide business risk assessment
- IT general controls
- TRIM records management system

Achievements and highlights
- Revised Organisation-wide business risk assessment.

Internal Audit and Risk Management Statement

The Director and the Chairperson of the State Records' Board signed the Internal Audit and Risk Management Statement on 18 August 2011 (see page 86). The Internal Audit and Risk Management Statement attests to the fact that the State Records Authority of NSW has complied with core policy requirements in the preceding year.

Information security

In February, an assessment of State Records' wireless networks at Western Sydney was carried out. The study included both the new reading room WiFi hotspot and the network used by the GRR to support its barcode scanners. The review found that "the security of both environments is acceptable for the purpose for which it is provided".

During the year, the upgrade of all servers and client workstations to the anti-malware package, Symantec Endpoint Protection was completed on all networks. In addition, new versions of State Records' backup and firewall software were installed.

The new Web content filter system, which from late 2009 had been trialled on the Western Sydney Reading Room network, was implemented on the corporate network during the year.

Managing risks

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

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

A link on our website directs members of the public and staff to the Department of Finance and Services' *Business Ethics statement*.

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

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

Insurance premiums paid to Treasury Managed Fund

Category	2007-08	2008-09	2009-10	2010-11
Workers' compensation	156,130	149,730	181,110	180,565
Motor vehicles	21,320	25,350	16,170	16,170
Property	51,130	39,130	38,950	38,950
Public liability	2,690	2,250	1,590	1,590
Other	780	600	670	670
Total	232,050	217,060	238,490	237,945

Claims history

Category	2007-08	2008-09	2009-10	2010-11
Workers' compensation	18	16	10	11
Motor vehicles	5	2	2	4
Property	0	0	0	0
Public liability	0	0	0	0
Other	0	0	0	0
Total	23	18	12	15

Annual Report Attestation
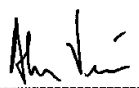
Internal Audit and Risk Management Attestation for the 2010-2011 Financial Year for the State Records Authority of New South Wales (SRA)

I, Alan Ventress, Director of the State Records Authority of New South Wales (SRA) and I Professor Lucy Taksa, Chairperson of the Board for SRA am of the opinion that SRA has internal audit and risk management processes in operation that are, in all material aspects, compliant with the core requirements set out in Treasury Circular NSW TC 09/08 *Internal Audit and Risk Management Policy*.

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

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

These processes provide a level of assurance that enables the senior management of SRA to understand, manage and satisfactorily control risk exposures.

Signed: _____
Date: 18 / 8 / 11

Alan Ventress
Director SRA

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

Signed: _____
Date: 18 / 8 / 11

Professor Lucy Taksa
Chairperson of the Board

As required by the policy, the State Records Authority has submitted an Attestation Statement outlining compliance with policy to Treasury.

Managing our people

State Records NSW is a business unit of NSW Department of Finance and Services. An average of 126.85 fulltime equivalent (FTE) staff were employed at State Records NSW over the year. State Records also engaged 48 volunteers and some short term contract staff.

Workforce profile

At 23 June 2011 (census date), the number of staff employed at State Records NSW was 140 (or 127.8 FTE).

Overall, there was a slight increase in the number of fulltime equivalent employees from the previous year. This was due to filling some longer term vacancies and temporary positions related to special projects within the Government Records Repository and the Digital Archives.

Recruitment action that was undertaken by State Records included 13 permanent appointments: 7 were new appointees, 4 were long term temporary staff (made permanent under s.31 of the Public Sector Employment and Management Act) and 2 staff members were promoted.

Achievements and highlights

* Volunteers worked approximately 3,687 hours repairing and rehousing records; adding 34,384 items to online indexes.

Also in addition to the above, 5 permanent staff resigned from State Records.

Equal Employment Opportunity (EEO)

State Records is committed to equity in all aspects of employment. The work being done using records from State Records for the Aboriginal Trust Fund Repayment Scheme was completed and the staff were transferred to Department of Premiers and Cabinet.

Distribution of full time equivalent (FTE) employees

	2009	2009 %	2010	2010 %	2011	2011 %
Managers	11.0	9.2	11.0	8.9	12.0	9.4
Professionals	37.0	31.0	35.2	28.6	37.6	29.4
Technicians and Trade Workers	2.0	1.7	3.0	2.4	3.0	2.3
Community and Personal Service Workers	0.0	0.0	0.0	0.0	0.0	0.0
Clerical and Administrative Workers	50.9	42.6	59.0	47.9	54.8	42.9
Sales Workers	0.0	0.0	0.0	0.0	0.0	0.0
Machinery Operators and Drivers	11.6	9.7	10.0	8.1	12.4	9.7
Labourers	7.0	5.8	5.0	4.1	8	6.3
Total	119.5	100	123.2	100	127.8	100

Notes: Figures calculated using census date FTE figures.

Managing our people

Distribution of employees by public sector classifications and gradings

	2009	2009 %	2010	2010 %	2011	2011 %
Senior Executive Service	1	0.8	1.0	0.8	1.0	0.8
Senior Officer Classification	2	1.7	2.0	1.6	2.0	1.6
Archivists	30.0	25.1	29.1	23.7	29.7	23.2
Conservators	2	1.7	2.0	1.6	2.5	2.0
Clerks	71.9*	60.2*	78.0	63.3	79.2	62.0
Librarian/Library Technician	1	0.8	1.0	0.8	1.0	0.8
Other (Drivers, General Assistants)	11.6	9.7	10.1	8.2	12.4	9.7
Total	119.5	100	123.2	100	127.8	100

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

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

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

Reading Room, Western Sydney Records centre, Kingswood

Table A: Trends in the representation of EEO groups

	2008	2009	2010	2011	Benchmark or Target
Women	63%	61%	61%	56.4%	50%
Aboriginal people and Torres Strait Islanders	2.8%	2.2%	1.5%	0.7%	2.6%
People whose first language was not English	12%	12%	13%	14.3%	19%
People with a disability	9%	10%	10%	9.3%	N/A
People with a disability requiring work-related adjustment	4.1%	4.4%	4.4%	5.0	1.5%

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

	2008	2009	2010	2011	Benchmark or Target
Women	116	120	113	118	100
Aboriginal people and Torres Strait Islanders	n/a	n/a	n/a	n/a	100
People whose first language was not English	n/a	n/a	n/a	n/a	100
People with a disability	n/a	n/a	n/a	n/a	100
People with a disability requiring work-related adjustment	n/a	n/a	n/a	n/a	100

Notes: Staff numbers are as at 24 June 2011. Excludes casual staff. A Distribution Index of 100 indicates that the centre of the distribution of the EEO group across salary levels is equivalent to that of other staff. Values less than 100 means that the EEO group tends to be more concentrated at lower salary levels than is the case for other staff. The more pronounced this tendency is, the lower the index will be. In some cases the index may be more than 100, indicating that the EEO group is less concentrated at lower salary levels. The Distribution Index is automatically calculated by the software provided by ODEOPE. The Distribution Index is not calculated where EEO group numbers are less than 20.

Managing our people

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

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

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

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

State Records is now covered by the Department of Finance and Services Multicultural Policies and Services Program Plan 2010-2014, and strives to implement key strategies contained within that plan.

State Records is now covered by the Department of Finance and Services Disability Action Plan 2010-2012, and strives to implement key strategies in that plan.

State Records is now covered by the Department of Finance and Services Women's Employment and Development Plan 2009-12. The plan supports and aligns the Department of Finance and Services women's employment and development activities with the *NSW Government's Making the Public Sector Better for Women 2008-2012* initiative.

Occupational Health and Safety (OHS)

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

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

"Working Together" – Public Sector Workplace Health and Safety and Injury Management Strategy 2010 -2012.

The strategy is a whole of NSW Government initiative which applies to all public sector agencies, departments and state owned corporations.

The strategy aims to reduce the incidence of workplace injury and illness and improve the cost and management of workers compensation claims by setting six action areas and targets for agencies to report on.

State Records will be required to report on the targets, the OHS Coordinator will be working closely with Management, State Records OHS Committee and staff to achieve these targets.

Model Work Health and Safety Act 2011

On 1 January 2012, new legislation will be enacted to administer health and safety in the workplace. The new Act is a harmonised national legislation and it will replace the current *NSW Occupational Health & Safety Act 2000*.

To ensure compliance with the new Act State Records managers and supervisors will be required to attend training prior to January 2012.

Global Corporate Challenge 2011

State Records has entered 35 staff in the Global Corporate Challenge (GCC). The GCC is a corporate health and wellbeing challenge initiative developed specifically for the workplace.

Participants in the GCC wear pedometers for 15 weeks and record their daily step counts on a website taking them on a virtual tour around the world. The daily target is 10,000 steps which the World Health Organisation recommends for individuals to improve their health and reduce the risk or chronic diseases such as diabetes, obesity and heart disease.

At the mid-point of the challenge one of the teams is placed 100th in the world. This is a remarkable achievement considering there are over 7000 teams in the worldwide challenge.

There were no prosecutions under the Occupational Health and Safety Act 2000 in the reporting period.

Industrial relations

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

Management/staff communication

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

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

Overseas travel

There was no overseas travel in 2010/11.

Performance and number of executive officers

State Records had one executive position graded as SES Level 1 in 2010-11. This was the same as in 2009-10. There were no female executive officers employed at State Records in 2009-10 or in 2010-11.

	2010-11
Incidents reported	28
New claims	10

Occupational health and safety report

ScanPro 2000 Microfilm Scanner

Managing our people

Volunteers program

State Records had 48 volunteers throughout the year who provided valuable assistance to help make the State archives collection more accessible. They worked on indexing, conservation and Archives Investigator projects.

Volunteers worked approximately 3,687 hours, repairing and rehousing records and adding 34,384 items to online indexes; and 7,390 items to Archives Investigator.

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

Professional staff development

Approximately 25% of staff are qualified archivists, or have related qualifications such as librarianship. State Records as an organisation, and professional staff, are active participants in the Australian and international recordkeeping community. State Records is an organisational member of the Australian Society of Archivists, the Records Management Association of Australasia, and the International Council on Archives. Within available resources, State Records supports professional staff attending and speaking at conferences and seminars, holding positions on councils and committees, and writing for journals. 2 staff were granted study leave to attend courses at a tertiary level.

Conservation volunteers Anne Knowles, Elizabeth Von Brandis-Martini and Vicki Wilson working on deceased estate files.

Government Information (Public Access) Act (GIPA)

The *Freedom of Information Act 1989* was repealed on 1 July 2010 and replaced by the *Government Information (Public Access) Act 2009*.

As required under s7(3) of the *Government Information (Public Access) Act 2009,* State Records reviewed the information it made publicly available via its website (www.records.nsw.gov.au). As a result of the review the Publication Guide was amended. A copy of the amended Publication Guide was emailed to the Office of the Information Commissioner on 27 June 2011.

No GIPA access applications were received in 2010-11.

As no GIPA access applications were received in 2010-11, none were refused, either wholly or in part.

Table A: Number of applications by type of applicant and outcome

	Access granted in full or in part	Access refused in full	Information not held	Information already available	Refuse to deal with application	Refuse to confirm/ deny whether information is held	Application withdrawn
Media	0	0	0	0	0	0	0
Members of Parliament	0	0	0	0	0	0	0
Private sector business	0	0	0	0	0	0	0
Not for profit organisations or community groups	0	0	0	0	0	0	0
Members of the public (application by legal rep)	0	0	0	0	0	0	0
Members of the public (other)	0	0	0	0	0	0	0

* More than one decision can be made in respect of a particular access application. If so, a recording must be made in relation to each such decision. This also applies to Table B.

Table B: Number of applications by type of application and outcome

	Access granted in full or in part	Access refused in full	Information not held	Information already available	Refuse to deal with application	Refuse to confirm/ deny whether information is held	Application withdrawn
Personal information applications	0	0	0	0	0	0	0
Access applications (other than personal)	0	0	0	0	0	0	0
Access applications that are partly personal information applications and party other	0	0	0	0	0	0	0

*A personal information application is an access application for personal information (as defined in clause 4 of Schedule 4 to the Act) about the applicant (the applicant being an individual).

Table C: Invalid applications

Reason for invalidity	No of applications
Application does not comply with formal requirements (section 41 of the Act)	0
Application is for excluded information of the agency (section 43 of the Act)	0
Application contravenes restraint order (section 110 of the Act)	0
Total number of invalid applications received	0
Invalid applications that subsequently became valid applications	0

Table D: Conclusive presumption of overriding public interest against disclosure: matters listed in Schedule 1

	Number of times consideration used*
Overriding secrecy laws	0
Cabinet information	0
Executive Council information	0
Contempt	0
Legal professional privilege	0
Excluded information	0
Documents affecting law enforcement and public safety	0
Transport safety	0
Adoption	0
Care and protection of children	0
Ministerial Code of Conduct	0
Aboriginal and environmental heritage	0

* More than one public interest consideration may apply in relation to a particular access application and, if so, each such consideration is to be recorded (but only once per application). This also applies in relation to Table E.

Table E: Other public interest considerations against disclosure: matters listed in table to section 14 of the Act

	Number of occasions when application not successful
Responsible and effective government	0
Law enforcement and security	0
Individual rights, judicial processes and natural justice	0
Business interests of agencies and other persons	0
Environment, culture, economy and general matters	0
Secrecy provisions	0
Exempt documents under interstate Freedom of Information legislation	0

Table F: Timeliness

	Number of applications
Decided within the statutory timeframe (20 days plus any extensions)	0
Decided after 35 days (by agreement with applicant)	0
Not decided within time (deemed refusal)	0
Total	0

Table G: Number of applications reviewed under Part 5 of the Act (by type of review and outcome)

	Decision varied	Decision upheld	Total
Internal review	0	0	0
Review by Information Commissioner*	0	0	0
Internal review following recommendation under section 93 of Act	0	0	0
Review by Administrative Decisions Tribunal	0	0	0
Total	0	0	0

* The Information Commissioner does not have the authority to vary decisions, but can make recommendations to the original
decision-maker.

Table H: Applications for review under Part 5 of the Act (by type of applicant)

	Number of applications for review
Applications by access applicants	0
Applications by persons to whom information the subject of access application relates (see section 54 of the Act)	0

Managing our physical assets and finances

State Records has property assets worth over $52 million, primarily comprising land and repository buildings at the Western Sydney Records Centre, Kingswood. Our expenses for 2010-11 were budgeted at $17.3 million, three quarters of which was self-funded through provision of records storage and retrieval services to the public sector.

Asset management

Total Asset Management

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

State Records owns repositories and services buildings located on 20 hectares at the Western Sydney Records Centre. The complex includes 435 kilometres of purpose-built storage space for non-current records and archives, conservation facilities, offices, training facilities and a public reading room. We also lease seven repository spaces in Western Sydney, totalling 110 linear kilometres of records storage.

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

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

The only significant capital expenditure on built assets in 2010-11 related to improvements made to the air-conditioning systems in two archival storage buildings at Western Sydney. The results have been both a dramatic improvement in performance of the buildings and also significant cost savings as the plant and equipment runs more efficiently

Land disposal
No land was disposed of during the reporting period.

Digital camera used by clients for copying original items

Waste reduction and purchasing policy (WRAPP)

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

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

Government energy management policy

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

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

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

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

Kingswood Repository Services
Building façade 3 1988

Energy consumption

	2006-07	2007-08	2008-09	2009-10	2010-11
Electricity (kwh)	3,195,190	3,165,886	3,217,322	3,403,342	3,370,764
Green electricity (kwh)	194,996	192,771	197,007	209,034	206,381
Gas, natural (mj)	7,993,219	8,664,039	9,004,334	11,306,667	12,422,157

Managing our physical assets and finances

Financial management

State Records' financial statements were prepared on an accrual accounting basis for the year ending 30 June 2011. The financial position of the Government Records Repository is reported in the 'Performance and outlook' section.

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

Expenditure categories show little fluctuation
Percentage of expenditure under various categories has remained fairly constant over the past five years.

An annual contribution from GRR surplus to fund archives preservation and accessibility (copying, exhibitions) has been in place since

2001. The allocation for 2010-11 was $1,200,000. The Board has approved an allocation of $1,350,000 for 2011-12.

Efficient Corporate Services profile

Corporate Services constitutes 6.8% of State Records FTE's. Our minimal compliment of Corporate Services staff diligently work closely with NSW Treasury, The Audit Office of NSW, Internal Audit Bureau Services and Department of Finance and Services to ensure compliance with all targets and deadlines.

Gross revenue raised ($'000)

	2006-07	2007-08	2008-09	2009-10	2010-11
Total consolidated Fund programs*	1,162	1,289	1,101	849	1,279
Government Records Repository services	10,068	10,974	11,311	11,699	13,594
Total revenue	11,230	12,263	12,412	12,548	14,873

*Total consolidated funds program gross revenue excludes Recurrent Grants and Crown Assumed Liabilities

Expenditure by categories (%)

	2006-07	2007-08	2008-09	2009-10	2010-11
Salaries and allowances	62	65	63	64	66
Rental and cleaning	5	5	5	5	7
Stores	1	2	1	1	2
Printing and publications	1	0	0	0	0
Gas and electricity	3	3	3	4	3
Other	28	25	28	26	22
Total	100	100	100	100	100

Payment performance indicators

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

Creditors Ageing

Performance indicators set for the payment of accounts were:

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

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

Consultants

Eight consultants were engaged at a total cost of $47,968. One of these eight consultants was an auditor employed by the Internal Audit Bureau who was engaged to undertake management audits at a cost of $12,803.

Credit card certification

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

Employee related costs

	2006-07	2007-08	2008-09	2009-10	2010-11
Salaries, wages, national wage	7,929	8,775	9,006	9,019	9,757
Leave on Termination – Provision	47	(53)	(42)	(40)	(50)
Overtime	179	191	173	175	198
Workers compensation	262	399	152	183	181
Payroll Tax	492	539	501	510	535
Superannuation	742	815	863	897	946
Fringe Benefit Tax	24	31	20	28	25
Total	**9,675**	**10,697**	**10,673**	**10,772**	**11,592**

Timeliness of account payments

	Q1	Q2	Q3	Q4
Target –paid on time (%)	90	90	90	90
Actual—paid on time (%)	100	100	100	100
Value paid on time ($'000)	4,811	6,719	5,001	4,966
Total value of accounts paid ($'000)	4,849	6,719	5,001	4,968

Creditors ageing

	Q1	Q2	Q3	Q4
Current i.e. within due date ($'000)	527	102	186	728
< 30 days overdue ($'000)	38	-	-	2
> 30 days and < 60 days overdue($'000)	-	-	-	-
> 60 days and < 90 days overdue($'000)	-	-	-	-
> 90 days overdue ($'000)	-	-	-	-

Regional Repository Forum 2010 (Orange)
(Left to Right) Susan Jones, University of Wollongong Library: Philip Ward, University of New England and Regional Archives; Fiona Sullivan State Records NSW; Jillian Kohlhagen, Charles Sturt University Regional Archives; Wayne Doubleday, Charles Sturt University Regional Archives; Janette Pelosi, State Records NSW; Edward Bridle, University of Newcastle Cultural Collections; William Oates, University of New England Regional Archives; (Absent Gionni DiGravio, University of Newcastle Cultural Collections).

Audited financial statements

GPO BOX 12
Sydney NSW 2001

INDEPENDENT AUDITOR'S REPORT

State Records Authority of New South Wales

To Members of the New South Wales Parliament

I have audited the accompanying financial statements of the State Records Authority of New South Wales (the Authority), which comprises the statement of financial position as at 30 June 2011, the statement of comprehensive income, statement of changes in equity and statement of cash flows for the year then ended, notes comprising a summary of significant accounting policies and other explanatory information.

Opinion

In my opinion, the financial statements:

- give a true and fair view of the financial position of the Authority as at 30 June 2011, and of its financial performance for the year then ended in accordance with Australian Accounting Standards

- are in accordance with section 41B of the *Public Finance and Audit Act 1983* (the PF&A Act) and the Public Finance and Audit Regulation 2010.

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

The Board's Responsibility for the Financial Statements

The members of the Board are responsible for the preparation and fair presentation of the financial statements in accordance with Australian Accounting Standards and the PF&A Act and for such internal control as the members of the Board determine(s) is necessary to enable the preparation of the financial statements that are free from material misstatement, whether due to fraud or error.

Auditor's Responsibility

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

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

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

My opinion does *not* provide assurance:

- about the future viability of the Authority
- that it has carried out its activities effectively, efficiently and economically
- about the effectiveness of its internal control
- about the security and controls over the electronic publication of the audited financial statements on any website where they may be presented
- about any other information which may have been hyperlinked to/from the financial statements.

Independence

In conducting my audit, I have complied with the independence requirements of the Australian Auditing Standards and other relevant ethical pronouncements. The PF&A Act further promotes independence by:

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

David Nolan
Director, Financial Audit Services

13 October 2011
SYDNEY

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

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

a)   the financial statements and notes thereto, exhibit a true and fair view of the financial position and transactions for the year ended 30 June 2011.

b)   the financial statements have been prepared in accordance with applicable Australian Accounting Standards, the requirements of the Public Finance and Audit Act and Regulations, and the Treasurer's Directions.

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

SIGNED:

DATE: 11/10/11

CHAIRPERSON OF THE BOARD

SIGNED:

DATE: 11 . 10 . 11

DIRECTOR

1

State Records Authority of New South Wales
Statement of comprehensive income for the year ended 30 June 2011

	Notes	Actual 2011 $'000	Actual 2010 $'000
Revenue			
Sale of goods and services	2(a)	13,684	11,923
Investment revenue	2(b)	173	97
Grants and contributions	2(c)	6,450	5,934
Total Revenue		**20,307**	**17,954**
Expenses excluding losses			
Operating expenses			
Employee related	3(a)	12,723	10,772
Other operating expense	3(b)	4,351	3,577
Depreciation and amortisation	3(c)	2,164	2,139
Finance costs	3(d)	157	272
Total expenses excluding losses		**19,395**	**16,760**
Gain / (loss) on disposal	4	**28**	**-**
SURPLUS / (DEFICIT) FOR THE YEAR		**940**	**1,194**
Other comprehensive income			
Net increase in property, plant and equipment asset revaluation reserve		6,937	-
Other comprehensive income for the year		**6,937**	**-**
TOTAL COMPREHENSIVE INCOME FOR THE YEAR		**7,877**	**1,194**

The accompanying notes form part of these financial statements.

2

State Records Authority of New South Wales
Statement of financial position as at 30 June 2011

	Notes	Actual 2011 $'000	Actual 2010 $'000
ASSETS			
Current Assets			
Cash and cash equivalents	6	4,903	4,196
Trade and other receivables	7	3,877	3,058
Inventories	8	97	88
Total Current Assets		8,877	7,342
Non-Current Assets			
Property, plant and equipment			
Land and Buildings	9(a)	52,668	47,420
Plant and Equipment		638	396
Infrastructure Systems		6,389	6,041
Total Property, Plant and Equipment		59,695	53,857
Intangible Assets	10	28	50
Total Non-Current Assets		59,723	53,907
Total Assets		68,600	61,249
LIABILITIES			
Current Liabilities			
Trade and other payables	11	4,465	3,118
Borrowings	12	1,974	1,869
Total Current Liabilities		6,439	4,987
Non-Current Liabilities			
Borrowings	12	-	1,978
Total Non-Current Liabilities		-	1,978
Total Liabilities		6,439	6,965
Net Assets		62,161	54,284
EQUITY			
Reserves		19,814	12,877
Accumulated Funds		42,347	41,407
Total Equity		62,161	54,284

The accompanying notes form part of these financial statements.

3

State Records Authority of New South Wales

Statement of changes in equity for the year ended 30 June 2011

	Notes	Accumulated Funds $'000	Asset Revaluation Surplus $'000	Total $'000
Balance as at 1 July 2010		41,407	12,877	54,284
Surplus / (deficit) for the year		940	-	940
Other comprehensive income:				
Net increase in property, plant and equipment asset revaluation reserve		-	6,937	6,937
Total other comprehensive income		-	6,937	6,937
Total comprehensive income for the year		-	6,937	6,937
Balance as at 30 June 2011		42,347	19,814	62,161
Balance as at 1 July 2009		40,213	12,877	53,090
Surplus / (deficit) for the year		1,194	-	1,194
Other comprehensive income:				
Net increase in property, plant and equipment asset revaluation reserve		-	-	-
Total other comprehensive income		-	-	-
Total comprehensive income for the year		-	-	-
Balance as at 30 June 2010		41,407	12,877	54,284

The accompanying notes form part of these financial statements.

4

State Records Authority of New South Wales

Statement of cash flows for the year ended 30 June 2011

	Notes	Actual 2011 $'000	Actual 2010 $'000
CASH FLOWS FROM OPERATING ACTIVITIES			
Payments			
Personnel services expense		(13,014)	(10,254)
Finance costs		(157)	(283)
Other		(3,024)	(5,094)
Total Payments		(16,195)	(15,631)
Receipts			
Sale of goods and services		13,185	11,817
Interest received		155	72
Grants and contributions		6,450	7,135
Total Receipts		19,790	19,024
NET CASH FLOWS FROM OPERATING ACTIVITIES	15	3,595	3,393
CASH FLOWS FROM INVESTING ACTIVITIES			
Purchases of property, plant and equipment		(1,008)	(418)
Purchases of intangibles		(7)	(34)
NET CASH FLOWS FROM INVESTING ACTIVITIES		(1,015)	(452)
CASH FLOWS FROM FINANCING ACTIVITIES			
Proceeds from borrowings and advances			-
Repayments of borrowings and advances		(1,873)	(1,964)
NET CASH FLOWS FROM FINANCING ACTIVITES		(1,873)	(1,964)
NET INCREASE / (DECREASE) IN CASH		707	977
Cash and cash equivalents at the beginning of the year		4,196	3,219
CLOSING CASH AND CASH EQIVALENTS	6	4,903	4,196

The accompanying notes form part of these financial statements.

5

State Records Authority of New South Wales
Notes to and Forming Part of the Financial Statements
For the year ended 30 June 2011

1. **SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES**

(a) *Reporting Entity*

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

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

These financial statements have been authorised for issue by the Chairperson of the Board and the Director of the Authority on 11 October 2011.

(b) *Basis of Preparation*

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

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

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

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

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

(c) *Statement of Compliance*

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

Certain new accounting standards and interpretations have been published that are not mandatory for 30 June 2011 reporting periods. The new Accounting Standards and Interpretations have not yet been adopted and are not yet effective.

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

6

(d)   *Revenue Recognition*

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

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

(ii)   Rendering of Services
Revenue is recognised when the service is provided.

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

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

(e)   *Personnel Services Benefits and Other Payables*

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

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

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

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

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

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

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

(ii)   Long Service Leave and Superannuation

The liabilities for long service leave and superannuation are assumed by the

7

Department of Finance & Services. Accounting for the liability as having been extinguished, resulting in the amount assumed being shown as part of Grants and Contributions under revenue.

Long service leave is measured at present value in accordance with AASB 119 *Employee Benefits.* This is based on the application of certain factors (specified in NSWTC 11/06) to employees with five or more years of service, using current rates of pay. These factors were determined based on an actuarial review to approximate present value.

The superannuation expense for the financial year is determined by using the formulae specified in NSWTC 11/04. The expense for certain superannuation schemes (i.e. Basic Benefit and First State Super) is calculated as a percentage of the employees' salary. For other superannuation schemes (i.e. State Superannuation Scheme and State Authorities Superannuation Scheme), the expense is calculated as a multiple of the employees' superannuation contributions.

(iii)   Government Records Repository

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

(f)   *Borrowing costs*

Borrowing costs are recognised as expenses in the period in which they are incurred, in accordance with Treasury's Mandate to not-for-profit general government sector agencies.

(g)   *Insurance*

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

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

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

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

8

(i)   *Acquisitions of Assets*

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

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

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

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

(j)   *Capitalisation Thresholds*

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

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

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

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

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

The agency revalues each class of property, plant and equipment at least every three years or with sufficient regularity to ensure that the carrying amount of each asset in the class does not differ materially from its fair value at reporting date. The last revaluation was completed on 30 June 2011 and was based on an independent assessment.

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

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

9

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

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

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

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

Where an asset that has previously been revalued is disposed of, any balance remaining in the asset revaluation reserve in respect of that asset is transferred to accumulated funds.

(l)   Impairment of Assets

At each reporting date, the entity reviews the carrying values of its tangible and intangible assets to determine whether there is any indication that those assets have been impaired. If such an indication exists, the recoverable amount of the asset, being the higher of the asset's fair value less costs to sell and value in use, is compared to the asset's carrying value. Any excess of the asset's carrying value over its recoverable amount is expensed to the surplus/deficit for the year.

(m)   Assets Not Able to be Reliably Measured

The Authority holds collection assets which cannot be reliably measured refer to Note 9(b).

(n)   Depreciation of Property Plant and Equipment

Depreciation is provided for on a straight-line basis for all depreciable assets so as to write off the depreciable amount of each asset as it is consumed over its useful life to the agency.

All material separately identifiable components of assets are depreciated over their shorter useful lives.

Land is not a depreciable asset.

Major depreciation periods are:

Buildings & Shelving	40 years	2.5%
Furniture and Fittings	10 years	10.0%
Computers	3 years	33.3%
Plant and Equipment	7 years	14.3%

(o)   Major Inspection Costs

The labour cost of performing major inspections for faults is recognised in the carrying amount of an asset as a replacement of a part, if the recognition criteria are satisfied.

10

(p)   *Inventories*

Inventories held for distribution are stated at the lower cost and current replacement cost. Inventories (other than those held for distribution) are stated at the lower cost and net realisable value. Cost is calculated using the weighted average cost or "first in first out" method.

The cost of inventories acquired at no cost or for nominal consideration is the current replacement cost as at the date of acquisition. Current replacement cost is the cost the agency would incur to acquire the asset on the reporting date. Net realisable value is the estimated selling price less the estimated costs necessary to make the sale.

(q)   *Maintenance*

Day-to-day servicing costs or maintenance are charged as expenses as incurred, except where they relate to the replacement of a part or component of an asset, in which case the costs are capitalised and depreciated.

(r)   *Leased Assets*

A distinction is made between finance leases which effectively transfer from the lessor to the lessee substantially all the risks and benefits incidental to ownership of the leased assets, and operating leases under which the lessor effectively retains all such risks and benefits.
Where a non-current asset is acquired by means of a finance lease, the asset is recognised at its fair value at the commencement of the lease term.   The corresponding liability is established at the same amount.   Lease payments are allocated between the principal component and the interest expense.

Operating lease payments are expensed to surplus/deficit in the periods in which they are incurred.

(s)   *Intangible Assets*

The agency recognises intangible assets only if it is probable that future economic benefits will flow to the agency and the cost of the asset can be measured reliably. Intangible assets are measured initially at cost. Where an asset is acquired at no or nominal cost, the cost is its fair value as at the date of acquisition.

The useful lives of intangible assets are assessed to be finite.
Intangible assets are subsequently measured at fair value only if there is an active market. As there is no active market for the agency's intangible assets, the assets are carried at cost less any accumulated amortisation.

The agency's intangible assets are amortised using the straight line method over a period of 3 years for computer software.

(t)   *Financial Instruments*

The Authority's principal financial instruments policies are outlined below. These financial instruments arise directly from the Authority's operations or are required to finance its operations. The Authority does not enter into or trade financial instruments for speculative purposes and does not use financial derivatives.

i)   *Cash*
Cash comprises cash on hand and bank balances. Interest is earned on daily bank

11

balances and paid six monthly by Treasury as the Authority is part of the NSW Treasury Cash Management System.

ii)   *Loans and receivables*

Loans and receivables are recognised initially at fair value, usually based on the transaction cost or face value. Subsequent measurement is at amortised cost using the effective interest method, less an allowance for any impairment of receivables. Short-term receivables with no stated interest rate are measured at the original invoice amount where the effect of discounting is immaterial. An allowance for impairment of receivables is established when there is objective evidence that the entity will not be able to collect all amounts due. The amount of the allowance is the difference between the asset's carrying amount and the present value of estimated future cash flows, discounted at the effective interest rate. Bad debts are written off as incurred.

iii)   *Borrowings*

Loans are not held for trading or designated at fair value through profit and loss and are recognised at amortised cost using the effective interest rate method. Any finance lease liability is determined in accordance with AASB 117 *Leases*.

iv)   *Payables*

These amounts represent liabilities for goods and services provided to the agency and other amounts, including interest. Payables are recognised initially at fair value, usually based on the transaction cost or face value. Subsequent measurement is at amortised cost using the effective interest method. Short-term payables with no stated interest rate are measured at the original invoice amount where the effect of discounting is immaterial.

(u)   *Taxation Status*

The activities of the Authority are exempt of income tax.

(v)   *Comparative information*

Except when an Australian Accounting Standard permits or requires otherwise, comparative information is disclosed in respect of the previous period for all amounts reported in the financial statements.

12

State Records Authority of New South Wales
Notes to and forming part of the financial statements
for the year ended 30th June 2011

2. REVENUE	2011 $'000	2010 $'000
(a) Sale of Goods and Services		
Publications	26	41
Boxes	315	350
Rendering of Services		
Storage	9,578	8,938
Retrieval	1,892	1,808
Consultancy	1,041	329
Photocopies	166	157
Training	6	2
Destruction	291	182
Other	371	116
	13,684	11,923
(b) Investment Revenue		
Interest	173	97
	173	97
(c) Grants and Contributions from Department of Finance and Services		
Recurrent Grants	4,901	5,061
Capital Grants	880	345
Personnel Service Benefits and liabilities provided free of charge	532	330
NSW Department of Premier and Cabinet contribution to the operation of the Aboriginal Trust Fund Repayment Scheme (ATFRS) at State Records Authority	137	198
	6,450	5,934

13

State Records Authority of New South Wales
Notes to and forming part of the financial statements
for the year ended 30th June 2011

3. EXPENSES	2011 $'000	2010 $'000
(a) Operating expenses		
Personnel services expense		
Salaries and wages (including recreation leave)	10,405	8,845
Superannuation - defined benefit plan	307	304
Superannuation - defined contribution plans	640	593
Long Service Leave	631	310
Workers' compensation insurance	181	183
Payroll tax and fringe benefit tax	559	537
	12,723	10,772

There were no personnel services costs capitalised
and excluded from the above.

(b) Other operating expenses include the following:

	2011	2010
Auditors remuneration - Audit of the financial statement	32	42
Cost of Sales - Boxes	198	210
Cost of Sales - Publications	28	23
Operating lease rental expense - minimum lease payments	439	423
Maintenance	622	577
Insurance	64	69
Electricity, Gas, Rates, Waste	662	628
Minor Stores	317	191
Consultants	48	53
Motor Vehicles	290	283
Postage, Telephone, Printing	181	155
Promotional advertising	29	14
Grant expenses	35	45
Rental expense - Records storage (offsite)	628	229
Payroll processing	138	132
Training	47	31
Cleaning	178	164
Other	413	308
	4,351	3,577

c) Depreciation and amortisation expense

	2011	2010
Depreciation		
Buildings	1,730	1,735
Furniture and fittings	7	6
Computers	96	86
Shelving	184	180
Other plant and equipment	118	105
	2,135	2,112
Amortisation - Computer Software	29	27
Total Depreciation and amortisation	2,164	2,139

(d) Finance costs

	2011	2010
T-Corp Loan Interest	157	272
Total Finance Costs	157	272

14

State Records Authority of New South Wales
Notes to and forming part of the financial statements
for the year ended 30th June 2011

4. GAIN / (LOSS) ON DISPOSAL OF NON-CURRENT ASSETS	2011 $'000	2010 $'000
(a) Gain on disposal		
Gain on disposal of plant and equipment	32	-
(b) Loss on disposal		
Loss on disposal of computers	(2)	-
Loss on disposal of motor vehicles	(2)	
Total Gain / (loss) on disposal	28	-

5. CONDITIONS ON CONTRIBUTIONS

There are no conditions placed on contributions other than to carry out the
Programs / Activities of the Authority

6. CURRENT ASSETS - CASH AND CASH EQUIVALENTS

Cash at bank and on hand	4,903	4,196

For the purposes of the statement of cash flows, cash and cash equivalents
include cash at bank and cash on hand

Cash and cash equivalent assets recognised in the statement of financial
position are reconciled at the end of the financial year as follows:

Cash and cash equivalents (per Statement of Financial Position)	4,903	4,196
Closing cash and cash equivalents (per Statement of Cash Flows)	4,903	4,196

7. CURRENT ASSETS - TRADE AND OTHER RECEIVABLES

Sale of goods and services	2,032	1,679
Prepayments	80	69
Long Service leave re-imbursement from Dept. of Finance and Services	1,453	1,162
Interest Receivable	81	63
Other	231	85
	3,877	3,058

Details regarding credit risk, liquidity risk and market risk
including financial assets that are past due or impaired
are disclosed in Note 16

8. CURRENT ASSETS - INVENTORIES

Held for resale		
Stock on hand - at cost	97	88
	97	88

15

State Records Authority of New South Wales
Notes to and forming part of the financial statements
for the year ended 30th June 2011

9. (a) NON-CURRENT ASSETS - PROPERTY, PLANT & EQUIPMENT

	Land and Buildings $'000	Plant and Equipment $'000	Infrastructure Systems $'000	Total $'000
At 1 July 2010 - fair value				
Gross carrying amount	72,978	1,286	8,408	82,672
Accumulated depreciation and impairment	(25,558)	(890)	(2,367)	(28,815)
Net carrying amount	47,420	396	6,041	53,857
At 30 June 2011 - fair value				
Gross carrying amount	81,171	1,542	8,727	91,440
Accumulated depreciation and impairment	(28,503)	(904)	(2,338)	(31,745)
Net carrying amount	52,668	638	6,389	59,695

Reconciliation
A reconciliation of the carrying amount of each class of property, plant, and equipment at the beginning and
end of each reporting period are set out below.

Year ended 30 June 2011

	Land $'000	Buildings $'000	Buildings Work in Progress $'000	Furniture and Fittings $'000	Shelving $'000	Computers $'000	Plant and Equipment $'000	Total $'000
Net carrying amount at start of year	8,000	39,364	56	29	5,821	191	396	53,857
Additions	-	97	-	-	510	125	361	1,093
Disposals	-	-	-	(1)	-	(316)	(106)	(423)
Depreciation expense	-	(1,730)	-	(7)	(164)	(96)	(118)	(2,135)
Reclassifications / Adjustments	-	-	(56)	-	-	-	-	(56)
Net revaluation	2,500	4,437	-	-	-	-	-	6,937
Depreciation written back on disposals	-	-	-	1	-	316	105	422
Net carrying amount at end of year	10,500	42,168	-	22	6,147	220	638	59,695

	Land and Buildings $'000	Plant and Equipment $'000	Infrastructure Systems $'000	Total $'000
At 1 July 2009 - fair value				
Gross carrying amount	72,862	1,172	8,291	82,325
Accumulated depreciation and impairment	(23,823)	(790)	(2,209)	(26,822)
Net carrying amount	49,039	382	6,082	55,503
At 30 June 2010 - fair value				
Gross carrying amount	72,978	1,286	8,408	82,672
Accumulated depreciation and impairment	(25,558)	(890)	(2,367)	(28,815)
Net carrying amount	47,420	396	6,041	53,857

Reconciliation
A reconciliation of the carrying amount of each class of property, plant, and equipment at the beginning and
end of each reporting period are set out below.

Year ended 30 June 2010

	Land $'000	Buildings $'000	Buildings Work in Progress $'000	Furniture and Fittings $'000	Shelving $'000	Computers $'000	Plant and Equipment $'000	Total $'000
Net carrying amount at start of year	8,000	41,039	-	32	5,878	172	382	55,503
Additions	-	60	56	3	123	105	119	466
Disposals	-	-	-	(2)	-	(113)	(4)	(119)
Depreciation expense	-	(1,735)	-	(6)	(180)	(88)	(105)	(2,112)
Reclassifications / Adjustments	-	-	-	-	-	-	-	-
Net revaluation	-	-	-	-	-	-	-	-
Depreciation written back on disposals	-	-	-	2	-	113	4	119
Net carrying amount at end of year	8,000	39,364	56	29	5,821	191	396	53,857

16

State Records Authority of New South Wales
Notes to and forming part of the financial statements
for the year ended 30th June 2011

Note:

(i) Buildings have been valued on the basis of other appropriate replacement buildings having a similar service potential or future economic benefit to the existing buildings. Land has been valued on an existing use basis subject to any enhancements or restrictions arising from development activities since acquisition. The June 2011 Land & Buildings valuation was carried out by Valuation Services of the NSW Department of Lands & Property Management Authority.

(b) Non-Current Assets - Collections

(i) During 1998-99 and 1999-2000 the Authority organised separate valuation processes in an attempt to meet the requirements of Australian Accounting Standard AAS29 "Financial Reporting by Government Departments". The valuation exercises involved valuing all items of High Monetary Value in 1998-99 and 1999-2000. Also in 1999-2000 the Authority tested its general collection by obtaining samples selected by a qualified statistician from the Australian Bureau of Statistics. All items selected in the above manner were valued by registered valuers. In relation to the items of High Monetary Value the values obtained over two years showed excessive variation both in total value and with individual items. In relation to the sampled items from the general collection the items could not be reliably valued because there was generally no established market nor was it possible to replace the material from other sources.

Due to these factors the Authority believes that its collection assets cannot be reliably valued and accordingly no figure has been included in the Balance Sheet.

(ii) The collection includes records which are considered worthy of being retained permanently as State archives because of their administrative or legal value, or their value for historical or other research. They comprise State records of continuing value originally created or received by New South Wales government agencies (past and present), and include material relating to convicts, shipping, land settlement, Aboriginal people, public works, court cases, hotel licences and a wide range of other matters handled by public offices.

17

State Records Authority of New South Wales
Notes to and forming part of the financial statements
for the year ended 30th June 2011

10. Intangible Assets

	Software $'000	Total $'000
At 1 July 2010		
Cost (gross carrying amount)	432	432
Accumulated amortisation and impairment	(382)	(382)
Net Carrying amount	50	50
At 30 June 2011		
Cost (gross carrying amount)	187	187
Accumulated amortisation and impairment	(159)	(159)
Net Carrying amount	28	28
Year ended 30 June 2011		
Net carrying amount at start of year	50	50
Additions (acquired separately)	6	6
Amortisation (recognised in "depreciation and amortisation")	(28)	(28)
Disposals	(251)	(251)
Amortisation written back on disposals	251	251
Net carrying amount at end of year	28	28

	Software $'000	Total $'000
At 1 July 2009		
Cost (gross carrying amount)	431	431
Accumulated amortisation and impairment	(388)	(388)
Net Carrying amount	43	43
At 30 June 2010		
Cost (gross carrying amount)	432	432
Accumulated amortisation and impairment	(382)	(382)
Net Carrying amount	50	50
Year ended 30 June 2010		
Net carrying amount at start of year	43	43
Additions (acquired separately)	34	34
Amortisation (recognised in "depreciation and amortisation")	(27)	(27)
Disposals	-	-
Amortisation written back on disposals	-	-
Net carrying amount at end of year	50	50

18

State Records Authority of New South Wales
Notes to and forming part of the financial statements
for the year ended 30th June 2011

11. CURRENT LIABILITIES - TRADE AND OTHER PAYABLES

	2011 $'000	2010 $'000
Creditors	731	434
Other	789	156
Accrued personnel services expense	268	330
Personnel Services Liability		
Recreation Leave - Department of Finance & Services	809	755
Long Service Leave - Department of Finance & Services	1,868	1,443
	4,465	3,118

Details regarding credit risk, liquidity risk and market risk, including
a maturity analysis of the above payables are disclosed in Note 16.

12. CURRENT / NON-CURRENT LIABILITIES - BORROWINGS

TCorp borrowings (unsecured)	1,974	3,847
	1,974	3,847
Repayment of Borrowings		
Not later than 1 year	1,974	1,869
Between 1 and 5 years	-	1,978
Later than 5 years		
	1,974	3,847

19

State Records Authority of New South Wales
Notes to and forming part of the financial statements
for the year ended 30th June 2011

13. COMMITMENTS FOR EXPENDITURE

	2011 $'000	2010 $'000
(a) Capital Commitments		
Aggregate capital expenditure contracted for at balance date and not provided for:		
Not later than one year	62	62
Later than one year and not later than five years		
Total (including GST)	62	62

This represents fees payable for plan cabinets at Kingswood

(b) Operating Lease Commitments	2011 $'000	2010 $'000
Future non-cancellable operating lease rentals not provided for and payable:		
Not later than one year	1,268	859
Later than one year and not later than five years	3,386	2,721
Over five years	1,734	-
Total (including GST)	6,388	3,580

This represents State Fleet car leases, rent for city premises at the Rocks and for storage facilities in Penrith

The potential input tax credits recoverable from the Australian Tax Office for the above commitments are $580,752 ($331,059 in 2009-10)

Other minor commitments for expenditure are not considered material

14. CONTINGENT ASSETS / LIABILITIES

The Authority is unaware of any contingent assets or contingent liabilities at the date of this report (Nil in 2009-10)

15. RECONCILIATION OF THE SURPLUS FOR THE YEAR TO

NET CASHFLOWS FROM OPERATING ACTIVITIES	2011 $'000	2010 $'000
Surplus for the year	940	1,194
Depreciation & amortisation	2,164	2,139
(Increase)/Decrease in trade and other receivables	(819)	(273)
(Increase)/Decrease in Inventories	(9)	15
Increase/(Decrease) in trade and other payables	1,347	318
Net (gain)/loss on sale of non current assets	(28)	0
NET CASHFLOWS FROM OPERATING ACTIVITIES	3,595	3,393

20

State Records Authority of New South Wales
for the year ended 30th June 2011
Notes to and forming part of the financial statements

16. FINANCIAL INSTRUMENTS

The Authority's principal financial instruments are outlined below. These financial instruments arise directly from the Authority's operations or are required to finance the Authority's operations. The Authority does not enter into or trade financial instruments, including derivative financial instruments, for speculative purposes.

The Authority's main risks arising from financial instruments are outlined below, together with the Authority's objectives, policies and processed for measuring and managing risk. Further quantitative and qualitative disclosures are included throughout this financial report.

The Director of State Records has overall responsibility for the establishment and oversight of risk management and agrees policies for managing each of these risks. Risk management policies are established to identify and analyse the risks faced by the Authority, to set risk limits and controls and to monitor risks. Compliance with policies is reviewed by the Audit Committee on a continuous basis.

(a) Financial instrument categories

Financial Assets	Note	Category	Carrying Amount	Carrying Amount
Class			2011 $'000	2010 $'000
Cash and cash equivalents	6	N/A	4,903	4,196
Receivables [1]	7	Receivables	3,717	3,058

Financial Liabilities				
Class			2011 $'000	2010 $'000
Payables [2]	11	Financial liabilities measured at amortised cost	3,957	3,118
Borrowings	12	Financial liabilities measured at amortised cost	1,974	3,847

1. Excludes statutory receivables and prepayments (not within scope AASB 7).

2. Excludes statutory payables and unearned revenue (not within scope AASB 7).

21

State Records Authority of New South Wales
Notes to and forming part of the financial statements
for the year ended 30th June 2011

(b) Credit Risk

Credit risk arises when there is the possibility of the Authority's debtors defaulting on their contractual obligations, resulting in a financial loss to the Authority. The maximum exposure to credit risk is generally represented by the amount of the financial assets (net any allowance for impairment).

Cash

Cash comprises cash on hand and bank balances within the NSW Treasury Banking System. Interest is earned on daily bank balances at the monthly average NSW Treasury Corporation (TCorp) 11am unofficial cash rate adjusted for a management fee to NSW Treasury.

Receivables - trade debtors

All trade debtors are recognised as amounts receivable at balance date. Collectability of trade debtors is reviewed on an ongoing basis. Procedures as established in the Treasurer's directions are followed to recover outstanding amounts, including letters of demand. Debts which are known to be uncollectible are written off. An allowance for impairment is raised when there is objective evidence that the Authority will not be able to collect all amounts due. This evidence includes past experience, and current and expected changes in economic conditions and debtors credit ratings. No interest is earned on trade debtors. Sales are made on 30 day terms.

The Authority is not materially exposed to concentrations of credit risk to a single trade debtor or group of debtors. Based on past experience, debtors that are not past due (2011: $1,521,141: 2010 $1,202,489) and not more than 3 months past due (2011: $510,865: 2010: $358,085) are not considered impaired and together these represent 100% of the total trade debtors. Most of the Authority's debtors are NSW public sector agencies. There are no debtors which are currently not past due or impaired whose terms have been renegotiated.

The only financial assets that are past due or are impaired are 'sales of goods and services' in the 'receivables' category of the balance sheet.

$'000

2011	Total [1,2]	Past due but not impaired	Considered [1,2] impaired
< 3 months overdue	511	511	
3 months - 6 months overdue			
> 6 months overdue			

2010			
< 3 months overdue	371	371	
3 months - 6 months overdue			
> 6 months overdue			

1. Each column in the table reports "gross receivables"

2. The aging analysis excludes statutory receivables that are not passed due and not impaired.
Therefore the "total" will not reconcile to receivables total recognised in the statement of financial position.

(c) Liquidity risk

Liquidity risk is the risk that the Authority will be unable to meet its payment obligations when they fall due. The Authority continuously manages risk through monitoring future cash flows and maturities planning to ensure adequate holding of high quality liquid assets. The objective is to maintain a balance between continuity of funding and flexibility through the use of loans and other advances.

During the current and prior years, there were no defaults or breaches on any loans payable. No assets have been pledged as collateral. The Authority's exposure to liquidity risk is deemed insignificant based on prior periods' data and current assessment of risk.

22

State Records Authority of New South Wales
Notes to and forming part of the financial statements
for the year ended 30th June 2011

(c) Liquidity risk continued

The liabilities are recognised for amounts due to be paid in the future for goods or services received, whether or not invoiced. Amounts owing to suppliers (which are unsecured) are settled in accordance with the policy set out in Treasurer's Direction 219.01. If trade terms are not specified, payment is made no later than the end of the month following the month in which an invoice or a statement is received. Treasurer's Direction 219.01 allows the Minister to award interest for late payment. No interest was applied during the year.

The table below summarises the maturity profile of the Authority's financial liabilities, together with the interest rate exposure.

			$'000 Interest Rate Exposure			Maturity Dates		
2011	Weighted Average Effective Int. Rate	Nominal [1] Amount	Fixed Interest Rate	Variable Interest Rate	Non-interest bearing	< 1 yr	1-5 yrs	> 5 yrs
Payables								
Personnel Services payable		2,945			2,945	2,945		
Creditors		1,520			1,520	1,520		
Borrowings								
TCorp borrowings	5.73	1,974	1,974	-	-	1,974	-	-
		6,439	1,974	-	4,465	6,439	-	-
2010								
Payables								
Personnel Services payable		2,528	-	-	2,528	2,528		
Creditors		590	-	-	590	590		
Borrowings								
TCorp borrowings	5.61	3,847	3,847	-	-	1,869	1,978	-
		6,965	3,847	-	3,118	4,987	1,978	-

1. The amount disclosed are the contractual undiscounted cash flows of each class of financial liabilities based on the earliest date on which the authority can be required to pay. The tables include both interest and principal cash flows and therefore will not reconcile to the statement of financial position.

23

State Records Authority of New South Wales
Notes to and forming part of the financial statements
for the year ended 30th June 2011

(d) Market risk

Market risk is the risk that the fair value or future cash flows of a financial instrument will fluctuate because of changes in market prices. The Authority's exposures to market risk are primarily through interest rate risk on the Authority's borrowings. The Authority has no exposure to foreign currency risk and does not enter into commodity contracts.

The effect on profit and equity due to a reasonably possible change in risk variable is outlined in the information below, for interest rate risk and other price risk. A reasonably possible change in risk variable has been determined after taking into account the economic environment interest rate risk and other price the Authority operates and the time frame for the assessment (i.e. until the end of the next annual reporting period). The sensitivity analysis is based on risk exposures in existence at the balance sheet date. The analysis is performed on the same basis for 2010. The analysis assumes that all other variables remain constant.

Interest rate risk

Exposure to interest rate risk arises primarily through the Authority's interest bearing liabilities. This risk is minimised by borrowings, primarily with NSW TCorp. The Authority does not account for any fixed rate financial instruments at fair value through profit or loss or as available for sale. Therefore for these financial instruments at fair value a change of +/- 1% is used, consistent with current trends in interest rates. The basis will be reviewed annually and amended where there is structural change in the level of interest volatility. The Authority's exposure to interest rate risk is set out below.

$'000

	Carrying amount	-1% Profit	Equity	+1% Profit	Equity
2011					
Financial assets					
Cash and cash equivalents	4,903	(49)	(49)	49	49
Financial liabilities					
Borrowings	1,974	(20)	(20)	20	20
2010					
Financial assets					
Cash and cash equivalents	4,196	(42)	(42)	42	42
Financial liabilities					
Borrowings	3,847	(38)	(38)	38	38

24

State Records Authority of New South Wales
Notes to and forming part of the financial statements
for the year ended 30th June 2011

(e) Fair value compared to carrying amount

Except where specified below, the amortised cost of financial instruments recognised in the statement of financial position approximates the fair value, because of the short term nature of many of the financial instruments.

The following table details the financial instruments where the fair value differs

	2011 $'000 Carrying Amount	2011 $'000 Fair Value	2010 $'000 Carrying Amount	2010 $'000 Fair Value
Financial liabilities				
TCorp Borrowings	1,974	1,994	3,847	3,914

18. POST BALANCE DATE EVENTS

The Authority is not aware of any event subsequent to balance date that would impact the financial report.

End of Audited Financial Statements

25

Index