

STATE RECORDS AUTHORITY OF NEW SOUTH WALES

ANNUAL REPORT 2012—2013



State Records



State Records

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Ref: 13/0181

The Hon. Andrew Constance MP
Minister for Finance and Services
Governor Macquarie Tower
Level 36,
1 Farrer Place
SYDNEY NSW 2000

13 December 2013

Dear Minister,

On behalf of the State Records Authority of New South Wales, I take pleasure in forwarding the Annual Report and Financial Statements of the Authority covering the year ended 30 June 2013, for presentation to Parliament in accordance with the *Annual Reports (Statutory Bodies) Act 1984* and the Annual Reports (Statutory Bodies) Regulation 2010.

Yours sincerely,

Jenni Stapleton
Acting Director

Contents

Overview	03
Our charter, direction and services	04
Director's review	06
Message from the Chairperson	08
Performance summary	10
Services and Operations	15
Records storage services	16
Services for the public sector	21
State of public sector recordkeeping	40
The State archives collection	45
Services for the public	62
Corporate information and communications	80
Governance and accountability	82
Board and management	83
Strategic planning and reporting	87
Client and stakeholder relationships	89
Managing risks	92
Managing our people	96
<i>Public Interest Disclosures (PID) Act 1994</i>	102
<i>Government Information (Public Access) Act (GIPA) 2009</i>	103
Managing our physical assets and finances	107
Audited financial statements	117
Index	back page
Accessing our services	inside back cover



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

Overview 2012-13

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 State Plan, *NSW 2021*, 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.

State Records is a lead agency for the achievement of Goal 31 in the State Plan. The State Plan activities which State Records contributes to are:

- Rebuild State finances (SP 2);
- Make it easier for people to be involved in their communities (SP 24);
- Fostering opportunity and partnership with Aboriginal people (SP 26);
- Enhance cultural, creative, sporting and recreation opportunities (SP 27);
- Restore trust in State and Local government as a service provider (SP 30);
- Improve government transparency by increasing access to government information (SP 31); and
- Involve the community in decision making on government policy, services and projects (SP 32).

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

>1979

Archives Authority of NSW occupies purpose-built building in The Rocks

>1998

State Records Act 1998 passed

>1999

State Records Authority and its Board established

>2006

State Records Authority becomes a related entity of the Department of Commerce

>2012

State Records Authority moves out of The Rocks and closes Sydney Records Centre

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.

Legislation and functions

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

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; and
- 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, people in regional NSW, and researchers around Australia and the world;
- Australian governments;
- Australian and New Zealand public records authorities; and
- 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; and
- Courts and tribunals.



Director's review

State Records has had a year of significant change and progress in 2012-13.

We started the year with the closure of the Sydney Records Centre, which had been our home since 1979. While the archival collection has been based at Kingswood since 2004 the loss of the city reading room and exhibition and training spaces has led to State Records adopting new strategies to carry out our wide range of functions without a dedicated city presence. For the first time all Public Access staff are now located together. At the official opening of the reading room at Kingswood in December 1987 the then Principal Archivist, John Cross, announced that State Records would be an institution whose future lay in western Sydney. Twenty five years later his prediction has come true.

Another significant change, which was foreshadowed in last year's Annual Report, was the retirement of the Director Alan Ventress. Alan had been Director since 2008 and, before that, Associate Director. During his 11 years with State Records he championed the adoption of new technologies to communicate our role as widely as possible and built strong relationships between State Records and like-minded organisations across Australia. Since his retirement in September 2012 Alan has continued to be active in the archival, library and heritage communities.

Likewise, December 2012 saw the end of Professor Lucy Taksa's two terms as Chair of the State Records' Board. Lucy has been a great advocate for State Records. In particular she pushed State Records to engage with academic and expert communities when making recommendations about the disposal of State records, which has led to stronger links and more confidence on both sides of the decision-making process. In January 2013 we welcomed a new Chair, Ms Anne Henderson, to the Board.

All parts of State Records have been involved with major projects this year which have helped to reposition us in a number of ways.

The biggest challenge for State Records in 2012-13 has been the verification of the valuation of the State archives. This has been a prolonged and complex task drawing in staff from all parts

of State Records. It required the identification, measurement and assessment of every record series in the archives, plus cross-checking between the documentation and the physical locations. Apart from achieving its primary objective of leading to the valuation of the collection, this work has allowed State Records to gain improved information on the condition of the collection plus gaps in its documentation.

The 75 kilometres of State archives are held in 11 locations across the state so every part of the process (measurement, valuation and audit) would not have been possible without the generous assistance of our regional repositories and distributed management institutions.

The Public Access team has worked strongly to turn the attention paid to State Records because of the closure of the Sydney reading room to our advantage. Increased outreach activities, the development of new online galleries and in particular increased quantities of archives available online have led to a 22% rise in the use of original material in the reading room, although total numbers of reading room visits are down when compared to the previous year. Two collaborative exhibitions with Parliament House and the publication of a number of journal articles also produced good responses. Our social media presence continues to grow and we held our first real-time on-line Q & A to answer enquiries from the public about using the archives. Probably the biggest contributor to increased numbers in the reading room has been the continuing production of indexed Probate and Divorce files as a result of GRR consultancy work with the Supreme Court.

We have also continued to make our collection more accessible by further engaging with third-party suppliers to publish State archives online and also by working towards a less restrictive copyright regime. State Records has been represented on the Commonwealth review of Copyright which has been taking place in the past year.

The Government Recordkeeping team continued to work with agencies to achieve records retention coverage across the sector, now at 89%, and increased awareness and commitment to good recordkeeping. The Records Managers forums remain popular, as do both

face-to-face and online training; the Future Proof blog had a 30% increase in visits this year and continues from strength to strength.

The Digital Archives team had an intense and productive year moving towards their project deadline of June 2013 to have OpenGov operational as the online repository for information published by NSW Government agencies and to have the Digital Archives migration methodology developed to a point where it could be released for comment. As part of the development of the migration methodology, seven pilot migration projects are underway. These have provided a valuable means of testing the digital preservation tools while working with agencies to identify requirements for the Digital Archives Dashboard.

In addition to enhancements to the Digital Archive infrastructure, State Records was also given funding to enable replacement of aging ICT infrastructure. Procurement and implementation were undertaken during the year based on recognised industry and government standards. In 2012-13 State Records became increasingly aligned with Department of Finance and Services cluster ICT initiatives. These include development of the cluster ICT Strategy, Corporate Operating Model (COM) project, Information Security and other initiatives. Our small Corporate team continues to work efficiently and effectively to support the services State Records delivers to the public and to client agencies.

The GRR had an exceptional year with strong growth in all indicators. In particular the strategy of offering targeted services to the public health sector continues to produce good results, with an expanding client base and consistent return work. In 2012-13 nearly half a million patient files were indexed and sentenced for hospitals across the State. At the same time the GRR has expanded its support for agencies by offering a wider range of digital services.

Financially the GRR had another successful year with an operating surplus of \$3.5 million on revenue of \$15 million. However it must be noted more than \$2.6 million of that surplus was directed towards supporting the archival programs of State Records. As grant funding

continues to be cut State Records relies more and more on the GRR to cover the cost of all our core statutory responsibilities while simultaneously funding the necessary expansion of its business.

JENNI STAPLETON
Acting Director



Message from the Chairperson

It was an honour to accept the role as Chair of the NSW State Records Authority in 2013. I acknowledge the work of outgoing Chairperson Professor Lucy Taska, and former Director Alan Ventress who have presided over the beginnings of what might be seen as a new era for State Records. I would also like to thank fellow members of the Board for their welcome and support.

As a newcomer to State Records, I have been fortunate to be guided in my role by Acting Director Jenni Stapleton and Executive Officer Jim Sinclair. It has been a watershed year for State Records, with the Authority's main project being the task of assessing the financial value of the State's 75.6 kilometres of archived documents and other historical material.

The State Records' collection, with a current valuation \$824 million, is a collection of immense significance. It is of utmost importance that the citizens of New South Wales, for whom we are the custodians of the public records, be better informed of the significance of their records and archived materials - also of their responsibilities around the collection, as custodians.

The word "custodian" is one that Australia's Indigenous people are more familiar with than Australia's non-Indigenous people. This is not something our non-Indigenous population should be proud of. But it is a tribute to our indigenous brothers and sisters that they can teach us much about our responsibilities as custodians of our public presence - as a colony, as a state and as a nation. A people's corporate story and global identity can only be sustained through the imprint of its presence in the records of its deeds, its experience, its individuals, their achievements, its governance, and all manner of manifestations of its existence, past and present.

Former Principal Archivist of NSW, Ian Maclean has described the changing role of archival custodians in recent decades: "The archival profession has ceased to be concerned, wholly or even primarily, with the preservation of records of the past for use by the present generation and has become involved with preserving the records of the present for future users." The work of the custodian, as such, is about the future as much as it involves both

users." The work of the custodian, as such, is about the future as much as it involves both past and present. Thus, the work of the public archivist is an investment for the future.

One of the recent successes of the NSW State Records Authority has been the publication of Peter J Tyler's *State Records NSW 1788-2011*. This brief but comprehensive study makes clear that the establishment of an independent public records administration in New South Wales was a most haphazard exercise from the outset - and only became focused more definitively as a state service in the latter part of the twentieth century. For this reason, among others, recognition of State Records as a vital instrumentality in the health and economy of New South Wales has been overlooked.

For much of the time over which the NSW State Records entity evolved, archival recording was subsumed by the State Library of New South Wales. Public records acquired or bequeathed were confined to inadequate and unsuitable storage locations, at times so rudimentary that records were exposed to risk from water and fire, even building collapse.

Until the passing of the *State Records Act* in 1998, the preservation of NSW public records was at best a bottom of the pecking order priority for the government of NSW. Since then, it has been an uphill climb for the Authority to make up the funding and investment needed to develop a facility worthy of Australia's oldest settlement and largest state.

In the current financial year, grant funding from the State government of NSW was \$90 million for the State Library of NSW and just \$4 million for State Records NSW. GRR financial support of the archives complements this grant funding but this is becoming a diminishing resource.

Government funding of State Records NSW is nowhere near adequate to run its facilities or pay its staff. A large part of the financing of State Records NSW's budget is made up from the income earned each year by State Records' business unit, the Government Records Repository. GRR's clients are limited to government agencies - and government agencies are often solicited by non-government competitors, leaving GRR at a disadvantage in gaining new clients.

As government finances have become stretched in recent times, the notion that State Records NSW could be more commercial in its outlook has been mooted. There should be many ways in which State Records NSW might recoup funds for services – but this also flies in the face of government insistence over decades that the use of archival material for research should be free of charge. In relation to the GRR, which as Peter J Tyler has pointed out “has become a life raft to support Treasury funded activities”, the GRR itself needs investment in order to develop new services to remain viable – as demonstrated in its “5-year Business Plan 2010-2015”.

Currently government funding for State Records NSW is contracting – this at the very time State Records NSW is being urged to become more commercial.

Much of the history of State Records NSW has been the struggle to gain recognition as an independent entity and for sufficient funding to provide suitable accommodation for both records and staff. In 1974, on land at Kingswood, a new headquarters for the storage of public records was opened, a building complex which has grown considerably. It now includes a modern reading room and state of the art storage facilities using the latest environmental technology.

For all that, if State Records NSW is to match any sort of commercial operation, its reading and research facilities for the public will need to be expanded and modernised considerably. Financing of a broadened and specialised staff is also needed – for example, at present there is no Indigenous archivist at State Records NSW.

The 20 hectare Kingswood site also includes surplus land which has been earmarked for sale. If sold, the land would attract a considerable price as it is suitable for housing development in a growing area. There has been no decision taken as to how the proceeds from such a sale might be used. Since the land is in the ownership of State Records NSW, it seems natural that any proceeds should be used for the further development of State Records NSW.

In 2009, the NSW Crown Solicitor advised the Board of State Records NSW that if it did not create a digital State archive this would put it in breach of its responsibilities under the legislation. Around this time, the Victorian State government made a \$60 million grant to the Public Record Office of Victoria for a digital records project. State Records NSW only received \$3 million in short-term project funding to develop a digital archive in 2011 and the timing of this project has now expired.

In less than two decades, State Records NSW has grown considerably at its Kingswood site. This site is set within Sydney’s fastest growing area and in coming decades has the potential to become a significant focus for learning and cultural development in western Sydney, extending intellectual and cultural facilities in the greater Sydney area. State Records NSW’s site is adjacent to a campus of the University of Western Sydney. There is reasonable access to rail and bus transport and this will improve with further housing development.

As universities and public records collections across the world have demonstrated, valuable archival collections can be a source of global connections that underpin academic institutions and even enhance the attraction of cities for global visitors. With development and investment, technology can also make such collections available to researchers online. If State Records NSW is to exploit its potential, and contribute to its income, there needs to be a long term strategy to capitalise on its vast archival collection, as well as to expand the range of services it can offer to both Government agencies and the public.

The challenges for State Records NSW beyond 2013 are both financial and operational. They also require a renewed vision. It is the hope of the Board of State Records NSW that the incoming new Director will begin planning a long term strategy to build a public records establishment in keeping with the success of Australia’s oldest and largest state within the Commonwealth.

ANNE HENDERSON
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; and
- Compliance with corporate governance requirements.

Details of specific activities carried out over the year are reported on in a separate *Activity report 2012-13* 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; and
- Ensure that there is a comprehensive retention/disposal authority coverage of the public sector.

Achievements

We estimate that 89% of public offices have comprehensive functional records retention policies (also known as disposal authorities). This continuing improvement is largely due to our strategy of assisting NSW Government agencies to develop retention and disposal policies for their unique activities. We approved 14 functional policies submitted by public offices.

The GRR accessioned 47,600 linear metres of incoming records during the year compared to 45,300 in 2011-12. There were no

extra ordinary projects to skew the figures in 2012-13. Despite 20,794 linear metres of records being destroyed, transferred or permanently recalled, net growth of 26,806 linear kilometres was still above the 5% forecast.

2012-13 saw the GRR holdings break through the 500 kilometre milestone, and finished the period with 517,556 linear metres of public sector records.

The GRR routinely tracks the number of file retrieval operations it carries out each month. File retrieval operations are specifically the activities of pulling files from storage to return to clients, and re-filing them when they return to storage. In 2012-13, the GRR performed 360,440 file retrieval operations, representing a 3% increase. Excluding the 2010-11 result (a record year with 2 very large projects) the 2012-13 result is the largest for File Retrieval actions. This has been driven by the GRR's successful implementation of its business plan in relation to targeting the health sector. Whilst the proportion of retrievals to holdings continues to decline, the number of retrievals continues to steadily climb.

Outlook

Over the next year State Records will continue to work towards increasing coverage of NSW Government agencies by retention and disposal policies. We will continue to focus resources on assisting agencies to develop and implement new functional records disposal policies or review existing policies to ensure they are current and appropriate. We also expect that the increased disposal coverage will lead to continuing 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 2012-13. 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 permanently valuable records.

Quality recordkeeping and effective records management across the NSW public sector

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; and
- There are comprehensive access directions made by public offices for records over 30 years of age.

In 2012-13 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 2012-13 a total of 18 information packs were sent to new CEOs.

We offered 37 courses attended by 381 public officials in our annual records management training program. This was achieved in partnership with private sector training providers. A further 522 NSW public officials attended presentations on recordkeeping and records management, including forums and briefings. In addition there were 1,298 unique visits to our e-learning site and ongoing engagement with the sector through the Future Proof blog and Twitter account (with 76,242 visits to the Future Proof blog).

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.

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 vital focal point in 2013-14. 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.



Crossing the Belyando River after flooding
Digital ID: 2014_a037_06_1726000038

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; and
- Archives and their context are documented and catalogued.

Achievements

We worked closely with agencies (particularly Land and Property Information and the Supreme Court) to transfer into our custody a large quantity (3,067 metres) of State archives. 140,161 record items were catalogued, bringing the total discoverable through our online catalogue to 962,398.

Outlook

We expect to continue to receive large quantities of State archives in traditional formats over the next 5-10 years. Continued funding to manage born-digital archives appropriately and facilities 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.



Sydney Station clock hands, 31/12/1919
Digital ID: 17420_a014_a014001402

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; and
- 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 200,745 names to online indexes, another popular service.

Public outreach events which we ran or participated in were attended by 2,238 people.

Outlook

State Records has one of the most popular websites in the NSW government sector and sees this as a more efficient way to deliver archival information in the future.

The Western Sydney Records Centre at Kingswood continues to provide expert and professional advice to researchers accessing NSW State archives in person and over the telephone. We will also continue to provide a copy service to a large selection of records indexed on our website.

We have also signed non-exclusive third party agreements with Ancestry.com and Find My Past to make material available on their websites.

The *In Living Memory* exhibition of photographs from the Aborigines Welfare Board remains a vital resource for the Indigenous and wider communities.

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 2012-13	Target 2012-13
No. of participants in records management program events	903	900
Percent of public offices with comprehensive access directions	48%	48%
Percent of public offices with comprehensive records retention policies	89%	95%
No. of records retention policies approved	14	12
Metres of non-current records in storage	517,566	470,000
Metres of non-current records accessioned	47,600	20,000
No. of file retrieval operations	360,440	300,000
Metres of standard format records in archival custody	75,657	72,500
Metres of records transferred to archival custody	3,067	2,000
No. of catalogued record items discoverable online	962,398	485,592
No. of record items catalogued	140,161	40,000
No. of archives information access points	42	43
No. of website visits	3,246,654	1,500,000
No. of original record items used by readers	28,092	30,000
No. of public program participants	2,238	4,300

Facts 2012-13

3,246,654 website visits

28,092 reading room visitors

28,503 original archives used

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

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

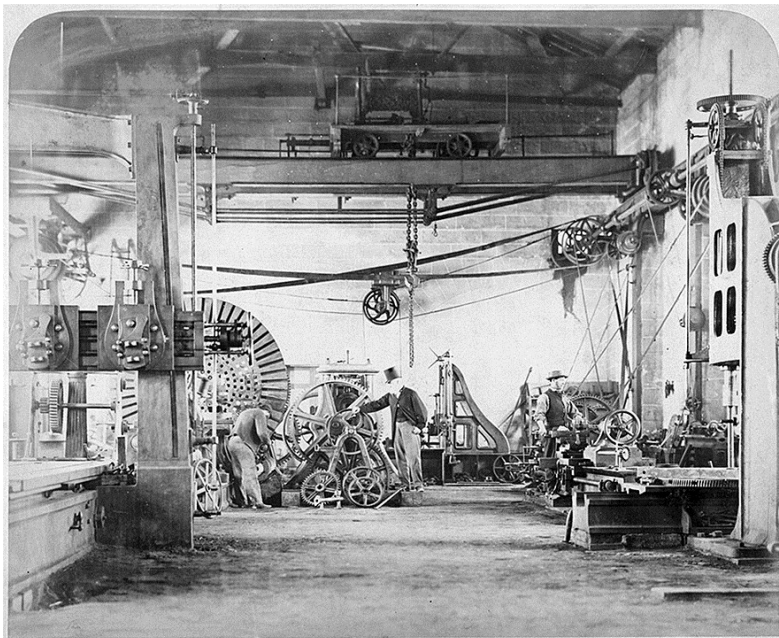
***75,657 kilometres of standard
format archives in custody***

***962,398 record items
discoverable online***

***76,242 unique visits to the
Future Proof blog***

***156,434 unique visits to the
Archives Outside blog***

***11,298 unique visits to online
learning resources***



Workshop Cockatoo Island

Digital ID: 15344_a044_000030

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 Records' Digital Archives Project

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

Access directions cover all records kept more than 30 years

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 2012-13 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.

While demand for storage and retrieval of physical records continues to grow, the GRR is cognisant of the fact that government agencies are actively implementing electronic document and records management systems (EDRMS) which will ultimately impact on the need for paper storage. The GRR continues to develop and offer value-added services which will provide an income stream in the face of the real decline in paper storage that is anticipated from 2017 onwards.

File storage and retrieval service demand met

The GRR accessioned 47,600 linear metres of incoming records during the year compared to 45,300 in 2011-12. There were no extra ordinary projects to skew the figures in 2012-13. Despite 20,794 linear metres of records being destroyed, transferred or permanently recalled, net growth of 26,806 linear kilometres was still above the 5% forecast.

Achievements and highlights

- 5.5% holdings growth, with \$3.6 million operating surplus
- Continued success of value-added services
- High levels of activity in the health sector

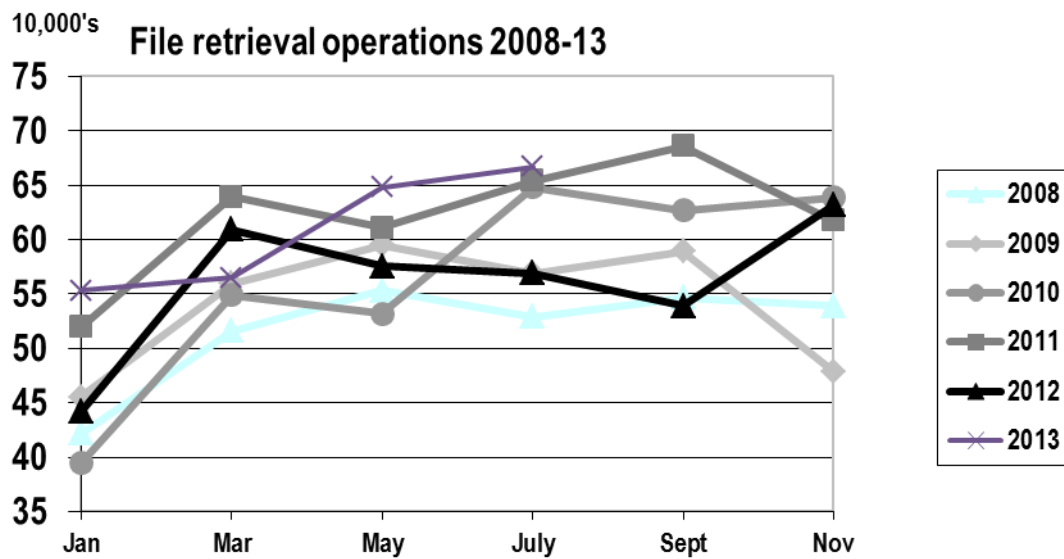
2012-13 saw the GRR holdings break through the 500 kilometre milestone, and finished the period with 517,556 linear metres of public sector records.

The GRR routinely tracks the number of file retrieval operations it carries out each month. File retrieval operations are specifically the activities of pulling files from storage to return to clients, and re-filing them when they return to storage. In 2012-13, the GRR performed 360,440 file retrieval operations, representing a 3% increase. Excluding the 2010-11 result (a record year with 2 very large projects) the 2012-13 result is the largest for File Retrieval actions. This has been driven by the GRR's successful implementation of its business plan in relation to targeting the health sector. Whilst the proportion of retrievals to holdings continues to decline, the number of retrievals continues to steadily climb.

Net growth of holdings

Result 2012-13	Result 2012-13	Target 2012-13
5.1%	5.5%	5.0%

Non-current records stored efficiently



File retrieval operations

We are not able to influence demand for file retrieval operations, as these are based totally on client requirements. A downward trend in file retrieval has been forecast for some time due to the anticipated impact of electronic record-keeping systems within agencies; however this is being offset by the growth in health records and the active life of these records.

For several years the GRR has tracked its overall client-facing operations. These include file retrieval activities, but also activities such as items transferred into storage, items removed from storage, and boxes transferred and destroyed. The figure also includes boxes processed by our data entry teams for cataloguing and sentencing services, although the figure does not include the quantities of

individual files which have been handled through these latter activities.

Year	Operations	% increase
2010-11	840,233	34.5%
2011-12	883,019	5%
2012-13	898,200	2%

In line with the continued successful operation of the GRR's value added services and growth in holdings, the total operations grew by 2%. This demonstrates that the GRR's traditional services, and the value-added services the GRR is developing, are meeting genuine client needs.

Non-current records stored efficiently

Value-added services

As outlined in its Business Plan, the GRR has identified the public health sector as a major market in which it can offer additional services. The GRR continues to work with Local Health Networks to reduce their records accumulations and dispose of records that otherwise cannot legally be destroyed.

The GRR provides a highly specialised patient file sentencing service to a number of public hospitals. The GRR's automated health patient records sentencing application (Government Records Repository Health Information System - GRRHIS), performs destroy date calculations automatically, allowing sentencing of patient files to be carried out with a greater degree of accuracy in a shorter time-frame – customized on a per client basis. This has become an especially well respected and trusted service recognised to be accurate, cost-effective and efficient.

There was a continued high level of activity in health information sentencing over the 2012-13 year, with several major hospitals now contracting the GRR to routinely remove and sentence their client information records on an annual basis. The GRR's team of experienced health information sentencers processed 455,212 files in 2012-13. Pleasingly, in 2012-13 the GRR expanded its regional client base, with another hospital coming on-board and utilizing the health sentencing service.

We are pleased to report that in the 2012-13 year, Fees & Consultancy revenue was \$1.5M, exceeding the budget target of \$1.4M. This was related to three major factors:

- Continuing high usage of the GRR's specialised health file sentencing service, discussed above.
- Continuing popularity of professional archival services, most importantly the appraisal of records.
- Continued high usage of the GRR's consultancy services in cataloguing, indexing and data entry work, some of which is discussed below.

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 2012-13 the Government Records Repository's revenue and expenditure were both above target, leading to an operational surplus of \$3.6 million on revenue of \$15 million, which is 23.8% of earnings and represents an increase of 16.2% in operational surplus on the previous financial year.

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.

Non-current records stored efficiently

Revenue targets and results before 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. In 2012-13 the fleet kilometres fell by 1.7% as a result of continued review and optimisation of the transport section.

Despite a lower volume of client authorised destruction for 2012-13, the GRR securely recycled 193,842 kilograms of paper through its destruction service.

	Result 2012-13 \$'000	Target 2012-13 \$'000
Revenue	15,000	14,740
Expenditure	11,441	11,456
Surplus	3,559	3,285

**Case
Study****Value Added Services for Family & Community Services**

The GRR has been managing the inactive client files of Community Services NSW (CSNSW) since 1991. Every year local offices of CSNSW throughout the state cull their client files and forward them to the GRR where they are comprehensively catalogued and indexed. This year 431,932 files were indexed. Complementing this, 169,587 digital images were created. The data and images generated have been made accessible through the "CommServDB" (a database that was custom developed for the client) with access via "CommServNET", the web application the client uses to access their information securely and quickly. This system now has comprehensive details of over 1.1 million files stored in the GRR and as State archives.



Generators being pre-positioned at Kingswood on 17/11/2012 in preparation for power shut down and electrical upgrade

Outlook and capability

The Western Sydney Records Centre (WSRC) has total storage space of 435,000 linear metres for non-current records and archives, with the GRR now utilizing an additional 158,000 linear metres in leased satellite repositories in the Penrith area. In January 2014 a further 60 kilometres of satellite storage will come on-line.

As foreshadowed in the Business Plan 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. While all GRR off-site storage is of a standard commensurate with the storage of temporary-value records, it is less efficient to service, and high-use records must remain on-site at the WSRC.

The GRR's holdings grew by 27 kilometres in the 2012-13 year, and 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, such as patient files, 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 additional on-site storage for the GRR 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. State Records is currently developing a Business Case for the construction of Stage 7 at WSRC. This building will cater for both the GRR's need for long-term temporary and high-access storage, and special format storage for the State's archival collection.

We expect that demand for our records storage and associated services will continue to be strong in the coming year with 5% net growth of holdings. In particular we expect increasing demand for our professional and value-added services as clients continue to deal with accumulations of unsentenced records both within the GRR and on their own premises.

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 – for both paper and digital records storage - and minimise risk exposure.

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 2012-13

- Increase the percentage of public offices that have comprehensive records retention policies.
- Ensure that agencies responsibly plan for the disposition of digital records and destroy time expired digital records to reduce risk.

Achievements and highlights

- 89% of public offices have comprehensive records retention policies.



Current location of the Government Recordkeeping section
(Land and Property Information building, Queens Square)

Records retention policies cover whole public sector

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.

Existing records retention policy coverage a good baseline

We estimate that 89% of the current baseline of 426 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, Livestock Health and Pest Authorities, catchment management authorities and other agencies. 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 2012-13 approximately 75% 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.

We review the policies developed by each agency 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. Fourteen new retention policies were approved with six additional public offices achieving comprehensive disposal coverage through the issue of these policies. These included the NSW Rural Fire Service, SAS Trustee Corporation, Public Service Commission, NSW Aboriginal Land Council, Office of the Sheriff and the departments of the NSW Parliament (Department of Legislative Assembly, Legislative Council, Parliamentary Services and the Parliamentary Budget Office).

A general policy to provide for the appropriate disposal of private practitioners' records maintained by public health services was approved and one policy was developed to cover a small collection of legacy records relating to astronomical research activities and observations carried out by the Sydney and former Parramatta Observatories. Three policies approved permitted the transfer of ownership or possession of certain records as a result of the sale of government assets or businesses.

Two records retention policies approved during the year were reviews of existing policies. This included a comprehensive review of the Treasury Corporation's policy and a review of the Department of Trade and Investment, Regional Infrastructure and Services' policy for records of sponsored visa programs. The general policy covering records relating to the management of personnel was also revised and updated to ensure coverage remained comprehensive and reflected current requirements.

Use of an existing policy for growth centre or precinct development activities by three additional organisations also responsible for these activities was approved, providing comprehensive disposal coverage for the Barangaroo Delivery Authority, Sydney Metropolitan Development Authority and the Central Coast Regional Development Corporation.

Records retention policies cover whole public sector

Retention policies approved

	Result 08/09	Result 09/10	Result 10/11	Result 11/12	Result 12/13
Whole of agency	9	9	6	11	7
Partial	14	3	6	7	7
Total	23	12	12	18	14

Case study

NSW Parliament

In October 2012 the Board of State Records approved a disposal authority for records relating to the Houses of Parliament (the Legislative Assembly and the Legislative Council), the three Parliamentary departments that provide advice, facilities and services to support the business of the Parliament (the Department of the Legislative Assembly, Department of the Legislative Council and Department of Parliamentary Services) and the Parliamentary Budget Office (responsible for costing election policies and proposals submitted by political parties and independent Members of Parliament before a general election). This authority covers records dating from 1823, when the Legislative Council was established.

The records of Parliament have particular significance with respect to documenting:

- the making of laws for NSW
- the accountability of the Executive Government to the people of NSW
- debate, discussion and review of issues of public policy and concern to the people of NSW.

The Houses of Parliament, including Parliamentary Committees, whilst subject to the protection and disposal provisions of the State Records Act, are exempt from the provisions of the Act relating to public offices' records management responsibilities, the control and management of State archives and the provision of public access to records but may enter into agreements with State Records for the purpose of providing for the application of these provisions. A memorandum of agreement between the Parliament and the State Records Authority was signed in March 2008 to provide a framework for the management and preservation of and access to Parliamentary records and archives.

The authority supports the implementation of this agreement by identifying Parliamentary records of archival value (the 'Parliamentary archives') which can be transferred to State Records for safe keeping and proper preservation and public access as appropriate, and providing for the timely disposal of other temporary value records when no longer required.

Records retention policies cover whole public sector

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 and applicability to digital records. We will continue to review general records retention policies to ensure they meet current needs of public offices.



Managing Digital Records training
(Training course provided by Government Recordkeeping section).

Quality recordkeeping and effective records management across the NSW 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.

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 capture 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.

Effective records management programs, systems and practices ultimately support good outcomes for the community as well as minimising business risk across the public sector. 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, having access to appropriate guidance and advice, and implementing good practices.

State Records aims to influence how records are managed in hundreds of NSW public sector organisations and across thousands of workplaces. This includes government departments, statutory bodies, state owned corporations, local councils, universities and the public health sector. We have direct contact with, and provide advice to, over 400 organisations or entities, a high proportion of which are in regional and rural NSW. We expect parent departments to take a leadership role with those agencies and units we do not have regular contact with. Monitoring public sector performance and compliance is a challenge for us. Instances where we followed up on reports of recordkeeping failure are described in our report on the section 'State of public sector recordkeeping'.

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:

- 254 NSW public officials attended our Records Managers Forums (three held in Sydney);
- 120 attended presentations on disposing of digital records and recordkeeping and ICT at the Records and Information Management Professionals Australasia's annual conference;
- 138 attended presentations on digital preservation strategies, monitoring records management and using the Records Management Assessment Tool, and the disposal of records at the Records and Information Management Professionals Australasia's Local Government Chapter meetings in Avoca Beach, Queanbeyan and Dubbo;
- 60 attended the presentation on recordkeeping and risk management at the Digital Information Forum;
- 63 attended the presentation on recordkeeping and social media at the Social Media in Government conference in Canberra;
- 55 attended the presentation on the evolution of the series system at the October 2011 Recordkeeping Roundtable, and
- 153 attended presentations and talks given to specific public offices or at records and archives management events.

CEOs and public officials aware, committed and skilled

CEOs and public officials aware, committed and skilled

State Records has limited powers to compel NSW public offices to implement quality recordkeeping. We prefer to encourage good practice by raising awareness of records management standards and obligations, and by providing records management training and educational opportunities for public officials. Our annual training program is well known and continues to meet demand across the State. Our on-line training modules have been popular and provide a new way for us to reach our audience.

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. Engaging at this level continues to be a challenge for us.

During 2012-13 we promoted good recordkeeping to CEOs through:

- Sending 18 information packs to new CEOs; and
- Issuing the fifth edition of Future Proof newsletter to all CEOs.

Demand for records management training continues

In collaboration with our training partners, 37 short courses were delivered to a total of 381 participants. Courses were held at locations around NSW: 32 in the Sydney CBD or Western Sydney and 5 courses in 4 regional centres (Coffs Harbour, Port Macquarie, Wagga Wagga and Yass).

A free workshop on managing recordkeeping risk in business systems has been added to our Training Calendar and this workshop is proving popular with public offices, with 80 participants attending the 6 workshops held in 2012-13.

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

Objectives for 2012-13

- 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.
- Meet continued demand for expert advice on recordkeeping from public officials.
- Understand and respond to emerging risk, concerns and issues affecting recordkeeping in the NSW public sector.

Achievements and highlights

- 903 participants in records management events, including 381 records management practitioners trained across NSW.
- Advised 18 new Chief Executives of recordkeeping obligations.
- 11,298 unique visits to the e-learning site.
- Effective use of the Future Proof blog and Twitter account to communicate widely on key issues (including 76242 unique visits to the Future Proof blog).

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 trustworthy and accessible digital records.

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 30 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.

CEOs and public officials aware, committed and skilled

Our Training Resource Centre and suite of e-learning modules continue to be well received. During 2012-13, we had 11,298 unique visits to the e-learning site, with 2,116 visitors exploring the e-learning modules. The top e-learning modules for 2012-13 were:

'Your responsibilities for managing email',
'Recordkeeping concepts', and 'Recordkeeping and You'.

During this period we provided copies of the e-learning modules to seven public sector organisations for modification and use as part of their own in-house training programs.

Case study

Innovating our training and advice: the EDRMS implementers group

With rapid technological and business change, it is an ongoing challenge for State Records to offer training and education opportunities that address all the evolving technologies and risk. In 2012-13 State Records piloted a new form of event that aims to bring together people with a common business or technological challenge to share their knowledge or questions about that issue.

The focus of the pilot training initiative was electronic document and records management systems (EDRMS). These complex technologies are used in hundreds of public sector organisations for records and information management but require detailed assessment, planning, configuration, integration, implementation, training and monitoring in order to function effectively. The EDRMS Implementers Discussion Group brings together records managers in the NSW public sector who are deploying EDRMS in their organisations to share their experiences, questions and lessons learned.

State Records promoted the EDRMS Implementers Discussion Group through the Records Managers Forum, *For the record* newsletter and Future Proof blog, and facilitated three meetings of the Group in 2012-13. The group started with 8 members and has grown to more than 20 members.

The meetings are facilitated by State Records but provide an opportunity for public sector staff to ask detailed questions, share advice and documentation and learn from the knowledge and experience that already exists in the sector. The groups held so far indicate that this is an effective way for people to learn, create networks and share information.

After each meeting, a blog post is published on Future Proof to share the information discussed more broadly. To enable conversations to continue between meetings, State Records has also developed a collaborative GovDex site for members to discuss issues and share documentation. After the success of the EDRMS Implementers Discussion Group pilot initiative, State Records will explore more training opportunities of this type through 2013-14.

Training course participants

Result 08/09	Result 09/10	Result 10/11	Result 11/12	Result 12/13
391	325	579	485	381

CEOs and public officials aware, committed and skilled

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:

- 250 NSW public officials attended our Records Managers Forums (three held in Sydney);
- 40 attended a presentation on social media, mobile devices and recordkeeping at the Records and Information Management Professionals Australasia's Local Government Chapter meeting at Hawkesbury
- 50 attended the presentation on social media, mobile devices and recordkeeping at the Records and Information Management Professionals Australasia's seminar;
- 70 attended a presentation on information risks at the NSW Privacy Network meeting in Sydney;
- 100 attended a presentation on 'Can archives survive?' at the International Congress on Archives in Brisbane; and
- 12 attended a teleconference roundtable on recordkeeping issues.



Managing Digital Records training
(Training course provided by Government Recordkeeping section).

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

Keeping standards under review

One of the roles of State Records is to approve standards and codes of best practice for all aspects of records management in NSW public offices (under section 13 (1) of the *State Records Act 1998*). State Records is also required under section 13 (4) of the Act "to keep under review the standards and codes for the time being approved under this section." There are currently six records management standards in operation covering a wide range of topics.

During the first half of 2013 we conducted a survey on digital recordkeeping using the requirements of the *Standard on digital recordkeeping*. The results of the survey will be reported later in 2013.

Objectives for 2012-13

- 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.
- Revise *Standard on the physical storage of State Records*.

Achievements and highlights

- Effective use of the Future Proof blog and twitter account to communicate widely (including 36,534 visits to the Future Proof blog).
- Three new guidelines on recordkeeping developed.
- Revision of *Standard on the physical storage of State records*.

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 blog and web page provides guidance and advice 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 2013.
- ⇒ Six online editions of *For the Record* produced in 2012-13. This newsletter provides updates on developments and guidance on particular issues.
- ⇒ Provision of an advisory service to public offices on a range of records management issues via mail, email and telephone.

Keyword thesaurus products

State Records has offered keyword thesaurus products for over 20 years and has good market penetration in Australia, both in the public and private sector. The products are designed to be adapted by organisations for use in classifying and indexing their records. The products can also be used for a range of information management purposes, including developing logical shared drive folder structures. Our two records management thesaurus products continued to sell, particularly outside the NSW public sector, where they are widely used.

The *Keyword for Councils* product is now 10 years old and during 2012-13 work commenced to revise the product. A reference group has been providing feedback on proposed changes and a new version of the product will be released in 2013-14.

Collaboration with government and industry

State Records regularly participates in cross-agency initiatives and working groups. During 2012-13 this involved:

- Participation in the Project Smarter Administrative Regulations Portal Reference Group (coordinated by the Department of Premier and Cabinet).
- Representation on the Community of ICT Professionals Advisory Board, as well as participation in the Community of ICT Professionals.
- Participation in several NSW ICT Strategy 2012 working groups - including the Enabling Information Sharing Working Group, Information Management Community of Expertise, Information Security Classification and Labelling Guidelines consultative group (coordinated by ICT Policy, Department of Finance and Services).

State Records participates in industry research and standards-setting where the outcomes have direct relevance to recordkeeping in the NSW public sector. During 2012-13 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 Management systems for records, IT21/7 Recordkeeping Metadata, and IT21/11 Integration of Digitisation.

Keyword licenses

	Result 08/09	Result 09/10	Result 10/11	Result 11/12	Result 12/13
Keyword AAA	21	12	10	13	9
Keyword for Councils	17	19	9	15	7
Revenue	\$30,970	\$25,805	\$19,785	\$24,324	\$14,040

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

Outlook and capability

State Records will continue to promote the benefits of good recordkeeping to chief executives of NSW public sector organisations. We will continue to provide a range of short course records management training to NSW records practitioners. We will seek to raise awareness and understanding of digital recordkeeping requirements and strategies amongst ICT professionals, in order to better support business. In addition, we will seek to use other opportunities and partnerships to improve skills across the sector.

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. We will seek to disseminate information and communicate through social media and other platforms as appropriate.

Digital records strategy, Future Proof

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

- the New South Wales government documents its business via the creation of robust, useable and trustworthy digital records;
- digital records are created and maintained in environments that have been adequately assessed and treated for risks;
- people and government have ready access to digital records documenting the business and memory of the State of NSW; and
- the State's digital archives are protected, preserved and accessible.

Prioritising engagement: understanding and responding to emerging technologies and digital information risks

To help NSW public offices respond to the emerging risks affecting their digital information, State Records actively engages with the public sector and proactively identifies and advises on digital recordkeeping challenges and concerns.

During 2012-13 staff had 88 meetings specifically focussed on digital recordkeeping issues. These meetings have been with agencies dealing with high risk issues and requiring expert guidance on emerging digital recordkeeping challenges. State Records staff also met technology developers and vendors to advise on recordkeeping requirements and to help them design solutions that will best meet the strategic needs and requirements of the NSW public sector.

These meetings also bring real benefit to State Records by providing first-hand knowledge of recordkeeping issues in the NSW public sector and a real awareness of emerging risks and trends. The business intelligence gained in these meetings has been used to develop suites of advice on social media, information risk, cloud computing, data management, email management, database management and a range of other topics. This advice has focussed on case studies and examples based on real-world experiences.

Case study

Responding to the needs of the public sector: Strategies for managing social media information

Through its regular liaison with NSW public sector bodies, State Records has noted the growing use of social media by NSW government organisations.

With increasing business mandates for social media use and with large numbers of government organisations adopting social media applications, during 2012-13 State Records actively promoted the message that it is important for all organisations to consider what corporate and business information is moving to social media platforms and to develop strategies that ensure this information is maintained and accessible as required.

This is because with social media, organisations are moving away from more stable forms of business operation, communication and recordkeeping into more ephemeral operating environments. This is a positive and necessary business shift in many ways but public sector organisations need to enter into it with a full awareness of its possible impacts. As business information moves to being created or received via social media platforms, organisations will rely on the ongoing accessibility of social media-based business information to support clients, business operations, reporting and public accountabilities. Organisations therefore need to ensure that their models for information management, information use and information continuity and sustainability move with them and continue to provide the business intelligence, customer support and accountability frameworks they require.

On its Future Proof blog State Records has issued extensive advice on social media management. Its series of posts on 'How to keep records of social media business' were the most popular blog posts in 2012-13 with thousands of unique views and downloads, indicating the genuine need in the public sector for this form of practical advice and assistance.

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

Knowledge sharing

The Future Proof blog had over 76,242 unique visits in 2012-13. This was an increase of 30% on the visits in 2011-2012. In addition, there were 1,130,265 page views during the year. This growth rate suggests that the blog is meeting genuine needs in the NSW public sector because it:

- provides fast and timely advice on emerging digital recordkeeping issues
- makes information accessible to a wide audience
- is structured to aid navigation and searching
- engages both records and non-records audiences
- provides content that agency information management professionals can reuse and repurpose quickly for business purposes.

The reporting component of Future Proof allows an analysis of trends. By tracking blog use statistics and the popularity of specific posts, State Records has been able to prioritise the development of guidance in areas of specific need. For example, State Records initiated a number of blog posts and other recordkeeping guidance on EDRMS, social media and email management based on this trend analysis.

In 2012 State Records began its series of monthly 'question and answer' or 'Q&A' posts on the Future Proof blog. These have rapidly

become some of the most popular posts on the blog. Each month Government Recordkeeping staff receive over 100 questions from government agencies about a wide range of recordkeeping issues. The Q&A posts on Future Proof summarise the questions received about digital recordkeeping issues and publish State Records' responses to them.

These Q&A posts make State Records' latest advice available to all NSW government agencies. They help others to easily find answers to emerging issues and they provide a way for information managers to remain informed about trends in digital recordkeeping. These posts also open State Records' advice to feedback and discussion, to improve the usefulness of this advice.

Industry Recognition for Excellence

In August 2012, members of the digital records team won the Records and Information Management Professionals Australasia (RIMPA) Article of the Year award for their article, *How to rebrand records management to encourage support and collaboration*. The team was also shortlisted for the RIMPA Team of the Year award in recognition of the work and efforts of the team to promote sound digital recordkeeping practices across the NSW Public Sector.

State Records' Digital Archives Project

Sitting within our overall digital records strategy, Future Proof, the Digital Archives project entails the 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.

With the vast majority of official records being created and kept only in digital form today, it is vital that State Records extends its preservation and access delivery services into the 'born digital' environment. Rather than being about the digitisation of older paper material, this initiative is about ensuring the integrity and longevity of key government records in databases, file systems and the wide array of formats that characterise the digital working environment today.

The systems, tools, services and processes being developed as part of the Digital Archives project will have broader application in the NSW public sector to assist with a range of digital continuity issues for all NSW public office digital records; including migrating records forward through technology change, building better recordkeeping systems and conforming to standards for ease of information sharing.

Achievements

The Digital Archives team achieved a significant amount in the second year of the project, including:

- continuing to develop our approach to keeping digital archives, including further research on methods for migrating large complex databases
- working on a range of pilot digital archives projects to test and refine our methodology and tools
- building a 'Dashboard' tool to assist agencies to work with State Records on digital archives projects
- delivering presentations on the Digital Archives project to conferences, seminars and meetings of various stakeholder groups
- developing metadata and file format registries and a workflow control tool and making these available as open source software; and
- developing a change management strategy to facilitate engagement, awareness and trust in relation to the Digital Archives project so that eventually Digital Archives becomes an integrated part of State Records' core business.

Digital archives pilot projects

The pilot projects the Digital Archives team is working on were selected on the basis that they would allow us to test our approach from a number of perspectives; the size and complexity of the project, and the inclusion of non digital records; the quality of the recordkeeping system. In each case the team has also been able to see how the management of the project will vary from case to case, with some involving a high degree of agency participation with a range of stakeholders, some more contained.

NSW Fair Trading – Business registration records

The function of business registration in NSW that was managed by NSW Fair Trading passed to the Commonwealth in early 2012. As a result, NSW Fair Trading ceased to manage the function but continued to manage business registration records; a number of which had not been migrated to the Commonwealth. These records were managed in the Business Registration System (BRS), the Business Registration Imaging System (BRIS) and imaged business registration records held on microfiche. The BRS is an Oracle database and BRIS is a customised version of Objective.

The inclusion of microfiche in the project was the catalyst for determining how we would approach hybrid projects involving both digital and physical formats. This approach would have to address how we would work with both internal and external stakeholders in the project. We identified that a project plan that could manage any type of format records was needed. This was a significant change to the methodology which had previously encompassed a streamlined project start-up process followed by assessment activities.

Working with the agency and internal stakeholders, a suitable structure for the project plan was established and approved by key project stakeholders. The project plan has enabled a structured planning approach to the various activities that will be involved in this pilot migration project and the roles, responsibilities and timeframes for project

deliverables. Currently we are assessing the BRS database schema as well as export options from Objective for customised metadata and files relating to business registration documentation. There are also a number of access requirements that will need to be managed including access to business registration information that was already available on the NSW Fair Trading website.

Office of Environment and Heritage (OEH) – Thredbo Coronial Inquiry

The Thredbo Coronial Inquiry was held in the year 2000, in the wake of the 1997 Thredbo landslip disaster. It involved the participation of multiple parties, including the NSW National Parks and Wildlife Service (NPWS), who had responsibilities for the land on which the tragedy occurred. The inquiry used a Lotus Notes database as the records repository for its deliberations, including all papers, statements and transcripts of the proceedings. It used a copying service, AUSCRIPT, to locate and scan all records from all parties onto the database, including NPWS records. The database consists of 12.5 Gb of data and almost 20,000 scanned documents.

Work on this system to date has involved setting the parameters of the project in a mutually agreed project plan; talking with OEH records and information systems staff to understand how this database related to other records of the Inquiry and NPWS's business processes, as well as analysing and thoroughly documenting the way the Lotus notes interface organised and presented the records, and its metadata schema. The investigation phase has also involved assessing the suitability of a copy of the database in an SQL format prepared by OEH for their own purposes. This presents a promising option for the capture of the data in a more manageable format. We are also considering the range of document formats the database contains and whether in some cases the creation of additional copies in better formats for preservation or access purposes will be required. Decisions made to create such

copies will be reflected in our Preservation Pathways register. A key activity is the mapping of the database metadata to our preferred terms and the registration of new terms in our metadata registry. Effective management of this metadata will be essential for managing the critically important access restrictions on the records, which include reports and transcripts that will be open to public access right away, but also highly sensitive personal information that is to remain closed.

A number of other pilot migrations are underway including a Commission of Inquiry database and a number of smaller collections of digital files in a range of formats including a/v files, simple Office formats and social media records. All are garnering us invaluable experience in dealing with digital archives migrations and in refining our approach and systems.

A consultative approach

To ensure the processes and systems developed for the Digital Archives project are in line with State Records' requirements for the management of archives as well as meeting agency needs and aligning with best practice for digital recordkeeping, the Digital Archives team has been carrying out its work in a highly consultative manner. In particular, we have worked closely with:

- the Digital Archives Reference Group: made up of State Records staff from across a range of program areas; and
- the Digital Records Advisory Group: a group of records and information managers and other representatives from NSW public sector organisations who provide feedback on products developed as part of the Digital Archives project

Communication

There are 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 communiques such as For the Record, our e-newsletter for government agencies. The Digital Archives team also gives regular presentations at conferences, seminars and other events.

OpenGov NSW

In 2012-13 State records NSW launched OpenGov NSW - a searchable online repository for information published by NSW Government agencies, including Annual Reports and open access information released under the *Government Information (Public Access) Act 2009* (GIPA Act). OpenGov NSW replaces the former *Publications NSW* site.

By improving the accessibility of published government information, OpenGov NSW supports accountability and makes it easier for citizens to interact with government. Government agencies benefit by having a permanent online repository for annual reports and other published information, allowing them to focus the content of their websites on core services and business priorities. Agencies can integrate their websites with OpenGov NSW by creating links to their publications on the site or by using its public API (application programming interface) to develop custom widgets such as lists of publications or embedded search bars.

In April 2013 the Department of Finance and Services issued a Circular relating to OpenGov NSW. The Circular directs Government agencies to upload 2012-13 and subsequent annual reports to OpenGov NSW as soon as they are tabled in Parliament and encourages agencies to use OpenGov to upload information released under *GIPAA* on an ongoing basis.

Visit OpenGov NSW at

<https://www.opengov.nsw.gov.au/>

Outlook and Capability

In 2013-2014 the Digital Archives will be transitioning from project phase to operational phase. Essential to this transition will be ensuring that the right procedures, processes, tools, services and infrastructure are in place to support an operational Digital Archives. 2012-2013 has seen the foundation work for the Digital Archive developed and tested through pilot migration projects, development of the migration methodology, process analysis, stakeholder engagement, systems development and infrastructure development. The next step for State Records in developing the Digital Archives is to build upon this foundation

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

through finalisation of pilot migration projects, systems implementation, publication of the migration methodology, availability of tools and services and finalisation of procedures and processes to support a fully-functioning Digital Archives.

With the OpenGov NSW website now launched and operating State Records will work with agencies to ensure that content for the website continues to grow. The open government initiative to increase transparency of Government and engage NSW citizens with Government activities and decision-making is embedded in both the State Plan (*NSW 2021*) and the *NSW ICT Strategy*. The OpenGov NSW website managed by State Records NSW supports the open government initiative and provides a means for achieving the goals for open government outlined in *NSW 2021* and the *NSW ICT Strategy*. With ongoing support, development and the addition of content OpenGov NSW can become the central source for NSW Government information including publications and *GIPAA* released material.

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. During 2012 the membership of the Group was refreshed. 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
- are invited to test digital records and archives solutions.

The Digital Records Advisory Group meets quarterly and in 2012-13 was comprised of representatives from:

- Ambulance Service of NSW
- Attorney General and Justice
- City of Sydney
- Clinical Excellence Commission
- Corrective Services NSW
- Department of Finance and Services
- Family and Community Services NSW
- Fire and Rescue, NSW

- Hunter New England Health
- Parliament of NSW
- ServiceFirst
- Sydney Water
- Transgrid
- Transport for NSW
- 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.

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. We conducted a compliance survey on digital recordkeeping in the first half of 2013 however the report on the findings will not be available until later in 2013. Also in this period we conducted two information surveys on current issues. These surveys are reported on below.

In this section we:

- discuss briefly the survey on digital recordkeeping
- discuss the findings of the surveys on Electronic Document and Records Management Systems and email
- highlight some case studies of NSW public offices undertaking digitisation of paper based records.

Monitoring digital recordkeeping

During the first half of 2013, State Records conducted a survey on digital recordkeeping. The survey was part of State Records' 2013 Digital recordkeeping monitoring exercise. We received responses from 279 organisations (100% of the public offices required to complete the survey). Collation and analysis of the responses received is still to be completed and a report of the findings of the survey will be produced in the second half of 2013. This report will provide a useful view on the current state of digital recordkeeping across the NSW public sector.

As part of this monitoring exercise, State Records requested verification and validation responses from organisations that had ticked 'Yes' to the following survey questions:

- Does your organisation have policies or procedures which require that digital recordkeeping functionality is incorporated into any new business system design?
- Does your organisation have policy or procedures for migrating digital records?
- Has your organisation undertaken a risk assessment of business and recordkeeping risks before using cloud-based services?

83 agencies said yes to one or all of these questions and were consequently asked to provide documentation to verify and validate their response. By the end of the validation period, 81 agencies, or 97% of those asked to provide documentation, had responded to State Records' request, which was a good result.

The verification and validation process is providing useful business intelligence for State Records. It is showing how State Records' requirements are being interpreted and deployed in the public sector and where State Records advice, guidance and examples may need to be improved or increased. The verification and validation process is also providing dozens of examples of the work public offices are doing to deploy strategic and effective recordkeeping in support of their business operations.

Survey on use of Electronic Document and Records Management Systems (EDRMS)

In August and September 2012 State Records ran an informal survey on EDRMS use in NSW government. The short survey was conducted to gather some base data about current and future plans for EDRMS use by organisations to help State Records plan for future training, advice and support. Due to its informal nature the survey did not contain definitive data about the state of EDRMS implementation across the public sector but it did provide State Records with useful information.

94% of respondents reported having an EDRMS. By far the largest proportion of respondents used TRIM (58%), with 17.5% using Objective and 15.8% using DataWorks.

In terms of percentages of staff who had access to EDRMS, 32% of respondents said that 90-100% of their staff had access to an EDRMS, 16% said 51-60% of staff had access, 11% said 61-70% had access, 9% said 11-20% of staff had access and 7% said that less than 10% had access.

In terms of percentages of staff with access who then actively use their EDRMS, 14.3% reported that 51-60% of users regularly used the EDRMS, 14.3% said that 31-40% of staff were regular users and 14.3% reported that less than 10% of staff were regular users. 9% reported that 91-100% of staff were regular users.

47% of respondents said that their EDRMS was integrated with business systems, while 53% said that theirs was not. Of those who have integrations with their EDRMS, 54% have one business system integrated and 46% have two or more systems integrated. In terms of the types of business systems that are integrated with EDRMS, 36% have property management systems integrated, 24% have financial management systems, 24% have case management systems and 16% have client management systems.

When asked 'What is your organisation intending to have as its primary recordkeeping environment in the future?', 55% reported that 'We will continue to use our current EDRMS as our primary recordkeeping environment for the foreseeable future'. 28% reported that 'We will have multiple recordkeeping environments, including EDRMS, business systems and collaborative workspaces'.

The final question in the survey asked for other comments about EDRMS use. Thirteen responses

State of public sector recordkeeping

were received, including 'Our EDRMS is one of our key business tools and enables us to perform our work effectively and efficiently', 'Our EDRMS is being implemented for the wrong reasons (eliminating paper and compliance, not better information management)', '...many systems have been implemented to get people more involved in record keeping but they typically have not made it 'easier or more user-friendly'. The strategy that we are taking is to not implement further systems but develop tools that simplify capturing metadata and empowering current systems' and 'I train users of our EDRMS and find that most 'middle' managers do not use it - they know it has value however are too busy to make the time to upload their documents. This, of course, filters to their staff...'.

The valuable information gathered through this survey exercise has been used by State Records to develop advice and training strategies aimed at improving the effectiveness of EDRMS implementation.

Survey of email management and practices

Email systems continue to be the most widely adopted government business systems and much government business information is exchanged through these systems. In order to refresh advice on email management State Records sought to assess the extent to which email management is a risk to government business and the ways in which NSW public offices are managing email of corporate value.

During April and May 2013 State Records conducted a short survey on email management practices. 43 respondents answered the survey.

The key survey findings are:

- Email systems are a core business system for many organisations, but evidence of corporate decision making and approvals is also stored in other systems (e.g. electronic document and records management systems (EDRMS), business systems etc.) Equal numbers of respondents agreed with one of these propositions, with almost one third of respondents agreeing with both.

- Email messages have business value, but their ongoing value as evidence is disputed: 62.8% of respondents considered that email messages have business value to their organisations, but only 49% considered that messages need to be kept long term.
- Email messages with corporate value are often only stored in personal email accounts, and are therefore at risk of loss or premature destruction: 81% of respondents agreed that this is the case in their organisations.
- In the majority of organisations employees routinely capture messages of corporate value using traditional methods (i.e. by capturing messages to an EDRMS or printing and filing them). However, in almost one third of organisations employees neither capture messages to an EDRMS nor print and file them.
- About half of the responding organisations have implemented an email archiving solution.

The survey also asked about email disasters, in order to assess the extent to which the inability to find email messages when required exposes an organisation to specific risks and penalties (e.g. being forced to settle or losing a legal dispute, financial penalties such as fines etc.) The results indicate that few organisations have incurred specific risks or penalties as a result of being unable to find email messages when required, with the majority of respondents (83%) advising that their organisation has not experienced an email-related 'disaster'. Very few respondents advised that their organisation had suffered a particular set back or penalty as a result of being unable to find email messages when required:

- 11% of respondents advised that their organisation has suffered a financial penalty, e.g. a fine.
- 3% of respondents advised that their organisation has been forced to settle a legal dispute.
- 3% of respondents advised that their organisation has lost a legal dispute.
- 3% of respondents advised that their organisation had to retrieve all messages that mentioned a particular word from backup tapes to satisfy a Standing Order 52 for papers.

While this data is not definitive due to its informal nature, it does provides State Records with useful business intelligence. By understanding existing business systems that are used to manage email

State of public sector recordkeeping

such as email vaults, State Records can develop targeted advice to assist with the implementation and configuration of these systems. By understanding the different levels of business risk that respondents apply to email, State Records can gauge the business value of the information contained in email systems and help agencies develop appropriate and targeted strategies for its management.

Analysis of retention policy coverage

A total of 426 public offices were analysed for the extent of the disposal coverage of their functional records. Of these, 243 public offices (57%) are covered by general retention policies.

Three ratings were applied to the remaining 183 (43%) public offices:

- Green light (75%) – these public offices have functional comprehensive coverage of their records.
- Amber light (9%) – these public offices have some functional records covered.
- Red light (16%) – these public offices have no or few functional records covered.

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

- SAS Trustee Corporation
- NSW Rural Fire Service
- Office of the Sheriff of NSW
- Public Service Commission
- NSW Aboriginal Land Council
- Barangaroo Delivery Authority
- Central Coast Regional Development Authority
- Sydney Metropolitan Development Authority
- Houses and Departments of Parliament (Legislative Assembly and Legislative Council, Departments of Legislative Assembly, Legislative Council and Parliamentary Services) and the Parliamentary Budget Office.

State Records encourages public offices to review their retention policies as appropriate. During the year NSW Treasury Corporation (TCorp) sought and obtained a full review of its retention policy. The review was timely and will ensure the policy continues to provide comprehensive coverage that meets the operational and business requirements of this organisation.



*D8 Caterpillar Tractor in sea at Cascade.
Slipped from barge (when not under D.M.R. control) in heavy surge.*

Album - construction of aerodrome
Norfolk Island - D.8. caterpillar tractor in
sea at Cascade. Slipped from barge
(when not under D.M.R. Department of
Main Roads control) in heavy surge.
Digital ID: 20013_a035-06_17266000124

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, as required.

State Records has acted on twelve instances of reported poor performance. Two of the cases are described below.

Good disposal practices

State Records investigated a possible recordkeeping issue at a NSW government health organisation following allegations in the media of patient medical records being dumped in non-secure areas. In the follow-up with the health organisation, it was found that the patient medical records had not been dumped. As a result of this issue, the health organisation has instituted better records disposal practices and training for staff in the disposal of records.

Frameworks for good recordkeeping

State Records investigated a possible recordkeeping issue at a NSW government agency after a complaint was raised by a

member of the public. Briefly, the complaint concerned whether or not the government agency was creating and capturing records; in particular, the making and keeping of file notes of meetings and discussions between the agency and external organisations or people.

State Records assessed policy, rules, procedures and training materials that would guide agency staff in the making and keeping of file note records. At the heart of this issue is whether the policy and rules issued to staff instructing that records were created and captured, in particular the creation and capture of file note records, was adequate 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 found that the necessary frameworks were in place; however suggestions were made to the agency for improvements to the frameworks for recordkeeping.



*First plane to land.
Brought mail for New Zealand troops.
Another plane dropped in parachutes
lamb, green peas and potatoes for
the N.Z. troops Christmas dinner.*

Album - construction of aerodrome Norfolk Island -
First plane to land. Brought mail for New Zealand
troops. Another plane dropped in parachutes
lamb, green peas, potatoes for the N.Z. troops Christmas
dinner

Digital ID: 20013_a035_06_17266000124

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. State Records has received funding for the Digital Archives Project up to 2012-2013, 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 our reading room, 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 room and online services.

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

Continuing interest from agencies in managing their own archives

While there is a strong desire amongst councils and universities to retain custody of, and manage their archives, few agencies (particularly local councils) are adequately resourced to meet the essential conditions for managing and making accessible their part of the State archives collection. However, we did receive serious expressions of interest in distributed management from four regional councils (Muswellbrook, Coffs Harbour, Cabonne and Wingecarribee).

Distributed Management

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 six 'distributed management' agreements in place. There are 'full' agreements covering three of the regional repositories (at Wagga Wagga, Armidale and Newcastle University), plus the University of Western Sydney; while partial agreements (covering selected records only) are in place for the Powerhouse Museum and most recently Wingecarribee Shire Council. The agreement with the NSW Police Force lapsed in early 2012;

Objectives for 2012-13

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

Achievements and highlights

- 3,067 linear metres of archives plus 2,395 plans transferred as State archives.

we are in negotiations to enter into a indefinite term. In the interim both organisations have agreed to act in good faith. Discussions with Historic Houses Trust (Justice and Police Museum) and Muswellbrook Council, concerning the implementation of a distributed management agreement are ongoing. The distributed management agreement with the University of Newcastle was renewed for an indefinite term.

Distributed Management Agreement with Wingecarribee Shire Council

On Wednesday 6 February State Records A/Director Jenni Stapleton attended the Local Studies room of Bowral Library for the opening of the Archival Collection of Wingecarribee Shire Council by Mayor, Juliet Arkwright. Under a Distributed Management Agreement with State Records NSW, Council has transferred over 750 archives from its predecessor councils to the Local Studies collection. This includes Rate books dating

back to 1886 as well as Infectious Disease Registers and burial documents.

Councils' Manager of Customer and Information Services, Andy Carnahan, noted that "There's a growing movement to return historical documents to the community.....our records staff took the initiative and worked with State Archives (State Records NSW) to enable the community to access a glimpse into the past through the documents of the day."

In opening the collection Mayor Juliet Arkwright stated that "In a year in which we celebrate the dual sesquicentenary anniversaries – or 150th birthday celebrations for both Moss Vale and Bowral – I can't think of a more fitting birthday gift for all of our Shire's residents."

In 2013/2014 it is planned to send State archives from a local school to Wingecarribee at which point it will formally become part of State Records Regional Repository Network.



Distributed Management Agreement with Wingecarribee Shire Council 6 February 2013

Public offices protect or transfer archives

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, 2012-13 saw a continuation of the general pattern of the past five years, with transfers totalling more than 3,000 metres.

136 transfers covering 123 series were received at Western Sydney. The Land and Property Information Division (LPI) of the Department of Finance and Services was again the most active public office, with the series 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 LPI, as very large series such as the Crown plans are being digitised, thus allowing the original records to be 'retired' to archival storage. 1.44 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 vital records from local councils and importantly the first transfer from a Livestock Health and Pest Authority which hold key records that document the early history of regional communities, often preceding local councils in an area.

Metres of standard format records transferred as archives

	Result 09/10	Result 10/11	Result 11/12	Result 12/13
State Archives transferred to State Records' custody	1,292	1,872	3,549	3,067
State archives transferred/added to regional repositories	28	50	82	7
State archives transferred/added to other distributed collections	n/a	131		0
Total	1,320	2,053	3,631	3,074

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 continue a whole of government digital archiving solution for 'born-digital' State archives.

Public offices protect or transfer archives

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 the repositories at Auchmuty Library, University of Newcastle, Newcastle Region Library and University of New England and Regional Archives 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.

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.

Regional Repository Forum 2012

On 10 October 2012 State Records held a Regional Repository Forum in Dubbo. The event was attended by representatives from 5 out of the 6 regional repositories as well as the A/Director State Records, the A/Manager Archives Control and the Senior Project Officer Distributed Management. The title of the forum was "Managing Collections and Copyright" and included presentations on insurance, collection valuation, acquisition/donation forms and copyright and archives.

Number of non standard format items transferred as archives

	Result 09/10	Result 10/11	Result 11/12	Result 12/13
Maps and plans	1,086	760	1,241	2,395
Maps and plans (to regional repositories)	5,000	0	0	0
Total	6,086	760	1,241	2,395

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 as funding has been provided for the Digital Archives project up to 2012-2013. 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.

Public offices protect or transfer archives



Regional Repository Forum 10 October 2012

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
Orange District Library	Orange District Hospital admission registers, 1916 - 1921
Royal National Park Regional Advisory Committee	Minutes of the Royal National Park Advisory Committee, 1979 - 1984
Member of the public	TAFE NSW oral history recordings
Member of the public	Sheriff's records, 1815 - 1912
State Library of NSW	Indexes to the achievements of Government (Public Service Board)
Albury & District Historical Society	Admission register for Roachdale and Cromer (Provisional) Schools, 1898-1912
Ms Glenda Gartrell	Papers of the Corrective Services Advisory Council, 1985-1988
Member of the public	Two volumes of forestry surveys and timber assessment books for the Urunga district, c.1918
Member of the public (via the State Library)	Correspondence relating to the Milson Island and Rabbit Island (later Peat Island) asylums, 1910 -1980
Mr Peter Tinslay	Police Charge and Summons Book, Newtown Station, 1897
Mr Peter Chin, President, Springwood Historical Society	Parramatta Gaol Photograph Description sheets, 1902 - 1924
Dubbo & District Family History Society	Goodooga and New Angledool births, deaths and marriage registers, 1894 - 1974

State Records also purchased a significant set of records from the collection of Robert Edwards for sale at Hordern House Rare Books. The records included three documents relating to prisoners from India who were sentenced to be transported to NSW and arrived in Port Jackson on the 'Eliza' on 5 July 1813 and an assignment List of 200 Male Convicts embarked in the 'Planter' for NSW, 13 June 1832.

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. Where appropriate storage is available it slows further deterioration of the archives.

Metres of standard format records in archival custody

	Result 11/12	Result 12/13
Archives in State Records' custody	66,726	69,711
Records to be appraised in State Records' custody	3,519	3,519
Total in State Records' custody	70,245	73,239
Archives in regional repositories	2,420	2,427
Total in archival custody	69,117	75,657

Note: These figures do not include the 461 metres of Parliamentary archives held by agreement with the NSW Parliament.

Objectives for 2012-13

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

Achievements and highlights

- Digital Archives project – funding received and project ongoing.
- Priority items received conservation treatment .

The State archives collection continues to grow

The State archives collection increased by 3,067 metres of standard format archives during the year, bringing the total collection to more than 75,657 kilometres.

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).

The State archives collection is appropriately stored and preserved

Digital archives preservation

Archives Control and Management staff attended a number of meetings during the year in relation to planning for digital preservation and worked in teams with the Digital Archives project staff on three of the pilot projects as part of building internal skills and capacity.

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 Land and Property Information (LPI) 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 requested by government agencies, a range of private individuals and groups, regional repositories and local councils on 16 occasions.

During the year, agency staff, TAFE students, Kingswood primary school, U3A and family history groups took the opportunity to visit the conservation laboratory on 29 separate occasions, highlighting the role State Records has in the long term preservation of State archives.

Macro-preservation challenges

Constant monitoring of the environment and storage areas is part of the routine of managing potential mould and pest threats. A database to document the results of pest trapping is being used to improve our knowledge about pest movements and possible infestations. This is designed to allow intervention in real time. Regular formal meetings of Archives Control staff and the Facilities Manager has aided the integration of pest management across State Records' facilities.

The IAB conducted an audit of the physical storage of the State archives at the Western Sydney Records Centre. Detailed follow-up of the audit results have been postponed until after the completion of the valuation of the State archives collection.

Conservation provides ongoing inspection of individual items and incoming batches of material for the GRR when requested, with 186 inspections during 2012-13.

Special format storage

Through the IAB audit State Records identified special formats as being at risk due to a lack of specialised storage. As a result the development of a business case was initiated to seek funding for Stage 7, a building to house the storage of special formats such as maps, oversize items, film and glass plate negatives. Stage 7 will also incorporate a temporary records store which will be funded by the GRR. The development of the business case was set aside until the completion of the collection valuation.

The State archives collection is appropriately stored and preserved

Items receive conservation treatment

During 2012-13, 326 fragile items received treatment to enable access for a range of activities. Agency retrieval saw 595 files receiving treatment prior to despatch, the majority being for the Department of Family and Community Services. 40 previously un-issuable items were made available for researchers and condition assessment advice was provided when required by the reading room.

The growth of digitisation projects has seen conservation increasingly involved in the assessment of items, their preparation and/or treatment for copying. Agencies are engaging the GRR to digitise State archives and all State archives series copied are inspected and assessed first. Inspection of NRS 4335 Public Building plans prior to digitisation continued. This year 61 building plans were treated out of the 90 inspected. As part of the continuing digitisation project by Land and Property Information (LPI), of the 5,500 Crown Plans held by State Records This year over 715 plans have been assessed, of which 467 required treatment.

Conservation input has been required for a variety of in-house displays and digital galleries on the State records website including the 1942 gallery, a gallery developed to commemorate the first crossing of the Blue Mountains by Europeans, a gallery to mark Canberra's centenary celebrations and unusually 48 State archives featuring threads or fabrics for a History Week gallery.

The valuable contribution of our volunteer program has seen progress in the completion of 11 more boxes of Deceased Estates files being cleaned and rehoused for easier access. This work can be very time consuming. Also our volunteers have processed and rehoused another 7 volumes of Colonial Secretary's In-letters.



242 Corner Botany and Henderson Roads
Digital ID: 20224_a038-000148

Outlook and capability

We anticipate an increasing involvement with assessing, preparing and treating items required for online gallery and digitisation projects, thus making available a wider range of archive materials to a growing user base. 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 backlog.

Objectives for 2012-13

- 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 485,592 record items discoverable online.

Achievements and highlights

- More than \$30,000 distributed as grant funding to regional repositories for documentation projects.
- 140,161 record items catalogued, bringing total discoverable online to 962,398 record items.

Progress with documentation

A project to document the administrative history of courts of petty sessions (active from 1832 to 1984) continued in 2012-13. Project goals were to complete administrative history notes and relevant links for existing agency registrations which had little or no detail and to track responsibility for record series for courts which have since closed. The courts of petty sessions project was completed in 2012-13 with over 430 agency registrations expanded and linked to their successor courts. It is anticipated that this project will provide the context necessary for series registrations of court records once the court disposal project is completed. Other context-related work was undertaken as required, however the main emphasis for the year was on collection valuation.

The State archives collection is catalogued and documented

Minimal progress with series registration

The detailed internal review of collection documentation completed during 2009-2010 identified the large backlog of documentation work that has built up over the past decade. Due to most archivist staff resources in Archives Control being re-directed to the collection valuation there was minimal progress with series registration during the year.

Archivists at Western Sydney have documented a number of significant series during 2012-13 including: NRS 20017 War files [Department of Railways], c.1939-c.1951; NRS 20297 Evaluation of services – audio cassettes [Department of Youth and Community Services], c.1980-c.1981; and NRS 20297 Personnel records of the Senior Executive Service [Department of Education], 3 Jul 1970-12 Nov 1991.

'Sentenced beyond the Seas: Australia's early convict records' digitisation project

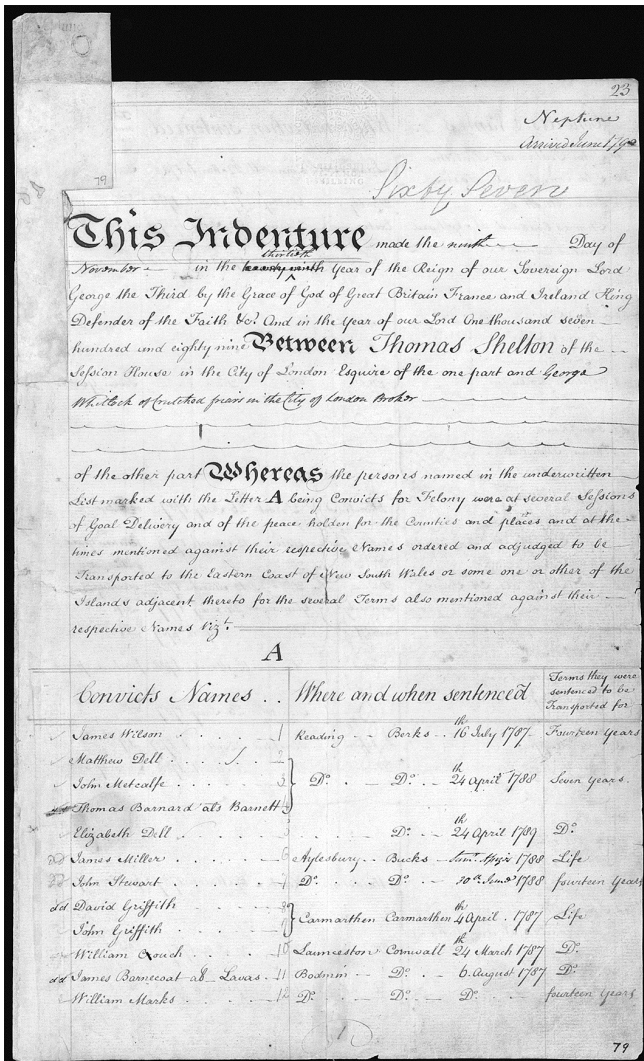
State Records NSW holds the earliest convict records in Australia. Their significance has already been acknowledged with a UNESCO Memory of the World citation in 2007. State Records NSW's digitisation project *Sentenced beyond the Seas* for the first time makes available colour digital images of the early convict indents from 1788 to 1801 through State Records website. *Sentenced beyond the Seas*, features the series *Convict Indents First Fleet, Second Fleet and ships to 1801 (NRS 1150)* and contemporary indexes known as the *Alphabetical Indents, 1788-1800 (NRS 12188)*. There are over 850 digital images included in the project. The comprehensive Early Convict Index includes over 12,000 names which appear in the records. There are links from each entry to the digital images for the ship's indents and/or the *Alphabetical Indents*. The digitisation project is State Records free gift to the people of Australia and the world and marks the 225th anniversary in 2013 of the arrival of the First Fleet at Sydney Cove on 26 January 1788. The project went live on our website in December 2012 in time for Australia Day 2013.

The project commenced in 2010 with the in-house digitisation of the *Convict Indents* in NRS 1150. The project co-ordinator (Janette Pelosi, Senior Archivist, Context and Documentation) undertook both archival and historical research to provide context to the digitised records. Cooperation from partner institutions The National Archives (United Kingdom), the National Library of Australia and the State Library of New South Wales allowed the parts of these significant records not held by State Records NSW to be digitally reunited. A key concern was adherence to archival principles in the online display of the documents. These principles are respect for provenance (who created the records) and for original order (how the records were kept and used). Respect for provenance has been achieved by providing links to series and their creators in our *Search* catalogue. Respect for original order is shown by linking to the images as documents viewable page by page from the List of ships web page.

A number of publications promoted the project. Among these were: '*Sentenced beyond the Seas: Australia's early convict records*' in *Descent: journal of the Society of Australian Genealogists* (December 2012, pp.155-163) which promoted the project to family historians. *Inside History Magazine* (Jan-Feb 2013, pp.56-58) 'Convicts in Colour' used the story of convict fraud to promote it. An exhibition of selected original convict indents was held at NSW Parliament on Australia Day 2013 which was view by over 2,000 people.

The State archives collection is catalogued and documented

Series and context documented



Convict indenture, Neptune,
9 November 1789
State Records NSW: NRS 1150,
[SZ115 p.79]

	Approved 2012/13	Total at 30 June 2013
Series in State Records' custody	3	14186
Series in regional/ distributed custody	32	1573
Total series approved*	35	15759
Agencies	707	4,257
Persons	1	185
Portfolios	0	284
Ministries	0	94
Organisations	0	64
Activities	0	182
Functions		

* Includes split series held at Western Sydney and Mitchell Library; or Western Sydney and regional repositories. Series approvals for 2011/12 include series which were previously Concise Guide registrations and have now been fully registered, in addition to 'new' approvals.

The State archives collection is catalogued and documented

Regional archives being documented

Documentation of regional State archives was a continuing priority for 2012-13. The University of New England had a strong year registering 66 series and 66 consignments. Newcastle Region Library re-initiated its documentation program, registering 4 series. Charles Sturt University and State Records collaborated in developing generic descriptions for Lands records which will increase the efficiency of the documentation process. Auchmuty Library at the University of Newcastle is continuing its project to arrange and describe their extensive collection of plans from Wangi Wangi Power Station, a heritage listed site of vital importance to the history of the region.

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 (\$39,033 was distributed in 3 grants). These grants have made a major contribution to the cataloguing of regional State archives since funding commenced in 2001. All grants this year were directed toward collection documentation or arrangement and description.

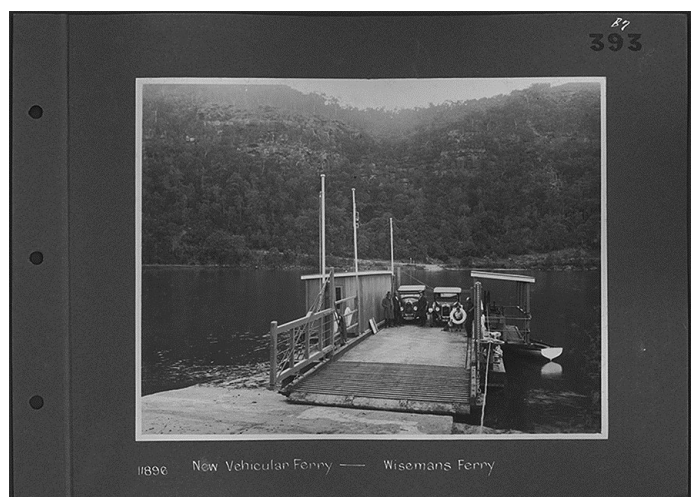
Funds could not be spread more widely across the network, as the overall budget was limited, and several repositories were still in the process of completing projects funded in previous years.

Major boost to item documentation

At 30 June 2013, 962,398 entries relating to record items were available through our online catalogues *Archives Investigator* and *Search*; an increase of 140,161 items over the year. The majority of these items resulted from the transfer project undertaken by the GRR on behalf of the Supreme Court of Probate packets (NRS 13660) and Divorce papers (NRS 13495). Other transfers of note included Land and Property Information records, Premier and Cabinet papers and the staff cards from the now defunct Electricity Commission from Eraring Energy.

Grants to regional repositories

Repository	Project	Grant
University of New England and Regional Archives	Documentation of Department of Education records	\$15,534
Charles Sturt University Regional Archives	Documentation of local government archives	\$15,534
Auchmuty Library, University of Newcastle	Ongoing appraisal and description of Wang Wangi Power Station Plans	\$7,965.93
Total		\$39,033.93



New vehicular ferry—Wiseman's Ferry
Digital ID: 20224_a038-000230

The State archives collection is catalogued and documented

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

	Result 12/13	Target 12/13
Record items catalogued in year	140,161	30,000
Catalogued items discoverable online	962,398	852,237

* Does not include record items available separately on the website. Not all items catalogued are discoverable online.

Valuation of the NSW State archives

State Records had its State archives collection valued for the first time in 2011-12 at \$938,429,306.00. The audit opinion on State Records' prior years financial report was qualified on the basis that it was not possible to obtain all the information required to form an opinion on the existence and values of the State archives.

To remove the qualification, a valuation of the State archives was undertaken in the current fiscal year. The State archives collection is valued at \$824,165,032.00, using a fair value as defined in the Treasury Policy *TPP07-1-Accounting Policy: Valuation of Physical Non-Current Assets at Fair Value*.

The primary focus of the Archives Control program for 2012-13 was to provide sufficient information for the valuer to carry out a more thorough valuation and for the valuation to withstand audit.

The major task was to create a detailed Register of series listing very consignment of every series in one document. The register of series included details on physical format and measurements of size or counts of items as appropriate. The size of the task – over 75.6 kilometres of archives across 11 locations in over 24,000 series – was considerable. Staff from across all State Records programs assisted and staff in the Regional repositories and distributed management sites also played

significant roles. Ultimately the size of the task and the time frame meant that the Register of series was closed in early July with 22,171 series complete. The 22,171 series covered:

Type of archive	Quantity
Volumes	183,551
Boxes	305, 739
Maps/plans	1,512,646
Images	893,167
Non paper formats	23, 507
Objects	71

These types of archives were used in the stratification of the collection prior to sampling for valuation purposes. Type series were also used in the stratification. These are series that are produced by a number creating agencies in the same format documenting the same sorts of transactions. The type series are Police Record of occurrence, Police charge books, School records, Crown Land agent records, Judges notebooks, Mining Warden volumes, Gaol records, Court of Petty Sessions records – Depositions, Court of Petty Sessions records – volumes, Parish, county, town and village maps. There are multiple series for each of these types.

A Register of Iconic State archives was produced guided by a Policy on Iconic State archives. These State archives were all valued.

These various Registers were then closely tested to ensure the attributes and quantities of each series and then physically verified and measured against the existing control records.

Following the completion of the Audit Office's review of the Valuation the qualification of State Records accounts has been removed however further work will need to be done. The methodology around the creation of one Master Register will be clarified, all existing data will be further tested for completeness and accuracy

The State archives collection is catalogued and documented

and policy development around the Valuation will be refined in the coming year.

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.

Progress has slowed due to the Senior Archivist,

Context and Documentation's involvement with both the *Sentenced beyond the Seas* project and the collection valuation. During the year we:

- assigned all Colonial Secretary's correspondence items to specific series (such as NRS 897 and NRS 905 *Main series of letters received*, and NRS 898 and NRS 906 *Special bundles*);
- identified additional special bundles;
- identified accessions with significant Colonial Secretary's content; and
- updated the Colonial Secretary's Main series database with revised and additional content.

Outlook and capability

The findings of the collection documentation review in 2009-2010 and the knowledge gained as preparing the Register of series for the Collection Valuation will shape our priorities in coming years; in particular the need to keep up with cataloguing and documenting new archives as they are transferred to our custody, to make inroads into the substantial backlog of uncatalogued archives, and to increase the number of record items discoverable through our online catalogue. Much of the work necessary for the Collection Valuation will be able to be reused for broader collection management purposes but it did reduce the work carried out throughout all areas of the Archives Control program. This coupled with vacant positions and the inability to back fill some positions while their occupants were undertaking higher duties restricted progress in all areas.

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.

The State archives collection is catalogued and documented

NSW Archives Collection Valuation 2013

Peter Tinslay, Valuer

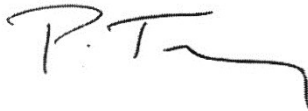
CERTIFICATE OF VALUE

Dates of inspection **May to August 2013**

Date of Valuation **30th June 2013**

**It is my opinion that the Fair Value of the collection as at
30th June 2013 is assessed at \$825,725,000
(rounded to the nearest thousand dollars)**

**(EIGHT HUNDRED AND TWENTY FIVE MILLION SEVEN HUNDRED
AND TWENTY FIVE THOUSAND DOLLARS)**



Peter Tinslay, Valuer
Immediate Past President, Australian & New Zealand Association of Antiquarian
Booksellers, Member, International League of Antiquarian Booksellers.
Accredited to value Antiquarian & second-hand books, manuscripts & archival
material, printed ephemera, Australian & European bookplates, Australian prints
and historical paintings under the Australian Government's Taxation Incentives
for the Arts Scheme.

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.

Increase in access directions

Eight 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 49. This met our target of eight public offices making comprehensive access directions.

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.

Objective for 2012-13

- 49% of public offices have comprehensive access directions in place.

Achievement

- 49% of public offices have comprehensive access directions in place.

Number of public offices making access directions

	10/11	11/12	12/13
Partial coverage	3	1	2
Comprehensive coverage	16	9	8

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.

Access directions cover all records kept more than 30 years

Case study Pilot migrations for the Digital Archives provided opportunities to apply the access provisions of the State Records Act in an electronic environment. The database of business name registrations previously created and maintained by the Office Fair Trading required information publicly available before migration to continue to be accessible while maintaining a longer finite closure period for personal information.



J145 -0 S.R.5 State Road 5—Great Western Highway. Blue Mountains Shire.
Hazelbrook Ramp Deviation. Before construction.
Digital ID: 20224_a038_001539

Outlook and capability

We continue to face challenges in encouraging public offices to make access directions for all their records over 30 years old. The *Government Information (Public Access) Act 2009* continues to contribute to 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 as the type of records made subject to open to public access directions. In addition we will continue to investigate other ways to increase access to State archives, including consulting stakeholders on options such as the reduction of the 30 year open access period. We will continue to move for a reduction in the demands placed on public offices by seeking to remove the obligation to renew closed to public access directions every five years.

Use of the State archives collection 2012-13

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 room 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.

The Archival Research Fellowship which State Records has sponsored was reviewed by Arts NSW. The review recommended that NSW Archival Research Fellowship be discontinued.

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:

- *Health, medicine, and the sea: Australian voyages, c. 1815-1860* by Katherine Foxhall. Manchester, UK: MUP, 2012.
- *A World of popular entertainments: an edited volume of critical essays* edited by Gillian Arrighi and Victor Emeljanow. Newcastle upon Tyne, UK: Cambridge Scholars, 2012. (contains essay by Janette Pelosi)
- *The Fig tree : journal of the Manning Wallamba Family History Society Inc. Taree, no. 124*, October-December 2012
- *Newcastle's crown jewel: from convicts and coal to the Crowne Plaza Terri* McCormack. Crows Nest, NSW: CL Creations, 2011.
- *Thomas and Charlotte Robinson and their families 1780-2010: Brandon Grove to Bangalow and beyond* by Lyndy Cracknell. North Nowra, NSW: Lyndy Cracknell, 2012.
- *Descendants of David Hawkins: family register* by Ken Brice.

Archives serving a variety of purposes

- TV series *Tony Robinson - Time Walks*
- TV series *Who's Been Sleeping in My House*
- TV series *Who do you think you are?*
- School text book *Connect with History, 9 -*
- Documentary on the Sydney Historian and Folklorist, Warren Fahey
- *Irish documentary, An Dubh in Gheall* (To pull the wool over one's eyes)
- Student documentaries, Australian Film and Radio School
- Publication for the Centenary of Daceyville
- Publication on Fire Brigade Officers
- Interpretation panels, Garden Island
- One River Art Exhibition
- Tedx talk
- Australian Emergency Management Knowledge Hub website
- Squizzy Taylor Exhibition at Old Melbourne Gaol
- Wall panels at a Youth Hostel Australia building at Mt Buller, Victoria
- History of Woolgoolga
- Glorious Days: Australia, 1913, Exhibition, National Library of Australia

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 2012-2013, a total of 7 original items were on loan:

- National Museum of Australia - "Landmarks" (1 item); and
- NSW Parliament House - "Sentenced beyond the Seas" (6 items).

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 community access points located around NSW and third party websites.

We also provide email and telephone enquiry services for information about the collection and how to use it. These services continue to be popular with researchers with a 16% increase in enquiries received in 2012-13.

We see online services as the primary channel for providing access to the State archive collection for both the public and government. 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. To this end State Records will continue to work collaboratively with third-party providers to enhance access to our collection online.

Objectives for 2012-13

- Enhance services to the public through our website.

Achievements and highlights

- 81,257 name added to online indexes.
- 3,246,654 unique visitors to our website.
- 9,944 archival research and related enquiries handled by post, email and telephone.

Online photocopy order service

From July 2012 we changed our reporting for our online photocopy order service. We now report the number of individual items copied. Previously we reported the number of orders received. Orders can consist of requests for many items. Due to the change, a variation in online photocopy numbers from last year is not included in this report.

Copy orders from the public

	2011-12	2012-13
Orders placed online	3,792	5,472
Orders received by mail	517	978
Copying orders from the public	4,309	6,450

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 copied and original records.
- ⇒ Six regional repositories (in Wagga Wagga, Newcastle, Armidale, Wollongong, and Broken Hill) - access to regional archives and microfilm copies of popular archives.
- ⇒ 34 access points (APs) in regional and rural NSW, mostly at public libraries - access to microfilm copies of most popular archives.

The State archives collection is widely accessible to people and Government

Website visitors increase

An estimated 3,246,654 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.
- 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.

Reading room services

The Western Sydney Records Centre reading room continues to be popular with researchers. There was a 22.7% increase in original records issued and a 3.7% increase in the number of readers using originals in the reading room.

Reading room visitors have access to a variety of equipment which allows them to make digital copies of original records, and from microfilm, microfiche and aperture cards.

During the period from Monday 3 June 2013 until Friday 14 June 2013 (inclusive), public access to our Western Sydney Reading Room was limited while we completed a stock take to finalise the Collection Valuation. Public access to our reading room was only available Monday to Friday (9.00am to 1.00pm) and Saturday (10am to 4pm).

Written enquiries received after 27 May 2013 were not processed until after 14 June 2013. Copy orders lodged while visiting the reading room during this period were mailed free of charge if they were not fulfilled on the day.

Interests of researchers

Topics of interest

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

- Tunnels under Sydney
- Sterility Clinic, Crown Street Women's Hospital
- George Fitzpatrick, Australia's 'pioneer' public relations practitioner
- Centenary of Daceyville
- Formation of the Medical Board at Port Philip (Victoria)
- Centenary of Canberra
- Royal Visit, 1954
- Anzac Buffet, The Domain, World War I
- History of Schools in present day ACT up to 1913
- Frank Butler, murderer
- Sydney Opera House Building materials

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 ascertain disease inheritance.
- Identifying lost family through the records of child removal in the Aborigines Welfare Board records.

The State archives collection is widely accessible to people and Government

Archives Outside blog

Archives Outside is a blog established by State Records 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.

2012/2013 was an exciting year for the blog as it developed a relationship with radio station *1233 ABC Newcastle* and the *Lost Newcastle* Facebook group who featured a number of our Newcastle based "Moments in Time" posts in which blog visitors help to date and locate photos in our archival collection. It is a very interactive series and we obtain useful information which in turn enhances our catalogue. In 2012/2013 we also featured a series of "How-to" posts on digitising a collection for a small organisation which were very favourably received. The blog also collaborated successfully with a number of State Records initiatives such as the "Sentenced beyond the Seas" exhibitions and the online digital gallery *Australia and War - World War II*.

Digital Galleries

Westward, Ho! A trip over the Blue Mountains

To coincide with the Bicentenary of the first European crossing of the Blue Mountains in 2013 we developed a Digital Gallery to showcase records in our collection relating to the crossing and the expansion and development that followed.

Travel and Adventure

This features a series of albums containing brochures and advertising pamphlets issued or distributed by the NSW Government Tourist Bureau. The albums document the major role played by the railways in facilitating and promoting tourism. They contain guides to locations in New South Wales, information on rail tours, samples of invitations and Christmas cards issued by the Railway Commissioner, menus, commemorative programmes and miniature versions of advertising posters relating to the railways, tour schedules, brochures, maps, tickets, timetables, day trips, and school cruises for boys and girls.

War and Australia

War and Australia is a gallery highlighting New South Wales' involvement in a number of military conflicts during the nineteenth and twentieth centuries, including Sudan, Boer War, World War I, and World War II.

Meeting service guarantees

	2011-12	2012-13
Responses to written enquiries in 20 working days	98%	98%
Completion of copying orders in 20 working days	98%	98%

The State archives collection is widely accessible to people and Government

Enquiry services remain popular

State Records' public enquiry service continued to be popular. 7,535 enquiries by email and post were received and responded to during the year, an overall increase of 1.4% on last year. Telephone enquiries increased by 18%.

202,749 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 202,749 name index entries

were added to our own online indexes. New indexes added to our website in 2012-13 included:

- Returned Soldiers Settlement Loan files
- Index to Child Care and Protection
- Court records - Governor's Court case papers, 1815-1824
- 'Sentenced beyond the sea'; Early Convict records, 1788-1801

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 1,616,283 index entries online.

Public enquiry service

	2010-11	2012-13	2012-13	Variation (%) from last year
From the public				
Written enquires (letter/fax)	900	678	1,112	+ 64.0%
Written enquiries (electronic)	6,530	6,857	8,724	+ 27.2%
Written enquiries total	7,430	7,535	9,836	+ 30.5%
Telephone enquiries	4,062	4,793	4,472	- 6.6%
Total	11,492	12,328	14,308	+ 16.0%

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.
- ⇒ 90 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 divorces.
- ⇒ Online enquiry and copy service available to the public and remote clients, offering research advice, guidance and an online payment facility.

The State archives collection is widely accessible to people and Government

Reading room visits

There were 28,133 visits to the Western Sydney Records Centre. The decrease in the number of total visits to our reading room is a result of the closure of the Sydney Records Centre. The figure is now only for visits to our one reading room at the Western Sydney Records Centre.

Access to State archives in the reading room 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. 1,370 Readers Tickets (valid indefinitely) were issued during the year.

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

There has been a 22.7% increase in the use of original items and in the number of readers (3.7%) using original records in the Western Sydney reading room. The increase in the use of original items could be attributed to more indexes to original records becoming available, particularly for probate and divorce records.

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. The reading room at the Western Sydney Records Centre is wheelchair accessible.

Researcher satisfaction

Service	
Staff assistance	97%
Reading room computer resources	99%
Indexes	94%
Copy service	93%
Pre-ordering records	93%
Retrieval of original items	95%
Digital galleries	93%
Microfilm reader/printers	96%

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 publications *Archives in Brief* and the e-newsletter *Now&Then*.

As with previous surveys researchers were less satisfied with *Archives Investigator*, our online catalogue. In response State Records will continue to provide *Archives Investigator* seminars. We have developed an online tutorial on using *Archives Investigator*.

Reading room visitors

	2008-09	2009-10	2010-11	2011-12	2012-13
Western Sydney	29,804	23,821	27,200	28,133	28,092
Sydney	24,663	28,765	21,815	19,280	N/A
Total	54,467	52,586	49,015	47,413	28,092

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

	2011-12	2012-13	%Variation
Original archives issued	22,125	28,503	22.3%
Readers using original items	5,158	5,348	3.7%
Average number of original items per readers	4.5	5.3	17.8%

The State archives collection is widely accessible to people and Government

In addition we will be promoting the API as an alternative search option.

A total of 111 people answered the survey a considerable decrease on responses received to previous Satisfaction Surveys. We will investigate why the number of respondents fell and amend the survey as appropriate.

Charles Sturt University Regional Archives has strong demand

Demand in 2012-13 for regional State archives continue to be highest in Wagga Wagga at the Charles Sturt University Regional Archives. In the year under review there were 4,349 reader visits and 2,223 issues of original (uncopied) records at the centre. State archives originals issued in the search room amounted to 460 items. State archive originals recalled amounted to 182, and three Reader's Tickets were issued.

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. 2,226 requests were made for archives, with 1,923 items returned or copies supplied to the relevant agencies entitled to recall them.

There were a number of requests during 2012-13 from NSW government agencies for digital copies of State archives. These were NRS 572 Interviews with Fire Brigade officers - Conversion of 11 audio tapes into digital format for Fire and Rescue NSW; digital copies of records from Newcastle Dockyard accessions A5603 and A3580 for Department of Finance and Services and the transfer from the digibetacam master copy into Quicktime Pro Res 422 format of "My Handy Kitchen" (NRS 18657 Department of Agriculture films) for Sydney Living Museums.

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.

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
- ⇒ Legal professionals

The State archives collection is widely accessible to people and Government

Total number of images added to database during 2012-2013

2,951 digitised records were added to BOS, State Records' archives control system. Of these 2,643 were of photographic material and will appear in *Photo Investigator*. The remaining 308 images were of non-photographic material such as documents, maps and plans and will be accessible through *Archives Investigator*.

This will bring the total number of images available on Photo Investigator to 10,958.

2,643 photographs digitised

2,643 digitised photographs were added to BOS. Digitised photographs are available online to the public through *Photo Investigator*. These additions were from State archives created by the former Department of Main Roads NRS 20012 Photograph albums relating to Northern Territory road works, NRS 20013 Photograph albums relating to the construction of an aerodrome on Norfolk Island, NRS 20014 Photograph album relating to the construction of the road between Duaringa and Charters Towers, Queensland and NRS 20224 Photographs of metropolitan, country roads ferries etc., and miscellaneous operations, New South Wales. Photographs from NRS 17420 State Rail Authority Archives Photographic Reference Print Collection and NRS 9873 Photographs of doctors, series already appearing in *Photo Investigator*, continued to be digitised and added to *Photo Investigator*.

We currently have 2,201 images on our Flickr page and this continues to be added to on a weekly basis. By adding digital images to Flickr the public are able to interact with and comment on collection items. This year also saw State Records become a member of the Commons on Flickr. The Commons is designed specifically as a mechanism for public archives and institutions to share their photographic collections.

Significant plans and documents digitised

During 2012-2013 digitisation of NRS 13886 Surveyor General sketch books continued. 308 plans from the series NRS 13886 have been digitised and added to BOS. NRS 4333 Plans of Public Buildings continues to be digitised with 674 images created this year.

A digital copy of an estray from NRS 2965 Copies of letters sent [Dungog Court of Petty Sessions] 1839-1951 has been made available in the Reading Room. The estray is part of the National Library of Australia's collection. The NLA provided State Records with a digital version.

Another significant project was the digitisation of tourist ephemera from NRS 16410 Albums of travel and advertising brochures resulting in a further 1273 images being available through *Archives Investigator*. Selected images from this series were used to reconstitute the *Romance and Industry* exhibition in the foyer of the Western Sydney Records Centre. This exhibition was first staged in 2004-05.

Selected priority records microfilmed

A significant number of records were microfilmed and made available to the public during 2012-13. These included NRS 19918, Lawrence Court of Petty Sessions Bench books, 1865-1902, two estray volumes returned to official custody by Lawrence Historical Society, and an estray from NRS 13210 Sheriff's Letter Book, 1829-1830, held by the Veech Library at the Catholic Institute of Sydney. Also microfilmed were NRS 5283 Registers of free railway passes for the unemployed, 1880-1892 and NRS 10897 Registers of Chemists and Druggists of New South Wales, 1876-1895. Various series from Agency 460, Parramatta Training School for Girls and Agency 461, Shaftesbury Reformatory were also microfilmed for the years 1867 to 1942. In addition the indexing and microfilming of photographic gaol books continued during 2012-2013. This year 5 volumes were indexed and microfilmed these were NRS 2496 [3/6004-6008] Photograph description book [State Reformatory for Women, Long Bay].

The State archives collection is widely accessible to people and Government

First Fleet exhibition at NSW Parliament House

State Records *Sentenced beyond the Seas* exhibition at Parliament House was held for one day on Australia Day 2013. It joined the Parliament House Twenty Five: Stories from Australia's First Parliament exhibition which was on view. The *Sentenced beyond the Seas* exhibition featured Australia's earliest convict records from the Colony of New South Wales. The display marked the arrival of the First Fleet at Sydney Cove 225 years ago on 26 January 1788. It took pride of place in the Premier's corridor at Parliament House and was a highlight of the State Records Authority's project entitled *Sentenced beyond the Seas*. The display of selected original convict indents, dating back to December 1786, was viewed by about 2,000 people who visited Parliament House on Australia Day. It was the first time the original First Fleet convict indents had been displayed since 1988. The exhibition highlighted records of world significance that were inscribed on UNESCO's Memory of the World International Register in 2007. The exhibition attracted favourable publicity and a positive response from the public.

Digitisation also produced a number of photographic display panels which were exhibited alongside the touring version of *In Living Memory* at the Fountain Court Gallery Parliament of NSW Tuesday 4 - Thursday 27 September 2012. The panels depicted the kind of work State Records does as well as highlighting some significant archives held by State Records NSW.

Small exhibitions using copies of State archives in the foyer of the Western Sydney Records Centre continued. These exhibitions highlight digital galleries on the website such as *Westward, Ho! A trip over the Blue Mountains* coinciding with the Bicentenary of the first European crossing of the Blue Mountains in

2013 and *Travel and Adventure* featuring a series of albums containing brochures and advertising pamphlets issued or distributed by the NSW Government Tourist Bureau.

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. Third Party Agreements have been signed with Ancestry.com and Find My Past. 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. All agreements have been non-exclusive.

Increasing use of material through Commons Copyright regime

State Records has been moving toward a less restrictive copyright regime. One result of this move has been the admission of State Records to The Commons on Flickr. The Commons provides the public with access to a world photographic archive that allows for tagging, commenting on and reuse of images. To be a member of The Commons State Records has only posted images without known copyright restrictions to Flickr.

Further changes have been the move to an attribution only of notice for datasets available through the application programming interface (API). This makes the access and use of the datasets the same as material available on OpenGov. State Records participated in GovHack 31 May- 2 June 2013. The datasets in GovHack included our online catalogue and the index to Soldier Settlement records.

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.

The State archives collection is widely accessible to people and Government



Crowd outside NSW Parliament House, First Fleet exhibition, 26 January 2013

Communities know about and value the State archives collection

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.

Objectives for 2012-13

- 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 81 outreach events, attended by 2,238 people.

Extensive public program achieved

In 2012-13, 2,238 people attended a total of 81 events.

Onsite activities are held at 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 33 groups, made up of 468 members, visiting the Centre in the reporting period.

	2012-13	2012-13
Onsite	1,521	566
Sydney	991	595
Western Sydney	225	148
Regional and rural NSW	1,798	929
Canberra	124	0
Outside NSW	0	0
Overseas	0	0
Total	4,659	2,238

Numbers of public program participants

Communities know about and value the State archives collection

Managing Local Collections Workshop

State Records in partnership with the Royal Australian Historical Society developed and presented the *Managing Local Collections Workshops* in Sydney and regional NSW between July and December 2012. The seminars offered societies and groups basic advice on: storage; collection policies; arrangement and description; preventative conservation; databases; digitisation and access policies.

Serving the Indigenous Community

State Records continued to provide services for the Indigenous Community in line with *Two Ways Together*, the NSW Government's Aboriginal Plan, 2003-2012.

The presentation *State archives relating to Aboriginal people* was presented to 16 Bankstown Elders on 4 April 2013 followed by a tour and inspection of records.

As part of a project run through Kempsey TAFE to research the history of the Dhanggati people of the Macleay Valley 12 Dunghutti Elders were provided an introduction to State archives relating to Aboriginal people, a tour and an opportunity to access relevant records, including school records and the photographs of the Aborigines Welfare Board (AWB). The group was accompanied by Kempsey high school students undertaking Aboriginal Studies. The group ordered over 100 copies of photographs from the AWB collection.

State Records has met with the Kinchella Boys Home Corporation, Aboriginal Affairs NSW, and Link-up to investigate collaborative projects and procedures. These include the use of *In Living Memory* material and how to provide information and access to records relating to Aboriginal people in the absence of an Aboriginal Liaison Officer.

***In Living Memory* NSW tour**

The 25-panel suitcase version of the exhibition was displayed at the following venues:

- The 100th anniversary of Cootamundra Girls' Home Saturday 11 - Sunday 12 August 2012
- 'The Stolen Generation, It's not a Myth! Symposium', Campbelltown Civic Centre, 19th October 2012
- Charles Sturt University from 18 to 24 March as part of a Social & Emotional Wellbeing forum hosted by the Aboriginal Health and Medical Research Council
- The ACT Office of Aboriginal and Torres Strait Islander Affairs from 1 May to 3 June.
- The touring version was on display at the Fountain Court Gallery Parliament of NSW Tuesday 4 - Thursday 27 September 2012

Photographs from the Aborigines Welfare Board collection were included in *No Names, Just Numbers: in the shadow of the Kinchella Boys Home* exhibition organised by the Kinchella Boys Home Corporation, Dhanggati Aboriginal Art Gallery and Kempsey Shire Library from 4 May to 2 June.

Communities know about and value the State archives collection

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.



Blaze Marking Party

Digital ID:20012_a036_06_17260000148

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.

Website Activity 2012-13

Website	Visits	Page Views
Main website	1,552,582	34,251,201
API Search	144,481	2,781,823
Archives Outside blog	393,539	2,299,524
eLearning	11,285	142,256
Digital Gallery	109,385	790,311
Future Proof blog	189,146	1,130,265
Mariners & Ships	268,217	1,813,122
Indexes Online	333,410	5,379,841
Investigator Search	199,308	2,763,864
Open Data	22,106	96,408
Soldier Settlement	23,195	329,604
TOTAL TRAFFIC	3,246,654	51,778,219

Corporate information and communications

Social Media Activity 2012-13

Flickr	
Images uploaded	2,174
Contacts	741
Images "Favourited"	1,378
Images commented on	1,336
Images in Flickr groups	1,066
Twitter	
Number of tweets	3,051
Followers gained	2,993
Facebook	
Likes	1,073
HistoryPin	
Channel Views	2,886
Fans	20
Pins	41
Tours	5
Collections	14
Google+	
Circles	223
RSS Subscribers	
Archives Outside	542
CAARA	38
Futureproof	383
Now & Then eNewsletter	774
Soldier Settlement	N/A
State Records Events	47
State Records News	228
YouTube	
Subscribers	99
Video Views	22,847

Trends

Indicator	2008/09	2009/10	2010-11	2011-12	2012-13
Metres of non-current records in storage	413,320	434,232	467,876	490,750	517,566
Metres of standard format records in archival custody	65,919	67,239	69,117	72,665	75,657
No. of catalogued record items discoverable online	269,832	306,393	455,592	822,237	962,398
No. of archives information access points	42	42	42	42	42
Metres of non-current records accessioned	33,630	36,088	51,975	45,300	47,600
No. of file retrieval operations	327,122	316,037	370,045	354,150	360,440
Total client-facing operations	-	624,452	840,233	883,019	898,200
No. of disposal policies approved	23	16	12	18	14
Metres of records transferred to archival custody	6,079	1,320	2,053	3,549	3,067
No. of record items catalogued	29,682	36,561	149,199	366,645	140,161
No. of original record items used by readers	26,831	26,620	25,425	22,125	28,060
No. of website visits	1,598,503	1,594,946	2,221,303	2,921,494	3,246,654

Governance and accountability 2012-13

Board and management

Strategic planning and reporting

Client and stakeholder relationships

Managing risks

Managing our people

Public Interest Disclosures (PID) Act 1994

*Government Information (Public Access) Act (GIPA)
2009*

Managing our physical assets and finances

Audited financial statements

Budgets

Board and management

The Board

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

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

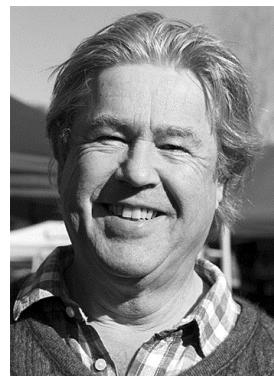
Board members are appointed for a maximum of two consecutive terms, each not exceeding three years.

Board members

Board members 2012-13

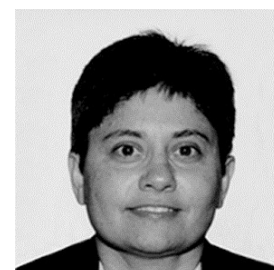
Dr Stephen Choularton

PhD, FloD
Director, Organic Food and Farmers Market
First Term: 25/1/12-24/1/15
Nominated by Minister administering *State Records Act 1998* to represent private sector



Ms Zoe de Saram

Executive Director, Policy, Economics and Governance, Office of Environment and Heritage
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

Director, Shared 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 1998* to represent State law enforcement agencies, after consultation with the Ministers responsible for those agencies.



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



Board and management

Board members

Ms Anne Henderson

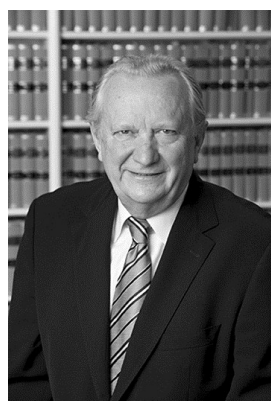
Chairperson from February 2013
Deputy Chair, Sydney Institute
First term: 19/12/12-18/12/15
Nominated by Minister administering *State Records Act 1998* to represent the history profession

**Mr Anthony Lean**

Deputy Director General, Government Services and Policy; DFS
First term: 31/8/11-30/8/14
Nominated by the Minister who administers the *Public Sector Management Act 2002* to represent departments

**Hon. Justice Robert Macfarlan**

Judge of the Supreme Court of NSW
First term: 1/1/11-30/12/14
Nominated by the Chief Justice of New South Wales

**Mr Scott Nash**

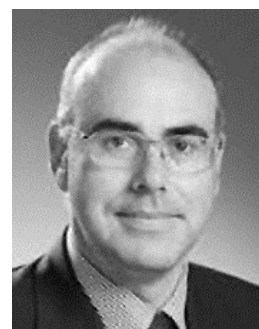
Councillor, Randwick Council
First term: 17/10/12-16/10/15
Nominated by the Minister who administers the *State Records Act 1998* to represent local government

**Mr Shayne Mallard**

Councillor, Council of the City of Sydney
First term: 22/02/12-22/02/14
Nominated by Minister administering *State Records Act 1998* to represent local government

**Hon. Dr Peter Phelps MLC**

First term: 14/11/12-13/11/15
Nominated jointly by the President of the Legislative Council and the Speaker of the Legislative Assembly

**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 1998* to represent the history profession



Board attendance

Member	Attended	Eligible
Dr Stephen Choularton	6	6
Ms Zoe de Saram	5	6
Ms Robyn Foster	2	6
Hon Don Harwin, MLC	3	3
Ms Anne Henderson	3	3
Mr Anthony Lean	5	6
Hon Robert Macfarlan	6	6
Mr Shayne Mallard	1	1
Mr Scott Nash	3	4
Hon Dr Peter Phelps MLC	3	3
Professor Lucy Taksa	3	6

Board and management

Board meetings

The Board meets every two months. Six meetings were held in 2012-13.

Alan Ventress attended one meeting as Director. Jenni Stapleton attended the remaining 5 meetings as Acting Director. Managers attended meetings for agenda items related specifically to their areas of responsibility.

Department of Finance and Services Audit and Risk Committee

State Records is a member of the Department of Finance and Services Audit and Risk Committee.

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,
(to 14 December 2012)

Acting Director

Ms Jennifer Stapleton, BA, DipArchAdmin,
(from 17 December 2012)

Deputy Director

Ms Jennifer Stapleton, BA, DipArchAdmin,
(to 14 December 2012)

Vacant

(from 17 December 2012)

Senior managers

Ms Wendy Gallagher, BSc (Hons), GradDipA
(Lib&InfoSc),
A/Manager, Archives Control and Management

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

Ms Sally Irvine-Smith, BA (Hons), DipIM
(ArchivAdmin),
DipBusComp, MA (IKM)
A/Manager, Government Records
Repository
(to 31 January 2013)

Mr Brian Astruc, CPA, Australia; BBus,
Accounting; BCom, Marketing; Training and
Assessment Cert IV
A/Manager, Government Records
Repository
(from 4 February 2013)

Mr David Thornell,
Manager, Information and Communications

Ms Rhonda Campbell, BA,
A/Manager, Public Access

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

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 Communications and Technology (ICT) Steering Committee

The ICT Steering Committee provides strategic oversight of corporate level ICT strategies and plans to ensure the cost effective application and management of ICT systems and resources throughout State Records. It also monitors and evaluates ICT projects and achievements against both the ICT Strategic Plan and approved key result areas.

The committee comprises the Deputy Director, Manager Information and Communications, Manager GRR, Manager Archives Control and Project Manager Digital Archives.

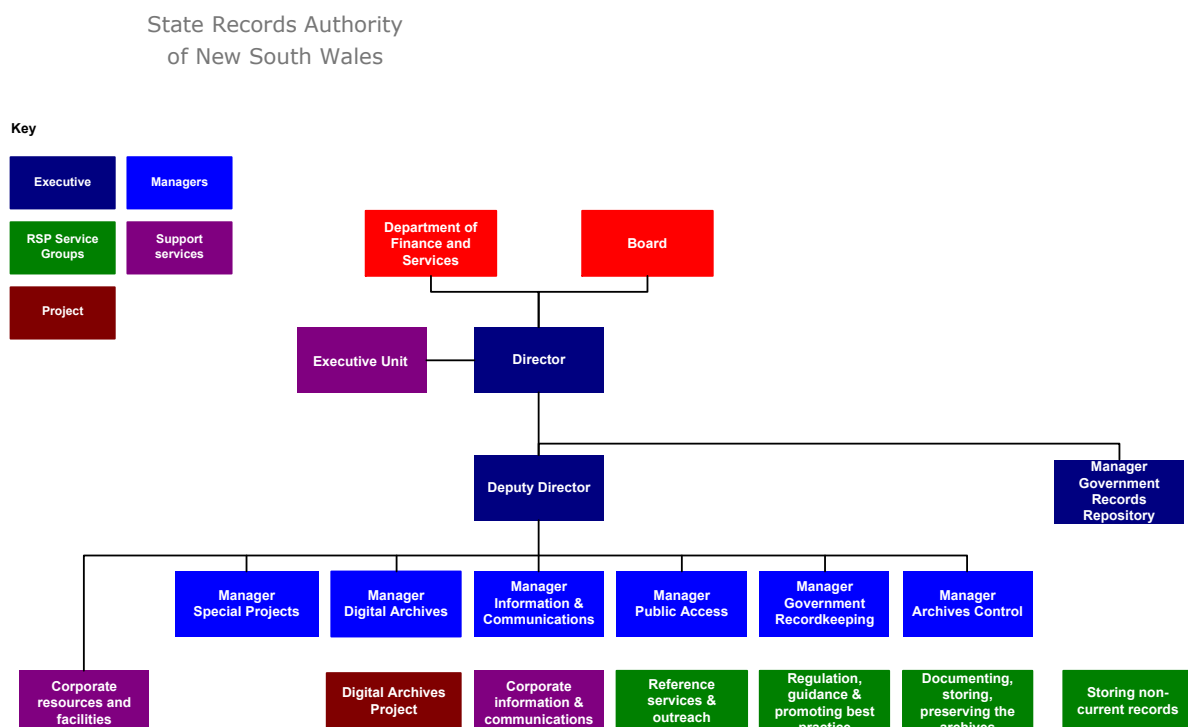
Work Health and Safety Committee

The Work Health and Safety Committee comprised staff representatives from our two locations, the WHS Coordinator, 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, Manager Information and Communications, Project Manager Digital Archives and Executive Officer (Secretary).



Strategic planning and reporting

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

Corporate planning

Strategic plan

The *Strategic Plan 2011-2014* 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 2012-13* 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

The *ICT Strategic Plan 2012-2015* provides a high level strategic view of ICT core directions across eight broad strategies. The Plan focuses on ICT service delivery to support the business, a strong ICT governance framework, effective information management and the use of consistent, whole of government standards and processes.

The Plan outlines the core direction of ICT for State Records in accordance with the priorities laid out in the *State Records Strategic Plan 2011-2014*, the *NSW Government ICT Strategy 2012* and the *State Records ICT Total Asset Management (TAM) Plan*.

Progress under the Plan is reviewed and updated annually by the ICT Steering Committee.



State Records' Board, Acting Director and Executive Officer 24 October 2013

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 people employment strategy 2010-2014*.

State Records will investigate the possibility of holding similar events for diverse communities in 2013-14 and future years.

State Records NSW will continue to keep its suite of *Archives in Brief* relating to the many national and cultural groups that have made NSW home up to date.

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. We have aimed to focus more on our performance and less on activities. A separate *Activity Report 2012-13* 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.

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. The committees comprise representatives from our public sector and public clients and stakeholders.

Digital Records Advisory Group

This committee held four meetings in 2012-13. Members during year:

Al Benazzi, Director Information Assets, Enterprise Assets Division, Corrective Services NSW (represented by Carolyn Shaw)
Ken Carroll, Office Systems Administrator, TransGrid
Susan Fletcher, Manager Business Documentation, City of Sydney
Nicola Forbes, Manager Records and Archives, Parliament of New South Wales
Greg Jackson, Manager Records, Privacy and Information Security, Hunter New England Health
Susan Jay, Manager Information Management, Fire and Rescue NSW
André Jenkins, Director Information Management, Clinical Excellence Commission
Peter Konstantin, Manager Information Management Centre, Sydney Water
Michael Landsbergen, General Manager Corporate Services, Ambulance Service of NSW
Margaret Miller, Manager Records and Mail Operations, ServiceFirst
Tim Robinson, Manager Archives and Records Management Services, University of Sydney
Sonya Sherman, Principal Policy Officer Information, ICT Policy, Department of Finance and Services
Russel Smith, Director Administrative Services, Family and Community Services NSW
Stephen Smith, Records Manager Information Services, Department of Finance and Services

Robert Sparshott, Manager Corporate Records, Department of Attorney General and Justice
Jonathan Summers, Manager Information Communications and Technology, Public Works, Department of Finances and Services
Catherine Sykes, Records Manager Transport for NSW

Community Advisory Committee

This committee held two meetings in 2012-13. Members during year:

Michael Bennett, Professional Historians Association (NSW)
Dr David Carment, Australian Historical Association
Andrea Fernandes, NSW Migration Heritage Centre
Heather Garnsey, Society of Australian Genealogists
Carol Liston, Associate Professor, School of Cultural Histories and Futures, University of Western Sydney
Craig Mackey, railway historian
Virginia Macleod, professional historian
Perry McIntyre, professional genealogist and historian
Lesley Muir, Royal Australian Historical Society
John Petersen, NSW Migration Heritage Centre (resigned October 2012)
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 (to December 2012)
Dr Louise Zarmati, History Teachers Association (from March 2013)

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.
- ⇒ Digital Records Advisory Group Meetings are held quarterly and Community Advisory Committee meetings twice a year.
- ⇒ State Records thanks these committees for providing valuable advice during the year.

Stakeholder groups

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



John Cann delivering a talk about State Records immigration resources at the National Archives Shake Your Family Tree Event. The talk was delivered to two groups totalling 81 family historians.

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.
- ⇒ Provision of accurate and timely information on our website.

Client and stakeholder relationships

Participation on client and stakeholder committees

State Records' staff are actively involved with client and stakeholder organisations through participation on governing bodies and committees. Full details of staff participation on client and stakeholder committees can be found in the *Activity Report 2012-13*, which is accessible via the State Records' website (www.records.nsw.gov.au).

Handling complaints and suggestions

State Records provides a suggestion box and accepts feedback on its services as part of our guarantee for public oriented services. Feedback can be provided directly to reading room staff, or by post or email. There were a number of complaints received regarding the closure of the Sydney Records Centre.

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.

Hosted websites

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

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.



Alan Ventress and State Records' Board members
23 August 2012

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.

Achievements and highlights

- Revised Organisation-wide business risk assessment.

Internal Audit and Risk Management Statement

The Acting Director signed the Internal Audit and Risk Management Statement on 4 September 2013 (see pages 93 and 94). 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.



Power shut down at Kingswood
1 December 2012

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.

State Records adheres to the DFS Fraud and Corruption Internal Reporting Policy.

Insurance premiums paid to Treasury Managed Fund (excl. GST)

Category	2009-10	2010-11	2011-12	2012-13
Workers' compensation	181,110	180,565	203,415	185,970
Motor vehicles	16,170	16,170	17,650	34,040
Property	38,950	38,950	38,490	38,960
Public liability	1,590	1,590	1,330	1,140
Other	670	670	760	840
Total	238,490	237,945	261,645	260,950



State Records

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Internal Audit and Risk Management Statement for the 2012-2013 Financial Year for the State Records Authority of New South Wales

I, Jennifer Stapleton, A/Director for the State Records Authority of New South Wales (SRA), am of the opinion that the SRA has internal audit and risk management processes in operation that are, excluding the exceptions described below, compliant with the core requirements set out in Treasury Circular NSW TC 09/08 Internal Audit and Risk Management Policy.

I, Jennifer Stapleton am of the opinion that the internal audit and risk management processes for the SRA depart from the following core requirements set out in Treasury Circular NSW TC 09/08 and that (a) the circumstances giving rise to these departures have been determined by the Minister for Finance & Services and (b) the SRA has implemented the following practicable alternative measures that will achieve a level of assurance equivalent to the requirement:

Ministerially Determined Departure	Reason for Departure and Description of Practicable Alternative Measures Implemented
Core Requirement 2: An Audit & Risk Committee has been established.	- Full compliance with TPP09-05 would put an unreasonable administrative and cost burden on the entity. - A review of the Department of Finance & Services cluster arrangements for Audit & Risk Committees was conducted to ensure that smaller related entities were relieved of the cost burdens of supporting their own Audit & Risk Committees and to provide an equivalent coverage of their obligations under TPP09-05 through the sharing of the Department's resources. Consequently, the SRA is clustered with the Department of Finance & Services Audit & Risk Committee (DFS ARC). The DFS ARC is compliant to Core Requirement 2 of TPP 09-05 and has attested compliance to this Core Requirement in its Attestation Statement.

I, Jennifer Stapleton am of the opinion that the DFS Audit and Risk Committee 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 DFS Audit and Risk Committee are:

- Carolyn Burlew, Independent Chair (period of appointment from 14 October 2011 to 14 October 2015)

Page 1 of 2

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

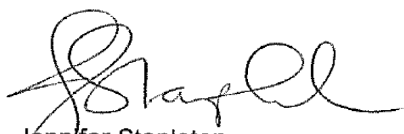
- Ralph Kelly, Independent Member (period of appointment from 1 September 2011 to 1 September 2014)
- Jim Mitchell, Independent Member (period of appointment from 13 October 2011 to 13 October 2013)
- Elizabeth Crouch, Independent Member (period of appointment from 13 October 2011 to 13 October 2014)
- Cristina Cifuentes, Independent Member (period of appointment from 31 August 2012 to 31 May 2013)
- The vacancy created by the resignation of Cristina Cifuentes on 31 May 2013 is under active consideration for replacement.

Treasury approval for the shared arrangements for this Audit and Risk Committee has been endorsed by the Minister for Finance and Services as part of the exception process and Treasury approval for the shared arrangements is pending at the time of attestation. The shared arrangement is proposed for the following departments/statutory bodies:

- Fair Trading Administration Corporation
- Rental Bond Board
- Motor Vehicle Repair Industry Authority
- NSW Telecommunications Authority
- State Records Authority

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

As required by the policy, I have submitted an Attestation Statement outlining compliance with exceptions with the policy to the Treasury on behalf of the Treasurer.



Jennifer Stapleton
A/Director
State Records Authority of New South Wales

Date: 4.9.13

Managing our people

State Records NSW is a business unit of NSW Department of Finance and Services. An average of 120.85 fulltime equivalent (FTE) staff were employed at State Records NSW over the year. State Records also engaged 44 volunteers and some short term contract staff.

Workforce profile

At 20 June 2013 (census date), the number of staff employed at State Records NSW was 132 (or 119.82 FTE).

Overall, there was a slight decrease in the number of fulltime equivalent employees from the previous year. This was due to a number of staff retiring.

There was one permanent recruitment action undertaken by State Records. In addition, 3 long term temporary staff were made permanent under s.31 of the *Public Sector Employment and Management Act 2002*.

8 permanent staff resigned from State Records. 5 of these were due to retirement, 1 to resignation, 1 to medical retirement and 1 due to death.

Achievements and highlights

- Volunteers worked approximately 3,519 hours repairing and rehousing records; adding 15,595 items to online indexes and 3,305 items to *Archives Investigator*.

Equal Employment Opportunity (EEO)

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

Distribution of full time equivalent (FTE) employees

	2011	2011%	2012	2012%	2013	2013 %
Managers	12.0	9.4	10.8	8.78	8	6.68
Professionals	37.6	29.4	39.56	32.16	38.81	32.39
Technicians and Trade Workers	3.0	2.3	3	2.44	3	2.50
Community and Personal Service Workers	0.0	0.0	0	0	0	0
Clerical and Administrative Workers	54.8	42.9	52.77	42.91	55.93	46.68
Sales Workers	0.0	0.0	0	0	0	0
Machinery Operators and Drivers	12.4	9.7	10.86	8.83	10.08	8.41
Labourers	8	6.3	6	4.88	4	3.34
Total	127.8	100	122.99	100	119.82	100

Notes: Figures calculated using census date FTE figures.

Managing our people

Distribution of employees by public sector classifications and gradings

	2011	2011%	2012	2012%	2013	2013%
Senior Executive Service	1.0	0.8	1	0.81	0	0
Senior Officer Classification	2.0	1.6	1	0.81	1	0.83
Archivists	29.7	23.2	31.56	25.66	29.75	24.83
Conservators	2.5	2.0	1.8	1.46	2.06	1.72
Clerks	79.2	62.0	75.77	61.61	75.93	63.37
Librarian/Library Technician	1.0	0.8	1	0.81	1	0.83
Other (Drivers, General Assistants)	12.4	9.7	10.86	8.83	10.08	8.41
Total	127.8	100	122.99	100	119.82	100

Notes: Full time equivalent staff (excludes chairpersons, casuals, contractor/agency staff, statutory appointments, trustees, council committee members, staff on secondment to other agencies and staff on long term leave without pay). 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.

Table A: Trends in the representation of EEO groups

	2010	2011	2012	2013	Benchmark or Target
Women	61%	56.4%	60.3%	59.4	50%
Aboriginal people and Torres Strait Islanders	1.5%	0.7%	0.7%	0.8	2.6%
People whose first language was not English	13%	14.3%	15.4%	14.3	19%
People with a disability	10%	9.3%	8.1%	7.5	n/a
People with a disability requiring work-related adjustment	4.4%	5.0	3.7%	3.0	1.5%

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

	2010	2011	2012	2013	Benchmark or Target
Women	113	118	116	112	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	88	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

Note 1: 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. 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.

Note 2: The Distribution Index is not calculated where EEO group or non-EEO group numbers are less than 20.

Managing our people

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

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

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

State Records is now covered by the Department of Finance and Services *Multicultural people and employment strategy 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. This plan has been extended.

State Records is now covered by the Department of Finance and Services Women's Employment and Development Plan 2009-12. This plan has been extended. 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.

Work Health and Safety (WHS)

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 complies with the *Work Health and Safety Act 2011*, the Work Health and Safety Regulation 2011 and its Codes of Practice.

State Records' Health and Safety Committee (HSC) 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.

All employee nominated members of the HSC have attended training for Health and Safety Representatives (HSR's).

Workers Compensation Legislation Bill 2012

On June 2012, the government introduced changes to the Workers Compensation scheme in NSW:

- From 19 June 2012 changes took effect including new arrangements for journey claims, lump sum payments, nervous shock, heart attack and stroke.
- From 1 October 2012 workers injured on or after that date will receive benefits based on their pre-injury earnings more closely aligned with their real earnings prior to their injury.
- From 1 January 2013 all workers injured prior to 1 October 2012 were transitioned to the new legislation, including work capacity assessments.

The WHS Coordinator works closely with our insurer TMF Allianz to provide up to date information to all injured workers.

There were no prosecutions under the *Work Health and Safety Act 2011* in the reporting period.

Global Corporate Challenge 2013

State Records has entered 49 staff in teams of 7 in the Global Corporate Challenge (GCC). The GCC is a corporate health and wellbeing challenge initiative developed specifically for the workplace. This is the sixth year State Records has competed in the GCC.

Participants in the GCC wear pedometers for 16 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 of chronic diseases such as diabetes, obesity and heart disease.

In the seventh week of the challenge one of the teams is placed 4,210th in the world. This is a remarkable achievement considering there are over 32,000 teams in the worldwide challenge.

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 2012/13.

Performance and number of executive officers

State Records had one executive position graded as SES Level 3 in 2012-13. This was the same as in 2011-12. There was one female executive officer employed at State Records in 2012-13.

	2012-13
Incidents reported	33
New claims	4

Occupational health and safety report



Poster—Isn't it lucky I'm not in a hurry? Please have your ticket ready at the barrier

Digital ID: 16490&format=print

Managing our people

Volunteers program

State Records' had 44 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 3,519 hours repairing and rehousing records; adding 15,595 items to online indexes and 3,305 items to *Archives Investigator*.

Volunteers are offered a social and educational program of events. They receive recognition for their years and hours of service. Volunteers receive WHS training to minimise workplace injury.

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, Records and Information Professionals

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. 3 staff were granted study leave to attend courses at a tertiary level.



A12—New South Head Road—Paddington _ view from end of the Stadium looking towards Glenmore Road. Showing concrete pavement ballasting area between concrete and Tramway.

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Public Interest Disclosures (PID) Act 1994

As required under Clause 4(2) of the *Public Interest Disclosures Regulation 2011*, State Records provides the following information in relation to Public Interest Disclosures (PIDs):

Statistical information on PIDs

See table below.

	July 2012- June 2013
Number of public officials who made PIDs	0
Number of PIDs received	0
Of PIDs received, number primarily about:	0
Corrupt conduct	0
Maladministration	0
Serious and substantial waste	0
Government information contravention	0
Local government pecuniary interest contravention	0
Number of PIDs finalised	0

Commentary on PID obligations

For the period July 2012 to June 2013, no State Records Authority of NSW officials made public interest disclosures.

As staff are employees of DFS, the State Records Authority of NSW adopted and adhered to DFS' *Fraud and Corruption Internal Reporting Policy*.

All staff were advised of this policy by means of an introduction by the Director-General of DFS via a pod-cast, brochures and training of senior management and nominated disclosure officers. Further training is planned for remaining staff in the future.

Government Information (Public Access) Act (GIPA) 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 in August 2013. The review was conducted by the Executive Officer. No additional information was made publicly available as a result of the review.

No GIPA access applications were received in 2012-13.

No GIPA access applications were refused, either wholly or in part.

GIPA statistical information is provided in tables A to H.

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 partly 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 assets worth over \$881 million. This includes the State archives collection and property assets, mainly at Kingswood. After an extensive valuation process conducted by State Records in the current year, the State archives value has decreased from \$938 million by \$114 Million to \$824 million.

Asset management

State archive valuation

The Authority engaged an independent valuer to value the collection on the basis of Fair Value in accordance with Australian Accounting Standards AASB 116 Property, Plant and Equipment and the additional guidance in NSW Treasury's Policy and Guidelines paper TPP 07-1 - Accounting Policy: Valuation of Physical Non-Current Assets at Fair Value as applicable to heritage and cultural assets.

Fair Value for the State archives is determined by reference to the best available market evidence. Where available, this is based on the

current market selling price of the same or similar items or on the estimated amount for which market participants would be prepared to pay.

The value of the State archives was valued at \$825,725,000. After the Audit Office's review, the value of the State archives was adjusted to \$824,165,032.

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.

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 Sydney Records Centre in The Rocks was closed on 29 June 2012 in order to achieve directed savings.

State records \$1.3 million capital expenditure was primarily shelving for our leased storage buildings at Western Sydney which amounted to \$0.7 million. The Authority re-invested \$0.4 million in information technologies which included new technology for the Digital State Archives.



Former State Records' staff members John Burke, Michael Allen and Richard Gore after presentation of their Public Service Medallions
5 June 2013

Managing our physical assets and finances

Land disposal

No land was disposed of during the reporting period.

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 comply with the *DFS Waste Reduction and Purchasing Policy (WRAPP)* plan.

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.

Energy consumption

	2008-09	2009-10	2010-11	2011-12	2012-13
Electricity (kwh)	3,217,322	3,403,342	3,370,764	2,949,362	2,811,488
Green electricity (kwh)	197,007	209,034	206,381	187,987	179,458
Gas, natural (mj)	9,004,334	11,306,667	12,422,157	7,572,714	7,558,935

Financial management

State Records' financial statements were prepared on an accrual accounting basis for the year ending 30 June 2013. 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 consultancy, 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.

Operating lease rental expense delivered savings achieved this year amounted to \$315,000 against last year due to a closure of the Sydney reading room at the Rocks. Other contractors expense escalated this year due to additional labour required to complete project based revenue and assist with the State archive revaluation.

Annual contribution by the Government Record Repository

In 2001 the Board determined there would be a

payment of an annual contribution from the cash surplus generated by the Government Records Repository's (GRR) business for the support of archival projects. This contribution was to be set at approximately 10% of the GRR's estimated revenue for the coming year and was earmarked for the support of the archival programs of State Records.

Using this methodology the contribution was set at \$1,430,000 for 2012-13, compared to \$1,350,000 for 2011-12.

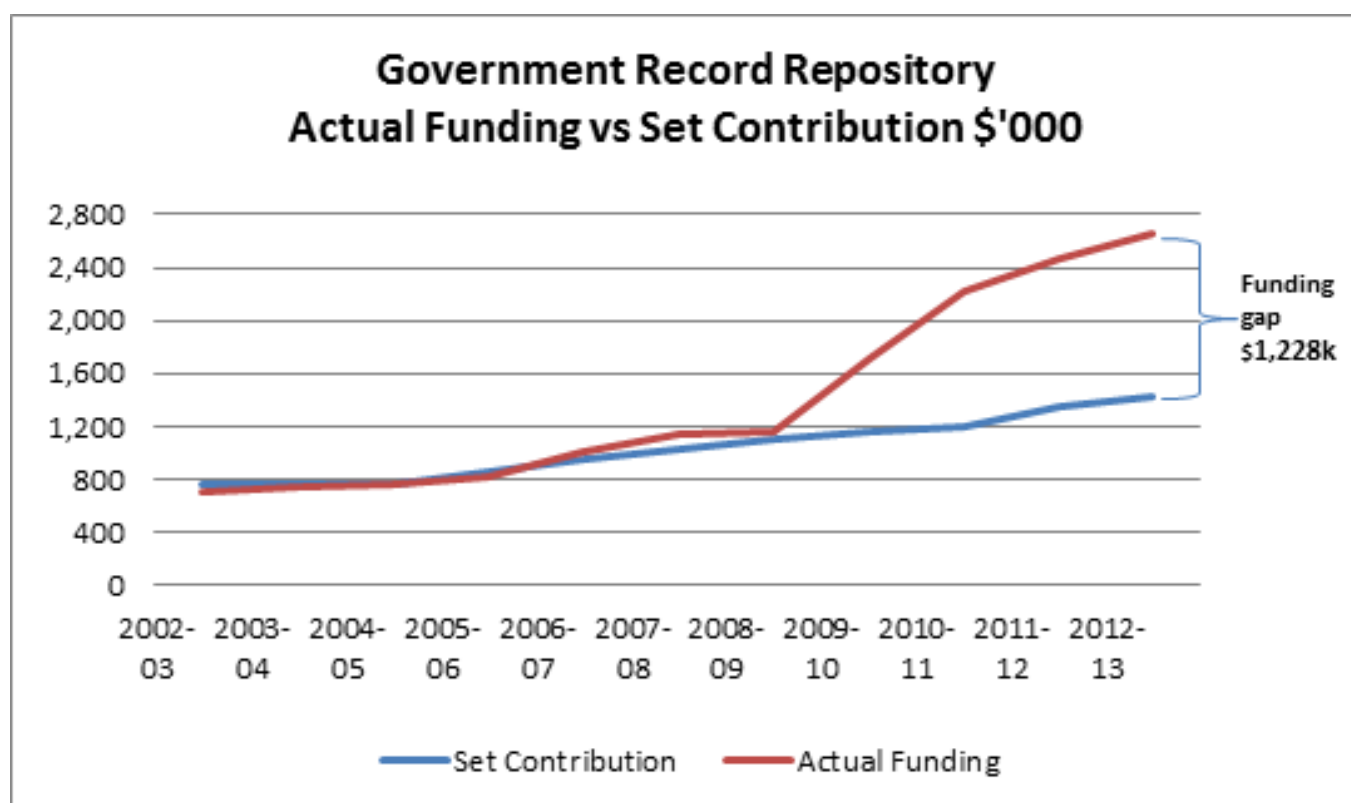
In 2012-13, as in earlier years, the GRR has met all expenses across State Records incurred beyond any grants allocated to the State Records Authority. In 2012-13 this funding gap amounted to an extra \$1.23 million above the contribution of \$1.43 million set by the Board. Last year's Annual Report showed how the significant reduction in funding for the archives over time has meant that the GRR now supplements the funding of core archival programs far beyond the contribution level determined by the Board. It is worth repeating and updating this information.

The table below compares the contribution set by the Board with the amount actually paid from the GRR's operating surplus to meet the shortfall in revenue needed to fund archival programs.

Year	(\$'000) Set Contributions	(\$'000) Actual funding to SR from GRR
2002-03	760	700
2003-04	760	740
2004-05	760	766
2005-06	850	815
2006-07	950	1,000
2007-08	1,030	1,140
2008-09	1,100	1,160
2009-10	1,150	1,710
2010-11	1,200	2,220
2011-12	1,350	2,465
2012-13	1,430	2,658

Note: The GRR's operating surplus in 2012-13 was 3,566,000 of which 2,658,000 was directed to the archives, leaving only \$908,000 or 25%, of the GRR surplus to invest in its own business needs.

Managing our physical assets and finances



The original intention when the contribution was introduced in 2002 was that it would be allocated to special projects with the overall aim of improving the preservation and accessibility of the collection. In recent years, with rising costs, and reduced funding from Treasury for recurrent expenditure, the contribution has been largely used to cover staffing needs for core activities. The contribution now covers the salaries of 18 staff, which is 25% of the total staff in the Consolidated Fund programs.

Significantly, many of these staff are engaged in documenting and preserving the collection and reducing long standing backlogs. For example all State Records Conservation and Digitisation staff are funded from the GRR contribution, as are Archivists and support staff in both the Public Access and Archives Control programs.

However, in 2012 a review of State Records' operations by the Office of Finance and the Department of Finance and Services (DFS)

directed that State Records' current arrangements, whereby the accounts of the GRR and archival functions are combined, should end. The intention of this was to allow for the full 'cross-subsidization' of the archives by the GRR to be clarified.

The 2012 review of State Records' operations by the Office of Finance and DFS concluded that the cross-subsidization of the archives by the GRR is an impediment to the proper funding of the archival collection. The review found the lack of transparency around the true costs of the management and maintenance of the archives needed to end and directed that State Records' accounts be split so that the cross-subsidization of the archives by the GRR was visible.

Discussions have already commenced with DFS Corporate Finance staff to assist with this process. When this is completed the archival programs will be required to pay all their own costs (currently for example all stores expenses are paid from the GRR account). It is not intended to split costs between the various parts of the archival programs.

However, as indicated above, the annual determination of the contribution by the Board is no longer relevant since the GRR now meets all expenses across State Records irrespective of the level of the set contribution. On this basis

State Records agrees with the DFS financial review that the nomination of a defined 'contribution' is misleading and inaccurate and should be stopped.

In 2013-14 the continued reduction in grant funding for the archives may result in the archival grant being exhausted at some point in the financial year. From that point forward all expenses will have to be met from the GRR's operating surplus.

Gross revenue raised (\$'000)

	2008-09	2009-10	2010-11	2011-12	2012-13
Total consolidated Fund programs*	1,101	849	1,279	1,461	1,459
Government Records Repository services	11,311	11,699	13,594	14,797	15,175
Total revenue	12,412	12,548	14,873	16,258	16,634

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

Expenditure by categories (%)

	2008-09	2009-10	2010-11	2011-12	2012-13
Salaries and allowances	63	64	66	65	65
Rental and cleaning	5	5	7	8	6
Stores	1	1	2	1	1
Printing and publications	0	0	0	0	0
Gas and electricity	3	4	3	3	3
Other	28	26	22	23	25
Total	100	100	100	100	100

Managing our physical assets and finances

Consultants

Under the guidance of DPC Guideline C2004-17

"For the purposes of these guidelines a Consultant is a person or organisation engaged under contract on a temporary basis to provide recommendations or high level specialist or professional advice to assist decision-making by management. Generally it is the advisory nature of the work that differentiates a Consultant from other contractors."

Hawkless Consulting were engaged in 2012-13 to assist with business case submissions.

The Internal Audit Bureau was engaged to undertake management audits at a cost of \$66,125. These audits included:

- Digital Archives – Security Assessment
- ICT Due Diligence review;
- Performance audit of physical storage; and
- Asset Valuation review.

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.

Creditors payments and ageing

State Records payment target is to pay at least 90% of accounts by the due date or within less than thirty days depending on the terms of supply, this was achieved within the year.

Employee related costs

In 2012-13 two long standing senior managers retired from State Records impacting on the leave on termination – provision expense.

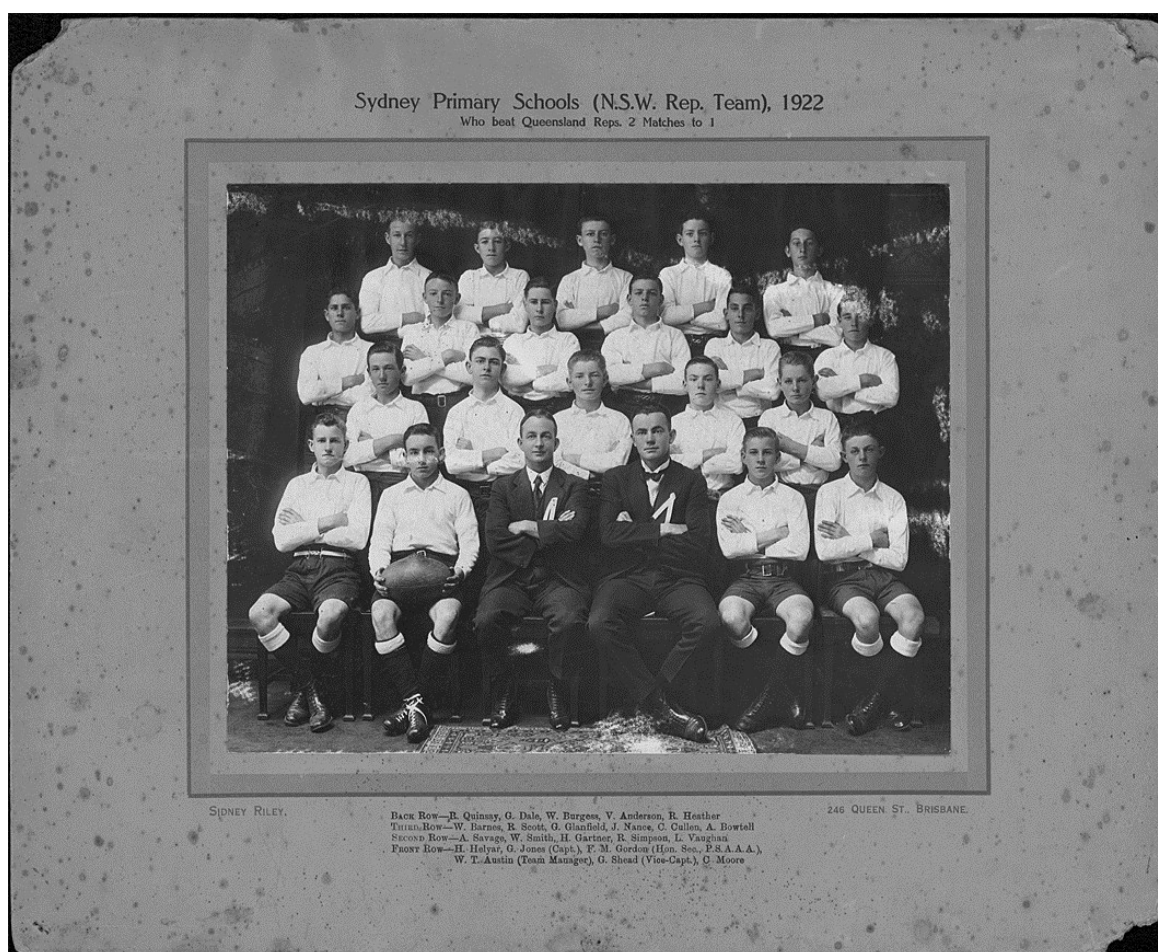
Employee related costs

	2008-09	2009-10	2010-11	2011-12	2012-13
Salaries, wages, national wage	9,006	9,019	9,757	10,664	9,441
Leave on Termination – Provision	(42)	(40)	(50)	(648)	(284)
Overtime	173	175	198	191	176
Workers compensation	152	183	181	203	186
Payroll Tax	501	510	535	580	571
Superannuation	863	897	946	923	778
Fringe Benefit Tax	20	28	25	18	20
Total	10,673	10,772	11,592	11,931	10,888

Aged analysis at the end of each quarter

Quarter	Current (i.e. within due date)	Less than 30 days overdue	Between 30 and 60 days overdue	Between 61 and 90 days overdue	More than 90 days overdue
	\$'000	\$'000	\$'000	\$'000	\$'000
All Suppliers					
September	399	10	8	-	-
December	204	9	16	-	-
March	1,127	47	10	-	-
June	692	13	41	-	11
Small business suppliers					
September	-	-	-	-	-
December	-	-	-	-	-
March	-	-	-	-	-
June	-	-	-	-	-

One supplier was overdue by more than 90 days in June 2013 as the supplier and State Records were in dispute over the quality of supply, the issue is to be resolved by the first quarter 2013-14.



Sydney Primary Schools (N.S.W. rep. Team), 1922 who beat Q'ld [Queensland] Reps. 2 Matches to 1.

Digital ID: NRS 15051_Rugby001

Accounts due or paid within each quarter

Measure	Jul - Sep 2012	Oct - Dec 2012	Jan - Mar 2013	Apr - Jun 2013
All Suppliers				
Number of accounts due for payment	852	934	850	1,045
Number of accounts paid on time	831	895	816	1,026
Actual percentage of accounts paid on time (based on number of accounts)	98%	96%	96%	98%
Dollar amount of accounts due for payment \$'000	3,714	5,843	5,345	5,603
Dollar amount of accounts paid on time \$'000	3,230	4,692	4,393	4,545
Actual percentage of accounts paid on time (based on \$)	87%	80%	82%	81%
Number of payments for interest on overdue accounts	-	-	-	-
Interest paid on overdue accounts	-	-	-	-
Small business suppliers				
Number of accounts due for payment to small businesses	-	-	-	1
Number of accounts due to small businesses paid on time	-	-	-	1
Actual percentage of small business accounts paid on time (based on number of accounts)	0%	0%	0%	100%
Dollar amount of accounts due for payment to small businesses \$'000	-	-	-	0.49
Dollar amount of accounts due to small businesses paid on time \$'000	-	-	-	0.49
Actual percentage of small business accounts paid on time (based on \$)	0%	0%	0%	100%
Number of payments to small business for interest on overdue accounts	-	-	-	-
Interest paid to small business on overdue accounts	-	-	-	-

During the year from all the number of accounts due there were no instances leading to penalty interest payments being made on overdue accounts neither to any small business suppliers.

Audited financial statements



INDEPENDENT AUDITOR'S REPORT

State Records Authority of New South Wales

To Members of the New South Wales Parliament

I have audited the accompanying financial statements of the State Records Authority of New South Wales (the Authority), which comprise the statement of financial position as at 30 June 2013, 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 2013, and of its financial performance and its cash flows 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 Director's Responsibility for the Financial Statements

The Director is responsible for the preparation of the financial statements that give a true and fair view in accordance with Australian Accounting Standards and the PF&A Act, and for such internal control as the Director determines is necessary to enable the preparation of financial statements that give a true and fair view and 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 control relevant to the Authority's preparation of the financial statements that give a true and fair view in order to design audit procedures appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the Authority's internal control. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of accounting estimates made by the Director, as well as evaluating the overall presentation of the financial statements.

I believe 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 other information which may have been hyperlinked to/from the financial statements
- about the assumptions used in formulating the budget figures disclosed in 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 roles by the possibility of losing clients or income.



David Nolan
Director, Financial Audit Services

11 December 2013
SYDNEY

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

Pursuant to section 41C(1c) of the *Public Finance and Audit Act 1983*, I state that:

- a) the financial statements and notes thereto, exhibit a true and fair view of the financial position of State Records Authority of New South Wales as at 30 June 2013 and financial performance for the year ended.
- b) the financial statements have been prepared in accordance with applicable Australian Accounting Standards, the requirements of the *Public Finance and Audit Act 1983* and Regulations, and the Treasurer's Directions.
- c) I am not aware of any circumstances which would render any particulars included in the financial statements to be misleading, or inaccurate.

SIGNED:



DATE:

6.12.13

A/DIRECTOR:

State Records Authority of New South Wales
Statement of comprehensive income for the year ended 30 June 2013

	Notes	Actual 2013 \$'000	Budget 2013 \$'000	Actual 2012 \$'000
Expenses excluding losses				
Operating Expenses				
Personnel services expense	2(a)	10,888	11,832	11,931
Other operating expenses	2(b)	7,415	6,406	6,933
Depreciation and amortisation	2(c)	2,619	2,842	2,554
Finance costs	2(d)	-	-	99
TOTAL EXPENSES EXCLUDING LOSSES		20,922	21,080	21,517
Revenue				
Sale of goods and services	3(a)	15,238	14,790	14,840
Investment revenue	3(b)	211	173	219
Grants and contributions	3(c)	6,380	6,939	7,300
Total Revenue		21,829	21,902	22,359
Gain/(loss) on disposal	4	1	-	(240)
Net result		908	822	602
Other comprehensive income				
Items that will not be reclassified to net result				
Net decrease in State archive asset revaluation surplus	9	(114,274)	-	-
Total other comprehensive income		(114,274)	-	-
TOTAL COMPREHENSIVE INCOME		(113,366)	822	602

The accompanying notes form part of these financial statements.

State Records Authority of New South Wales
Statement of financial position as at 30 June 2013

	Notes	Actual 2013 \$'000	Budget 2013 \$'000	Actual 2012 \$'000
ASSETS				
Current Assets				
Cash and cash equivalents	6	7,852	6,646	5,164
Receivables	7	3,235	4,029	3,645
Inventories	8	32	96	96
Total Current Assets		11,119	10,771	8,905
Non-Current Assets				
Property, plant and equipment	9			
- Land		10,500	10,500	10,500
- Buildings and improvements		39,116	38,202	40,404
- Plant and equipment		495	582	583
- Shelving		5,904	6,942	6,135
- Computer equipment		658	774	454
- State archives		824,165	-	938,429
Total property, plant and equipment		880,838	57,000	996,505
Intangible assets	10	66	9	50
Total Non-Current Assets		880,904	57,009	996,555
Total Assets		892,023	67,780	1,005,460
LIABILITIES				
Current Liabilities				
Payables	11	4,244	4,574	4,322
Total Current Liabilities		4,244	4,574	4,322
Non-Current Liabilities				
Provisions	12	57	-	50
Total Non-Current Liabilities		57	-	50
Total Liabilities		4,301	4,574	4,372
Net Assets		887,722	63,206	1,001,088
EQUITY				
Reserves		843,865	19,814	958,139
Accumulated funds		43,857	43,392	42,949
Total Equity		887,722	63,206	1,001,088

The accompanying notes form part of these financial statements.

State Records Authority of New South Wales
Statement of changes in equity for the year ended 30 June 2013

	Notes	Accumulated Funds \$'000	Asset Revaluation Surplus \$'000	Total Equity \$'000
Balance as at 1 July 2012		42,949	958,139	1,001,088
Net result for the year		908	-	908
Other comprehensive income:				
Net decrease in state archives				
Asset revaluation reserve	9	-	(114,274)	(114,274)
Total other comprehensive income		-	(114,274)	(114,274)
Total comprehensive income for the year		-	(114,274)	(114,274)
Balance at 30 June 2013		43,857	843,865	887,722
Balance at 1 July 2011		42,347	958,139	1,000,486
Net result for the year		602	-	602
Other comprehensive income:				
Net increase in state archives				
Asset revaluation reserve	9	-	-	-
Total other comprehensive income		-	-	-
Total comprehensive income for the year		-	-	-
Balance at 30 June 2012		42,949	958,139	1,001,088

The accompanying notes form part of these financial statements.

State Records Authority of New South Wales
Statement of cash flows for the year ended 30 June 2013

	Notes	Actual 2013 \$'000	Budget 2013 \$'000	Actual 2012 \$'000
CASH FLOWS FROM OPERATING ACTIVITIES				
Payments				
Personnel services		(11,423)	(11,832)	(13,421)
Finance costs	2(d)	-	-	(109)
Other		(8,641)	(5,839)	(7,126)
Total Payments		(20,064)	(17,671)	(20,656)
Receipts				
Sale of goods and services		17,409	14,664	16,647
Interest received		204	157	195
Grants and contributions	3(c)	6,380	6,380	7,300
Total Receipts		23,993	21,201	24,142
NET CASH FLOWS FROM OPERATING ACTIVITIES	15	3,929	3,530	3,486
CASH FLOWS FROM INVESTING ACTIVITIES				
Proceeds from sale of property, plant and equipment	4	8	-	1
Purchases of property, plant and equipment	9	(1,207)	(1,164)	(1,208)
Purchases of intangibles	10	(42)	(20)	(44)
NET CASH FLOWS FROM INVESTING ACTIVITIES		(1,241)	(1,184)	(1,251)
CASH FLOWS FROM FINANCING ACTIVITIES				
Repayments of borrowings and advances		-	-	(1,974)
NET CASH FLOWS FROM FINANCING ACTIVITIES		-	-	(1,974)
NET INCREASE / (DECREASE) IN CASH		2,688	2,346	261
Opening cash and cash equivalents		5,164	4,300	4,903
CLOSING CASH AND CASH EQUIVALENTS	6	7,852	6,646	5,164

The accompanying notes form part of these financial statements.

State Records Authority of New South Wales

Notes to the financial statements for the year ended 30 June 2013

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 Authority (as profit is not its principal objective) and has no cash generating units. The Authority is consolidated as part of the NSW Total State Sector Accounts.

These financial statements for the year ended 30 June 2013 have been authorised for issue by the A/Director of the Authority on 6 December 2013.

(b) Basis of preparation

The Authority'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 and
- the Financial Reporting Directions published in the Financial Reporting Code for NSW General Government Sector Entities or issued by the Treasurer.

Property, plant and equipment, including State archives, financial assets and liabilities are measured at fair value. Other financial statement items are prepared in accordance with the historical cost convention. State archives collection is measured at fair value using the valuation methodology outlined in g(iii) (b).

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

Information about critical judgements in applying accounting policies that have the most significant effect on the amounts recognised in the financial statements is included in g(iii) (b) and h(iii).

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.

(d) Insurance

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

(e) Accounting for the Goods and Services Tax (GST)

Income, expenses and assets are recognised net of the amount of GST, except that:

- 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, and
- 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. However the GST component of cash flows arising from investing and financing activities which are recoverable from, or payable to, the Australian Taxation Office are classified as operating cash flows.

State Records Authority of New South Wales
Notes to the financial statements
for the year ended 30 June 2013

(f) Income recognition

Income 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 associated with the sale of services is recognised by reference to the stage of completion of the transaction at the reporting date when the outcome of the transaction involving the rendering of services can be estimated reliably. Services activities include Storage of third party records, retrieval of those records, and project work offered as consultancy. Revenue recognition based on contracts to provide services require income to be recognised in stages of completion (based on labour hours incurred to date).

(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.

(g) Assets

(i) Acquisitions of assets

The cost method of accounting is used for the initial recording of all acquisitions of assets controlled by the Authority. 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 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.

(ii) Capitalisation thresholds

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

Majority of State archives are transferred at nil fair value until modified by revaluation.

(iii) Revaluation of property, plant and equipment

a) Property, plant and equipment excluding State archives

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) (As amended by NSWTC 12/05 and NSWTC 10/07). This policy adopts fair value in accordance with AASB 116 *Property, Plant and Equipment*.

State Records Authority of New South Wales

Notes to the financial statements for the year ended 30 June 2013

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.

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 Buildings & Improvements valuation was carried out by Valuation services of the NSW Department of Finance and Services.

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

The Authority revalues this 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 property revaluation excluding State archives was completed on 30 June 2011 and was based on an independent assessment.

b) Property, plant and equipment - State archives

The Authority recognises the State archives based on fair value. The State archives collection is made up of series of archives. A series is a group of records which results from the same business or recordkeeping activity, relate to a particular subject or function, have a similar format, or have another relationship arising out of their creation, receipt and use. When records are transferred from NSW government organisations to the control of the Authority, they become State archives.

The Authority engaged an independent valuer to value the collection on the basis of Fair Value in accordance with Australian Accounting Standards AASB 116 Property, Plant and Equipment and the additional guidance in NSW Treasury's Policy and Guidelines paper TPP 07-1 - Accounting Policy: Valuation of Physical Non-Current Assets at Fair Value as applicable to heritage and cultural assets.

The "Register of Series", a complete listing of archive series is used as the basis of the valuation. The valuation process classifies the Register of Series into two categories and those categories are divided into sub-categories. The two categories are:

- The Register of Iconic State Archives – this listing contains those archives that have or are expected to have significant monetary value. Every iconic State archive entry is valued.
- Non iconic State Archives – this register is split into sub-categories based on type and format and valued according to accepted statistical methods.

The Authority revalues this class of property, plant and equipment at least every five 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 valuation of State archives was completed as at 30 June 2013

State Records Authority of New South Wales

Notes to the financial statements

for the year ended 30 June 2013

c) *Property, plant and equipment – all*

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

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

Revaluation increments are credited directly to revaluation surplus, 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 net result, the increment is recognised immediately as revenue in the net result.

Revaluation decrements are recognised immediately as expenses in the net result, except that, to the extent that a credit balance exists in the revaluation surplus in respect of the same class of assets, they are debited directly to the revaluation surplus.

As a not-for-profit Authority, 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.

(iv) *Impairment of property, plant and equipment*

As a not-for-profit entity, with no cash generating units, AASB 136 *Impairment of Assets* effectively is not applicable. AASB 136 modifies the recoverable amount test to the higher of fair value less costs to sell and depreciated replacement cost. This means that, where an asset is already measured at fair value, impairment can only arise if selling costs are material. Selling costs for the authority are regarded as immaterial.

(v) *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 Authority.

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

Land is not a depreciable asset.

In accordance with the guidance in NSW Treasury's Policy and Guidelines paper TPP07-1 – "Accounting Policy: Valuation of Physical Non-Current Assets at Fair Value" relating to heritage and cultural assets, management is of the view that the State archives in their current storage condition do not depreciate in value and will continue appreciating over time. Consequently, management are of the view that depreciation should not be recognised in the income statement in relation to the State archives. Management's decision not to depreciate the State Archives is reviewed annually.

Major depreciation periods have not changed since last year, they are:

<i>Asset Class</i>	<i>Economic Life</i>	<i>Depreciation Rate</i>
Buildings	40 years	2.5%
Building Improvements	15 years	6.7%
Plant and Equipment	7-10 years	10.1%-14.3%
Shelving	lease term- 40 years	2.5%-10%
Computer Equipment	3-4 years	25%-33.33%

State Records Authority of New South Wales
Notes to the financial statements
for the year ended 30 June 2013

(vi) Major inspection costs

When each major inspection is performed, 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.

(vii) Restoration costs

The estimated cost of dismantling and removing an asset and restoring the site is included in the cost of an asset, to the extent it is recognised as a liability.

(viii) 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.

(ix) 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 does not transfer substantially all the risk and benefits.

Where a non-current asset is acquired by means of a finance lease, at the commencement of the lease term, the asset is recognised at its fair value, or, if lower, the present value of the minimum lease payments at the inception of the lease. 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 charged to the statement of comprehensive income in the periods in which they are incurred.

(x) Intangible assets

The Authority recognises intangible assets only if it is probable that future economic benefits will flow to the Authority 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.

All research costs are expensed. Development costs are only capitalised when certain criteria are met.

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 Authority's intangible assets, the assets are carried at cost less any accumulated amortisation.

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

Intangible assets are tested for impairment where an indicator of impairment exists. If the recoverable amount is less than its carrying amount, the carrying amount is reduced to recoverable amount and the reduction is recognised as an impairment loss.

(xi) Loans and receivables

Loans and receivables are non-derivative financial assets with fixed or determinable payments that are not quoted in an active market. These financial assets 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. Any changes are recognised in the net result for the year when impaired, derecognised or through the amortisation process.

Short-term receivables with no stated interest rate are measured at the original invoice amount where the effect of discounting is immaterial.

State Records Authority of New South Wales
Notes to the financial statements
for the year ended 30 June 2013

(xii) Inventories

Inventories held for distribution are stated at cost, adjusted when applicable, for any loss of service potential. A loss of service potential is identified and measured based on the existence of a current replacement cost that is lower than the carrying amount. Inventories (other than those held for distribution) are stated at the lower of 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 Authority would incur to acquire the asset. Net realisable value is the estimated selling price in the ordinary course of business less the estimated costs of completion and the estimated costs necessary to make the sale.

(xiii) Investments

The Authority does not enter into or trade financial instruments for speculative purposes and does not use financial derivatives.

(xiv) Impairment of financial assets

All financial assets, except those measured at fair value through profit and loss, are subject to an annual review for impairment. An allowance for impairment is established when there is objective evidence that the entity will not be able to collect all amounts due.

For financial assets carried at amortised cost, 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. The amount of the impairment loss is recognised in the net result for the year.

When an available-for-sale financial asset is impaired, the amount of the cumulative loss is removed from equity and recognised in the net result for the year, based on the difference between the acquisition cost (net of any principal repayment and amortisation) and current fair value, less any impairment loss previously recognised in the net result for the year.

Any reversals of impairment losses are reversed through the net result for the year, where there is objective evidence. However, reversals of impairment losses on an investment in an equity instrument classified as 'available-for-sale' must be made through the revaluation surplus. Reversals of impairment losses of financial assets carried at amortised cost cannot result in a carrying amount that exceeds what the carrying amount would have been had there not been an impairment loss.

(h) Liabilities

(i) Payables

These amounts represent liabilities for goods and services provided to the Authority 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.

(ii) Personnel services benefits and other payables

The Authority and the Department of Finance & Services (DFS) (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 DFS. All payments to personnel and related obligations are done in the DFS name and ABN and are classified as "Personnel Services" costs in these financial statements.

Liabilities for personnel services salaries and wages (including non-monetary benefits), recreation leave, long service leave, paid sick leave, payroll tax, superannuation and on-costs which the employees render the service are recognised and measured in respect of employees' services are taken up by DFS and accounting for the liability by the Authority as having been extinguished.

State Records Authority of New South Wales

Notes to the financial statements for the year ended 30 June 2013

The outstanding amounts of 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.

(iii) Other Provisions

Other provisions exist when: the entity has a present legal or constructive obligation as a result of a past event; it is probable that an outflow of resources will be required to settle the obligation; and a reliable estimate can be made of the amount of the obligation.

Any provisions for restructuring are recognised only when an entity has a detailed formal plan and the entity has raised a valid expectation in those affected by the restructuring that it will carry out the restructuring by starting to implement the plan or announcing its main features to those affected.

If the effect of the time value of money is material, provisions are discounted at 4% which is a pre-tax rate that reflects the current market assessments of the time value of money and the risks specific to the liability.

(i) Equity and reserves

(i) Revaluation surplus

The revaluation surplus is used to record increments and decrements on the revaluation of non-current assets. This accords with the entity's policy on the revaluation of property, plant and equipment as discussed in note 1(h)(i)(iii).

(ii) Accumulated funds

The category 'Accumulated Funds' includes all current and prior period retained funds.

(j) Budgeted amounts

The budgeted amounts are drawn from the original budgeted financial statements presented to Parliament in respect of the reporting period, as adjusted for section 24 of the PFAA where there has been a transfer of functions between departments. Other amendments made to the budget are not reflected in the budgeted amounts.

(k) New Australian Accounting Standards Issued but not effective

The following new Australian accounting standards, amendments and interpretations have been issued, but are not yet effective, and have not been adopted:

AASB 9, AASB 2010-7 and AASB 2012-6 regarding financial instruments

AASB 13, AASB 2011-8 and AASB 2012-1 regarding fair value measurement

AASB 119, AASB 2011-10 and AASB 2011-11 regarding employee benefits

AASB 1053 and AASB 2010-2 regarding differential reporting

AASB 2010-10 regarding removal of fixed dates for first time adopters

AASB 2011-2 regarding Trans Tasman Convergence – Reduced Disclosure Requirements (RDR)

AASB 2011-4 removing individual key management personnel disclosure requirements

AASB 2011-12 regarding Interpretation 20

AASB 2012-1 Amendments to Australian Accounting Standards – Fair Value Measurement – Reduced Disclosure Requirements [AASB 3, AASB 7, AASB 13, AASB 140 & AASB 141]

AASB 2012-2 Amendments to Australian Accounting Standards – Disclosures – Offsetting Financial Assets and Financial Liabilities [AASB 7 & AASB 132]

AASB 2012-3 Amendments to Australian Accounting Standards – Offsetting Financial Assets and Financial Liabilities [AASB 132]

AASB 2012-4 Amendments to Australian Accounting Standards – Government Loans

AASB 2012-5 Amendments to Australian Accounting Standards arising from Annual Improvements 2009–2011 Cycle [AASB 1, AASB 101, AASB 116, AASB 132 & AASB 134 and Interpretation 2]

AASB 2012-7 Amendments to Australian Accounting Standards arising from Reduced Disclosure Requirements [AASB 7, AASB 12, AASB 101 & AASB 127]

AASB 2012-9 Amendments to AASB 1048 arising from withdrawal of Australian Interpretation 1039

AASB 2012-10 Amendments to Australian Accounting Standards – Transition Guidance and Other Amendments [AASB 1, 5, 7, 8, 10, 11, 12, 13, 101, 102, 108, 112, 118, 119, 127, 128, 132, 133, 134, 137, 1023, 1038, 1039, 1049 & 2011-7 and Interpretation 12]

State Records Authority of New South Wales

Notes to the financial statements

for the year ended 30 June 2013

AASB 2012-11 Amendments to Australian Accounting Standards – Reduced Disclosure Requirements and Other Amendments [AASB 1, AASB 2, AASB 8, AASB 10, AASB 107, AASB 128, AASB 133, AASB 134 & AASB 2011-4]

As a result of the amendment to AASB 119, which will be applied from 2013-14, the net superannuation interest cost on the defined benefit superannuation schemes is likely to increase, and become more volatile, as the amended Standard will calculate the net interest expense using the government bond rate (i.e. a single discount rate).

Aside from the impact of AASB 119, it is considered impracticable to presently determine the impact of adopting the above listed accounting standards issued, but not effective.

(f) Taxation status

The activities of the Authority are exempt of income tax.

State Records Authority of New South Wales
Notes to the financial statements
for the year ended 30 June 2013

	2013 \$'000	2012 \$'000
2. Expenses Excluding Losses		
(a) Operating expenses		
Personnel services expense		
Salaries and wages (including recreation leave)	8,791	9,384
Superannuation - defined benefit plan	99	242
Superannuation - defined contribution plans	679	681
Long service leave	542	823
Workers' compensation insurance	186	203
Payroll tax and fringe benefit tax	591	598
	<u>10,888</u>	<u>11,931</u>
There were no personnel services costs capitalised and excluded from the above.		
(b) Other operating expenses		
Auditors remuneration - audit of the financial statement	153	70
Internal audit fees	66	76
Cost of Sales - Boxes	188	164
Cost of Sales - Publications	80	31
Operating lease rental expense - minimum lease payments	1,122	1,437
Maintenance*	568	589
Insurance	75	58
Electricity, Gas, Rates	686	584
Minor stores	129	158
Consultants	23	-
Other contractors	2,739	2,064
Motor Vehicles	280	290
Postage, Telephone, Printing	187	210
Promotional advertising	25	25
Grant expenses	42	40
Rental expense - records storage (offsite)	110	82
Payroll processing	287	144
Training	28	42
Cleaning	203	246
Research and development	-	142
Other	424	481
	<u>7,415</u>	<u>6,933</u>
*Reconciliation - Total maintenance		
Maintenance expense - contracted labour and other (non-employee related), as above	568	589
Employee related maintenance expense included in Note 2(a)	-	-
Total maintenance expenses included in Note 2(a) + 2(b)	<u>568</u>	<u>589</u>
(c) Depreciation and amortisation expense		
Depreciation		
Buildings and improvements	2,062	2,085
Plant and equipment	126	139
Shelving	231	196
Computer equipment	174	112
	<u>2,593</u>	<u>2,532</u>
Amortisation		
Computer software	26	22
	<u>26</u>	<u>22</u>
Total Depreciation and amortisation	<u>2,619</u>	<u>2,554</u>
(d) Finance costs		
T-Corp loan interest	-	99
	<u>-</u>	<u>99</u>
Total Finance costs	<u>-</u>	<u>99</u>

State Records Authority of New South Wales
Notes to the financial statements
for the year ended 30 June 2013

	2013 \$'000	2012 \$'000
3. Revenue		
(a) Sale of goods and services		
Sale of goods		
Publications	42	16
Boxes	297	303
Rendering of services		
Storage	10,761	10,225
Retrieval	2,245	2,215
Consultancy	1,517	1,487
Photocopies	160	154
Training	2	2
Destruction	143	220
Other	71	218
	<u>15,238</u>	<u>14,840</u>
(b) Investment revenue		
Interest	<u>211</u>	<u>219</u>
	<u>211</u>	<u>219</u>
(c) Grants and Contributions		
Recurrent Grants from NSW Department of Finance and Services	5,196	5,513
Capital Grants from NSW Department of Finance and Services	1,184	1,199
Personnel service benefits and liabilities	-	588
	<u>6,380</u>	<u>7,300</u>

State Records Authority of New South Wales
Notes to the financial statements
for the year ended 30 June 2013

	2013 \$'000	2012 \$'000
4. Gain/(Loss) On Disposal		
(a) Gain/(loss) on disposal of building and improvements		
Proceeds from disposal	8	-
Written down value of building improvements at lease termination	-	(203)
Net gain/(loss) on disposal of buildings and improvements	<u>8</u>	<u>(203)</u>
(b) Gain/(loss) on disposal of plant and equipment		
Proceed from disposal	-	1
Written down value of assets disposed	(1)	(16)
Net gain/(loss) on disposal of plant and equipment	<u>(1)</u>	<u>(15)</u>
(c) Gain/(loss) on disposal of computer equipment		
Proceeds from disposal	-	-
Written down value of assets disposed	(6)	(22)
Net gain/(loss) on disposal of computer equipment	<u>(6)</u>	<u>(22)</u>
Total gain/(loss) on disposal	<u>1</u>	<u>(240)</u>

5. Conditions on Contributions

There are no conditions placed on contributions other than to carry out the Programs / Activities of the Authority.

6. Current Assets - Cash and Cash Equivalents

Cash at Bank and on hand (per Statement of Financial Position)	<u>7,852</u>	<u>5,164</u>
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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)	<u>7,852</u>	<u>5,164</u>
Closing cash and cash equivalents (per Statement of Cash Flows)	<u>7,852</u>	<u>5,164</u>

Refer to Note 17 for details regarding credit risk, liquidity risk and market risk arising from financial instruments.

7. Current Assets - Receivables

Sale of goods and services	2,434	1,855
Prepayments	509	96
Long Service leave re-imbursement from Dept of Services and Finance	-	1,517
Interest Receivable	112	105
Other - GST Receivable	180	72
	<u>3,235</u>	<u>3,645</u>

Details regarding credit risk, liquidity risk and market risk including financial assets either past due or impaired are disclosed in Note 17.

8. Current Assets - Inventories

Held for resale		
Stock on hand - at cost	<u>32</u>	<u>96</u>
	<u>32</u>	<u>96</u>

State Records Authority of New South Wales
Notes to the financial statements
for the year ended 30 June 2013

9. Non-Current Assets - Property, Plant and Equipment

	Land \$'000	Buildings and improvements \$'000	Plant and equipment \$'000	Shelving \$'000	Computer equipment \$'000	State archives \$'000	Total \$'000
At 1 July 2012 - fair value							
Gross carrying amount	10,500	70,423	1,498	7,950	836	938,429	1,029,636
Accumulated depreciation and impairment	-	(30,019)	(915)	(1,815)	(382)	-	(33,131)
Net carrying amount	10,500	40,404	583	6,135	454	938,429	996,505
At 30 June 2013 - fair value							
Gross carrying amount	10,500	71,197	1,502	7,950	1,149	824,165	916,463
Accumulated depreciation and impairment	-	(32,081)	(1,007)	(2,046)	(491)	-	(35,625)
Net carrying amount	10,500	39,116	495	5,904	658	824,165	880,838

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 2013

	Land \$'000	Buildings and improvements \$'000	Plant and equipment \$'000	Shelving \$'000	Computer equipment \$'000	State archives \$'000	Total \$'000
Net carrying amount at start of year	10,500	40,404	583	6,135	454	938,429	996,505
Additions	-	774	39	-	384	10	1,207
Disposals	-	-	(35)	-	(71)	-	(106)
Depreciation expense	-	(2,062)	(126)	(231)	(174)	-	(2,593)
Net revaluation increment less revaluation decrements	-	-	-	-	-	(114,274)	(114,274)
Depreciation written back on disposals	-	-	34	-	65	-	99
Other movements	-	-	-	-	-	-	-
Net carrying amount at end of year	10,500	39,116	495	5,904	658	824,165	880,838

	Land \$'000	Buildings and improvements \$'000	Plant and equipment \$'000	Shelving \$'000	Computer equipment \$'000	State archives \$'000	Total \$'000
At 1 July 2011 - fair value							
Gross carrying amount	10,500	70,671	1,654	7,764	743	938,429	1,029,761
Accumulated depreciation and impairment	-	(28,503)	(1,098)	(1,617)	(523)	-	(31,741)
Net carrying amount	10,500	42,168	556	6,147	220	938,429	998,020
At 30 June 2012 - fair value							
Gross carrying amount	10,500	70,423	1,498	7,950	836	938,429	1,029,636
Accumulated depreciation and impairment	-	(30,019)	(915)	(1,815)	(382)	-	(33,131)
Net carrying amount	10,500	40,404	583	6,135	454	938,429	996,505

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 2012

	Land \$'000	Buildings and improvements \$'000	Plant and equipment \$'000	Shelving \$'000	Computer equipment \$'000	State archives \$'000	Total \$'000
Net carrying amount at start of year	10,500	42,168	556	6,147	220	938,429	998,020
Additions	-	524	182	186	371	-	1,263
Disposals	-	(772)	(338)	-	(277)	-	(1,387)
Depreciation expense	-	(2,085)	(139)	(196)	(112)	-	(2,532)
Net revaluation increment less revaluation decrements	-	-	-	-	-	-	-
Depreciation written back on disposals	-	569	322	-	255	-	1,146
Other movements	-	-	-	(2)	(3)	-	(5)
Net carrying amount at end of year	10,500	40,404	583	6,135	454	938,429	996,505

State Records Authority of New South Wales
Notes to the financial statements
for the year ended 30 June 2013

10. Intangible Assets

	Software \$'000	Total \$'000
At 1 July 2012		
Cost (gross carrying amount)	228	228
Accumulated amortisation and impairment	(178)	(178)
Net Carrying amount	<u>50</u>	<u>50</u>
At 30 June 2013		
Cost (gross carrying amount)	271	271
Accumulated amortisation and impairment	(205)	(205)
Net Carrying amount	<u>66</u>	<u>66</u>
Year ended 30 June 2013		
Net carrying amount at start of year	50	50
Additions (acquired separately)	42	42
Amortisation (recognised in "depreciation and amortisation")	(26)	(26)
Disposals	-	-
Amortisation written back on disposals	-	-
Net carrying amount at end of year	<u>66</u>	<u>66</u>
	Software \$'000	Total \$'000
At 1 July 2011		
Cost (gross carrying amount)	187	187
Accumulated amortisation and impairment	(159)	(159)
Net Carrying amount	<u>28</u>	<u>28</u>
At 30 June 2012		
Cost (gross carrying amount)	228	228
Accumulated amortisation and impairment	(178)	(178)
Net Carrying amount	<u>50</u>	<u>50</u>
Year ended 30 June 2012		
Net carrying amount at start of year	28	28
Additions (acquired separately)	44	44
Amortisation (recognised in "depreciation and amortisation")	(22)	(22)
Disposals	(3)	(3)
Amortisation written back on disposals	3	3
Net carrying amount at end of year	<u>50</u>	<u>50</u>

State Records Authority of New South Wales
Notes to the financial statements
for the year ended 30 June 2013

	2013 \$'000	2012 \$'000
11. Current Liabilities - Trade And Other Payables		
Creditors	763	551
Other	494	311
Revenue received in advance	641	304
Accrued personnel services expense	2,346	3,156
	<u>4,244</u>	<u>4,322</u>

Details regarding credit risk, liquidity risk and market risk, including a maturity analysis of the above payables are disclosed in Note 17.

12. Current / Non-Current Liabilities - Provisions

Other Provisions		
Restoration Costs	57	50
Total Provisions	<u>57</u>	<u>50</u>

The restoration costs amount, relates to make good cost for the property leases which is expected to be incurred in 2020. The amount is based on an estimated make good amount of \$80,000 in 2013 discounted using the Australian Government 10 year bond rate 3.76% at 28/06/2013.

Movements in provisions (other than employee benefits)

Movements in each class of provision during the financial year, other than employee benefits, are set out below:

	Restoration \$'000	Total \$'000
2013		
Carrying amount at the beginning of the financial year	50	50
Additional provisions recognised	7	7
Amounts used	-	-
Unused amounts reversed	-	-
Unwinding / charge in the discount rate	-	-
Carrying amount at the end of the financial year	<u>57</u>	<u>57</u>

State Records Authority of New South Wales
Notes to the financial statements
for the year ended 30 June 2013

13. Commitments for Expenditure

	2013 \$'000	2012 \$'000
(a) Capital Commitments		
Aggregate capital expenditure contracted for at balance date and not provided for:		
Not later than one year	-	704
later than one year and no later than five years	-	-
Later than five years	-	-
Total (including GST)	<u>-</u>	<u>704</u>

This represents fees payable for Shelving at Kingswood.

(b) Operating Lease Commitments

Future non-cancellable operating lease rentals not provided for and payable:

Not later than one year	1,019	1,168
later than one year and no later than five years	3,764	3,906
Later than five years	2,839	3,777
Total (including GST)	<u>7,622</u>	<u>8,851</u>

This represents State Fleet car leases and off site storage facilities.

The potential input tax credits recoverable from the Australian Tax Office for the above commitments are \$692,953 (\$804,685 in 2011-12).

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 2011-12).

15. Reconciliation of Cash Flows from Operating Activities to Net Result

	2013 \$'000	2012 \$'000
Net cash flows from operating activities	3,929	3,486
Depreciation and amortisation	(2,619)	(2,554)
Allowance for impairment	-	-
Decrease / (increase) in provisions	(7)	-
Increase / (decrease) in prepayments and other assets	(474)	(233)
Decrease / (increase) in creditors	78	143
Net gain / (loss) on sale of plant and equipment	1	(240)
Net Result	<u>908</u>	<u>602</u>

State Records Authority of New South Wales
Notes to the financial statements
for the year ended 30 June 2013

16. Budget Review

Net result

The actual net result was higher than budget by \$86,000, in part due to 'personnel services expense' being \$944,000 lower than budget and 'other operating expenses' being \$1,009,000 higher than budget.

Total Revenue is down by \$73,000 against budget, primarily due to the reclassification of crown accepted liability which is now held by Department of Finance and Services. This was offset with the 'sale of goods and services' producing a favourable variance of \$448,000.

Total Expenses delivered a favourable variance of \$165,000 against budget, primarily due to a decrease in 'personnel services expenses' which was offset by an increase in 'other operating expenses' utilising contractors to generate additional project revenue and support the revaluation of the State archives.

Assets and liabilities

The Authority's balance sheet net assets is \$887,722,000 which is above budget due to the revaluation of the State archives \$824,165,000 not included in the budget.

Cash flows

The Authority's cash flow and liquidity remained strong in 2013. Cash and cash equivalents are above budget by \$1,206,000. Net cash flow from operating activities for the year was \$399,000 above budget. The net increase in cash and cash equivalent was due to an increase in cash collected from 'sale of goods and services' from the activities of the stored records held in the Government Records Repository.

State Records Authority of New South Wales

Notes to the financial statements

for the year ended 30 June 2013

17. Financial Instruments

The Authority's principal financial instruments are outlined below. These financial instruments arise directly from the Authority's operations or are required to finance the Authority's operations. The Authority does not enter into or trade financial instruments, including derivative financial instruments, for speculative purposes.

The Authority's main risks arising from financial instruments are outlined below, together with the Authority's objectives, policies and processes for measuring and managing risk. Further quantitative and qualitative disclosures are included throughout these financial statements.

The Director of State Records has overall responsibility for the establishment and oversight of risk management and reviews 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 Authority on a regular basis.

(a) Financial instrument categories

Financial Assets	Note	Category	Carrying Amount	Carrying Amount
Class:			2013 \$'000	2012 \$'000
Cash and cash equivalents	6	N/A	7,852	5,164
Receivables ¹	7	Financial receivables	2,546	3,477
Financial Liabilities				
Class:			2013 \$'000	2012 \$'000
Payables ²	11	Financial liabilities	3,598	3,822

1. Excludes statutory receivables and prepayments (i.e. not within scope AASB 7).

2. Excludes statutory payables and unearned revenue (i.e. not within scope AASB 7).

State Records Authority of New South Wales

Notes to the financial statements for the year ended 30 June 2013

(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).

Credit risk arises from the financial assets of the Authority, including cash, receivables, and authority deposits. No collateral is held by the Authority. The Authority has not granted any financial guarantees.

Credit risk associated with the Authority's financial assets, other than receivables, is managed through the selection of counterparties and establishment of minimum credit rating standards. Authority deposits held with NSW Tcorp are guaranteed by the State.

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 (2013:\$1,736,589; 2012: \$1,398,039) and less than 6 months past due (2013:\$697,738; 2012:\$457,451) are not considered impaired. Together, these represent 100% of the total trade debtors. Most of the Authority's debtors are NSW public sector agencies.

The only financial assets that are past due or are impaired are 'sales of goods and services' in the 'receivables' category of the statement of financial position.

	\$'000			
	Total 1,2	Past due but not impaired 1,2	Considered impaired 1,2	
2013				
< 3 months overdue	698	698	-	
3 months - 6 months overdue	-	-	-	
> 6 months overdue	-	-	-	
2012				
< 3 months overdue	457	457	-	
3 months - 6 months overdue	-	-	-	
> 6 months overdue	-	-	-	

1. Each column in the table reports 'gross receivables'

2. The ageing analysis excludes statutory receivables as these are not within the scope of AASB 7 and excludes receivables that are not past due and not impaired. Therefore the 'total' will not reconcile to the receivables total recognised in the statement of financial position.

State Records Authority of New South Wales
Notes to the financial statements
for the year ended 30 June 2013

(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 year, there were no defaults on 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.

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 NSW TC 11/12. For small business suppliers, where terms are not specified, payment is made not later than 30 days from date of receipt of a correctly rendered invoice. For other suppliers, 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. For small business suppliers, where payment is not made within the specified time period, simple interest must be paid automatically unless an existing contract specifies otherwise. For payments to other suppliers, the Head of an authority (or a person appointed by the Head of an authority) may automatically pay the supplier simple interest. The rate of interest applied during the year was 11.37% (2012 - 12.5%).

The table below summarises the maturity profile of the Authority's financial liabilities, together with the interest rate exposure.

	Weighted Average Effective Int. Rate	\$'000 Interest Rate Exposure				Maturity Dates		
		Nominal ¹ Amount	Fixed Interest Rate	Variable Interest Rate	Non- interest bearing	< 1 year	1-5 years	> 5 years
2013								
<i>Payables</i>								
Personnel services payable		2,341	-	-	2,341	2,341	-	-
Creditors		1,257	-	-	1,257	1,257	-	-
		<u>3,598</u>	<u>-</u>	<u>-</u>	<u>3,598</u>	<u>3,598</u>	<u>-</u>	<u>-</u>
2012								
<i>Payables</i>								
Personnel services payable		2,960	-	-	2,960	2,960	-	-
Creditors		862	-	-	862	862	-	-
		<u>3,822</u>	<u>-</u>	<u>-</u>	<u>3,822</u>	<u>3,822</u>	<u>-</u>	<u>-</u>

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.

State Records Authority of New South Wales
Notes to the financial statements
for the year ended 30 June 2013

(d) Market risk

Market risk is the risk that the fair value or future cash flows of a financial instrument will fluctuate because of changes in market prices. The Authority's exposures to market risk are primarily through interest rate risk on the Authority's borrowings. The Authority has no exposure to foreign currency risk and does not enter into commodity contracts.

The effect on profit and equity due to a reasonably possible change in risk variable is outlined in the information below, for interest rate risk and other price risk. A reasonably possible change in risk variable has been determined after taking into account the economic environment in which the Authority operates and the time frame for the assessment (i.e. until the end of the next annual reporting period). The sensitivity analysis is based on risk exposures in existence at the statement of financial position date. The analysis is performed on the same basis as for 2012. The analysis assumes that all other variables remain constant.

(e) Interest rate risk

Exposure to interest rate risk arises primarily through the Authority's interest bearing liabilities. This risk is minimised by undertaking mainly fixed rate borrowings, primarily with NSW TCorp. The Authority does not account for any fixed rate financial instruments at fair value through profit or loss or as available-for-sale. Therefore, for these financial instruments, a change in interest rates would not affect profit or loss or equity. A reasonably possible 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
2013					
<i>Financial assets</i>					
Cash and cash equivalents	7,852	(79)	(79)	79	79
2012					
<i>Financial assets</i>					
Cash and cash equivalents	5,164	(52)	(52)	52	52

State Records Authority of New South Wales
Notes to the financial statements
for the year ended 30 June 2013

18. Events after the Reporting Period

The Authority is not aware of any event subsequent to balance date that would materially impact the financial statements.

End of audited financial statements

Index

Aboriginal people, services for	77	Indigenous community, services for	77
Accessing our services	inside back cover	Industrial relations	100
Aims	5	Insurance	93
Annual report, availability	2,88	Land disposal	109
Annual report, expenditure on	2	Legislation administered	4, 5
Asset management	107	Management structure	83,86
Audit opinion on Financial Statements	118	Message from Chairperson	8-9
Board membership	83-84	Multicultural Policies and Services Program	88,99
Charter	4	Organisation chart	86
Clients and stakeholders	5,23,33,37,64,72,74, 90-92	Overseas travel	100
Collection valuation	59-60;107	Performance, summary of	10-12
Committees, client and stakeholder	89,91	Personnel policies and practices	97
Committees, management	86	<i>Public Interest Disclosures (PID) Act 1994</i>	102
Consultants	114	Publications for public	91
Credit card certification	114	Records management	26-35, 40-41
Culturally and linguistically diverse communities, services for	78, 88	Risk management	92
Customer complaints	91	Services	5
Digital Archives	36-39	Stakeholders, clients and	5, 23, 33, 37, 64, 72, 74,89-91
Director's review	6-7	Summary of performance	10-12
Disability plan	99	Values	5
Electronic service delivery	69	Vision	5
Energy management	109	Waste reduction and purchasing	109
Equal Employment Opportunity (EEO)	96-98	Women, Action plan for	99
Financial statements (audited)	117	Work Health and Safety (WHS)	86,99
Future Proof	11, 28,29,31,32-34,36, 38-39	Workforce profile	96
<i>Government Information (Public Access) Act (GIPA) 2009</i>	103		
Guarantees of service	90		
Human resource management	96-101		

Accessing our services

Addresses and hours

On the internet

Website www.records.nsw.gov.au

Email srecords@records.nsw.gov.au

Western Sydney Records Centre (including Public Reading Room)

143 O'Connell Street

KINGSWOOD

Telephone and facsimile

Telephone (02) 9673 1788

Facsimile (02) 9833 4518

Hours of opening

Monday—Friday 9am—5pm

Saturday 10am—4pm

Sunday and public holidays CLOSED

Postal address

PO Box 516

KINGSWOOD NSW 2747

Reading rooms and public facilities are wheelchair accessible