STATE RECORDS AUTHORITY OF NEW SOUTH WALES

ANNUAL REPORT

2014/2015

NSW GOVERNMENT | State Records

Images throughout this report are of items in the State archives digitised during 2014-15. Images with a Digital ID number are available to order online and through Photo Investigator.

As at 30 June 2015 the State Records Authority is part of the Office of Finance and Services within the Treasury and Finance cluster.

Where a reference is made to a current policy or related document released under the previous title of the Department of Finance and Services that name is still used in the text.

The Hon Dominic Perrottet MP
Minister for Finance, Services and Innovation
GPO Box 5341
SYDNEY NSW 2001

20 October 2015

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 for the year ended 30 June 2015.

The report has been prepared in accordance with the requirements of the *Annual Report (Statutory Bodies) Act 1984, the Public Finance and Audit Act 1983* and regulations under those Acts.

Yours sincerely,

Geoff Hinchcliffe
Director
State Records Authority of New South Wales

Rally to the Flag

RALLY TO THE FLAG
DAILY MEETING HERE 1 P.M.

FIGURE 1: Mr Percy Hunter introducing the speakers, recruiting meeting, August 1915. NRS 4481, MS3408

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DIRECTOR'S REPORT

It has been a very busy year at the State Records Authority of NSW (State Records) with many fine achievements recorded. This has only been possible due to a very supportive State Records team, an enthusiastic Board and the support of the Office of Finance and Services (OFS) of which State Records is a related entity.

I would especially like to acknowledge the strong support provided the Authority throughout the year from the OFS Executive led by Chief Executive Mr Simon Smith; the Minister for Finance and Services the Honourable Dominic Perrottet; Ms Anne Henderson and the members of the State Records Board and the Executive team and staff at State Records.

Special mention must also be made of the Order of Australia (AM) award granted to Ms Anne Henderson, the chair of the State Records Board on Australia Day, for her significant service to literature in the field of political history and to the community. Anne is a passionate supporter and advocate for State Records and it is fitting she was recognised for her many years of service to the history profession and community in this way.

Throughout the year there were many significant achievements and activities worthy of highlighting, which include:

- The successful completion of the Collection Documentation Backlog Project in June 2015, which increased the total documentation of State archives by adding a further 541,599 items in one year to the State Records catalogue. Documentation of records is a core function of the Authority defined in the State Records Act 1998 (the Act).

- The transfer of historic records by Agencies to the State archives increased the value of the collection by $25.7 million. The new value of the State archives collection at year end has been confirmed to be $904.4 million.

- The completion of the development phase of the Digital State Archives project allowed the Digital Archive to become operational early in the 2014-15 financial year. As a result the migration of born digital records from old technology platforms to the Digital Archive has commenced, ensuring the future access to and long term preservation of important digital records will be preserved and available for future use.

- In March 2015, a new Records Management standard was released replacing five older standards. This new standard has simplified the compliance requirements for agencies and is supported by a new implementation guide, developed to assist public offices implement the new requirements.

- Record Managers Forums were again popular and well attended. These forums provide an opportunity to showcase and share innovative ways of managing business records in a digital environment.

- A review of functional disposal coverage of records across the 217 NSW government agencies was conducted to determine the level of compliance with the Act. A project was subsequently established to work with agencies found to be deficient in coverage to ensure Government records are appropriately managed.

- In this year's State budget, State Records received $3.32 million to commence essential security and environmental system upgrades at the Western Sydney Records Centre at Kingswood.

- High demand of our archives and records experts continued throughout the year with many staff invited to present and talk at functions and events held across the State.

- The launch of two State Records Centenary of Anzac exhibitions occurred this year with

Minister Perrottet opening the *A Call to Arms* exhibition in September 2014, followed later by the *Public Service / War Service* exhibition on 19 May 2015. Both exhibitions received great interest from the media and public alike through their acknowledgement of the sacrifices made by New South Wales citizens on the home front and abroad throughout the duration of the Great War.

- The release of the innovative mobile app *"Towns Through Time"* was announced by the Minister for Innovation the Honourable Victor Dominello, on 6 May 2015 at the CeBIT Business Technology Event. The app was developed by Appiworks, the winners of the Apps4NSW 2014 challenge and provides a location-based approach to viewing historic photographs from the State archives collection. Facilitated by the Digital Archives team, the development of this engaging app highlights the important role State Records is playing in promoting digital innovation in the community.

- This year marks the 60th year of operations for the Government Records Repository (GRR) which continues to record strong demand for their storage and specialised value-adding services. Important areas of focus remain the management of patient files across the Health sector and continued assistance to agencies responding to the needs of the Royal Commission investigation into institutional responses to child sexual abuse.

- The Western Sydney Records Centre (WSRC) has a total storage capacity of 474,000 linear metres. This is supplemented by additional off-site storage locally. As at 30 June 2015 a total of 568,044 linear metres (568 km) of State records are in the care and management of the Authority which includes 76 km of State archives held in the WSRC.

- Visits to Wagga Wagga, Armidale and Newcastle showcasing the "Carrington Albums" sparked intense regional interest from the community and local media. The Newcastle public viewing on 4 June 2015 held at the Newcastle Regional Library was particularly popular with more than 70 people attending.

While the Authority can look back on 2014-15 as a very successful year there are several activities which will carry over to the next financial year.

Most notably is the strategic review of the State Records' commercial storage business, the Government Records Repository announced by Minister Perrottet in October 2014. This review is examining the changing role of the GRR and the external records storage market as Government agencies move from paper to digital business. With an initial expectation the review would complete this financial year, extra time is required for the Minister to consider various options for the future.

In today's connected digital age, the GRR strategic review is timely and reflective of the NSW Government's desire to review and refocus services in order to best serve the public.

Accordingly key priorities for State Records for the next twelve months include:

1. Developing a long term sustainable funding model for the Authority which provides appropriate levels of funding of State archives activities to ensure the on-going management, description, access and preservation of the State archives collection.

2. Work with colleagues across Government to finalise the Government Records Repository review.

3. Develop a new strategic plan for the Authority which sets the priorities and strategic roadmap for the future.

4. Finalise business cases which seek funding to establish much needed archives digitisation programs and re-establish the Collection Documentation Backlog Project

The additional projects State Records is seeking funding to commence next financial year are focused on enabling State Records to better meet its statutory obligations under the Act and to better serve the public through expanded access to the State archives.

While the demands of "digital" are challenging records and archives organisations globally, the role of the State Records Authority of New South Wales has never been more important than it is today. The expectation remains that sound recordkeeping practices continue and protect digital records as they do paper based records, and that the accountability of public offices and Government is maintained.

To date State Records has made great progress in meeting the challenges posed by digital and born digital records in particular. Further work is always required and will be undertaken as digital systems evolve in the future. I am pleased to report that with appropriate funding, State Records is well positioned to continue to play a leading role in assisting NSW public offices transition to digital business.

With the continued support of the State Records staff, the State Records Board and the soon to be formed Department of Finance Services and Innovation (DFSI) which will be joined in August by Mr Martin Hoffman as the new Department Secretary, the future remains bright.

It is a great time to be working at State Records and I look forward to leading the reshaping and realignment of this wonderful organisation over the coming years.

GEOFF HINCHCLIFFE
Director,
State Records Authority of New South Wales

FIGURE 2: Parliamentary Labor Party, 1914.
NRS 4481, ST 13302

MESSAGE FROM THE CHAIRPERSON

It has been a pleasure to be part of the team at NSW State Records for another year.

In many ways, against the odds, the work of the team over the past year has surpassed all expectations. Due to the diligence and expertise of the staff at SR, the total documentation of the State archives has increased by 541,599 new items, raising the overall level of documented archives from 8% to 12%. The Collection Documentation Backlogging Project team who carried out this work have been nominated for a team award in the Premiers Awards as a result of their efforts. But, while this is a sterling achievement, the amount of still undocumented material at SR represents an enormous task for the future.

As we all know, public records and archives are selected for permanent or long-term preservation on the grounds of their enduring cultural, historical, or evidentiary value. The NSW collection of public records, located presently at Kingswood, is not only vast but also preserves the story of government and public service in the oldest state in the Commonwealth of Australia. Our history is young by European standards – although ancient by the standards of our Indigenous forebears. The NSW State Records collection is gold for future generations.

Go to Google and search "archives" or "public records". You will find a host of websites dealing with all manner of collections from those in vast national spaces to those in smaller private institutions. The feature that binds them together, increasingly, is that these records are becoming accessible across the globe through the internet. That any individual can reach such information via the web is a modern day wonder. All of that begs the question, how can State Records NSW make a lot more of its collection available to the state, to the nation, to the world.

FIGURE 3: The Chairperson of the State Records Board, Mrs Anne Henderson AM, welcoming the Minister to the launch of the *Public Service/War Service* exhibition

State Records NSW has struggled over many decades from a lack of any serious plan for its long term future. It is simply assumed that it will be there. However, while digitalisation means its physical location is less important, its work and its value have never been more so.

Archival material is becoming more and more intrinsic to popular culture - personal (genealogy), entertainment (documentaries, life style programs), late life learning and pastime (personal projects). Alongside this, there is the obvious need for records to be preserved for legal, economic and scientific business, as well as for academic research which is increasing exponentially with modern society's growing thirst for higher education.

Take a peek at the public records or archive centres in Europe, the UK and North America and you will find substantial investment in modern, architecturally specific centres for the public where the rich collections of nations and states can be found. At Kew in London, there is even a moat and swans – designed not so much for the aesthetics as for a barrier for protection. But, on arrival at such a building, there is no doubt of the forward planning and investment in that national collection.

State Records NSW has a challenging future ahead – and an exciting one.

ANNE HENDERSON
Chairperson of the Board

OVERVIEW

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ORGANISATION SNAPSHOT

Our vision

That the people and Government of NSW have ready access to records which illuminate history, enrich the life of the community and support good governance and accountability.

Our stakeholders

The people of NSW

We manage the State archives as custodians for the people of NSW.

While people in NSW are the principal clients of our public-oriented services, our users also come from around Australia and across the world.

The Government of NSW

We service the Government of NSW and individual NSW public sector bodies.

Government departments and agencies, State owned corporations, local government, the public health system and universities are covered by the State Records Act 1998.

Who we are

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

We are a statutory authority under the State Records Act 1998 which also sets public offices' obligations in relation to their records and governs public access to records more than 30 years old. Our principal functions under the Act include:

(a) to develop and promote efficient and effective methods, procedures and systems for the creation, management, storage, disposal, preservation and use of State records,

(b) to provide for the storage, preservation, management and provision of access to any records in the Authority's possession under this Act,

(c) to advise on and foster the preservation of the archival resources of the State, whether public or private,

(d) to document and describe State archives in their functional and administrative context.

State Records is a non-Budget dependent agency within the Office 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 Office 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 focusing effort where the greatest impact can be made;

- Developing partnerships and sharing resources; and

- Protection of privacy.

What we do

Our responsibilities include:

- setting and monitoring standards for the creation, management and disposal of State records in any format

- providing practical advice, guidance and training to the NSW public sector on digital recordkeeping and all aspects of records management

- providing cost effective storage, retrieval and consultancy services for semi active records of public sector bodies

- identifying records of enduring value to be retained as State archives and authorising the disposal of temporary value records

- preserving State archives in secure purpose-built environments and ensuring that archives stored elsewhere are managed to the necessary standards

- documenting and cataloguing the State archives collection to provide context and accessibility

- providing access to the State archives collection

- providing a digital State Archive for the long term preservation and access to born digital archives

- providing access to and preserving online Government publications through the OpenGov NSW web site

- enabling the transformation to digital information management through the Data. NSW website.

Our History

A Colonial Secretary and **Registrar of the Records** was first appointed by the colony of NSW in 1821.

In 1879, a **Keeper of the Archives** position was proposed but not established. However, an Archivist was appointed in 1887 to transcribe records for the *History of New South Wales from the Records.*

NSW became a state in 1901 after Australia was officially declared a nation. In 1910, the Trustees of the Public Library of NSW prepared a report on the neglect of government records which included recommendations on the establishment of an Archives Department. The next year, Departments were advised to transfer historical records to the Mitchell Library.

Eventually, in 1953 an Archives Department was established within the Public Library of NSW. In 1955, the Government Records Repository was established and preparatory work began on Archives legislation.

The *Archives Act* was passed in 1960 and the Archives Authority of NSW established the following year. The Archives Authority was made responsible for the management of the Government Records Repository and the Records Management Office of New South Wales.

In 1976 the Archives Office became administratively separate from the Public Library of New South Wales. In 1978 it moved, with the Records Management Office to a new purpose built archives building at The Rocks.

In 1998 in response to concerns expressed in Parliament around accountability and confidence in Government, the new State Records Authority was created with a strengthened role under the State Records Act.

The *State Records Act 1998* expanded the scope of the *Archives Act 1960* to the full cycle of government records from their inception to their archiving or destruction. This expansion in scope resulted in the Archives Authority becoming the State Records Authority of NSW.

The *State Records Act* was reviewed in 2003 with the Amendment passing in 2005. In 2006, the Authority moved from Arts NSW to become a related entity within the Department of Commerce.

The Convict Records of Australia held by State Records NSW and the Archives Office of Tasmania were inscribed onto the International UNESCO Memory of the World Register in 2007.

In 2012, after almost thirty-five years, the Sydney Records Centre at The Rocks was closed. Many resources were relocated to the Western Sydney Records Centre, but a small office was co-located within Land and Property Information at Queens Square.

How we do this

The operational activities of the Authority can be broken down into four key functional areas:

1. Government Records Repository (GRR)

2. Archives Control and Management (ACM)

3. Government Recordkeeping (GRK)

4. Public Access (PA)

The Government Records Repository (GRR) provides records storage, retrieval, delivery,

disposal and related services to a range of clients, including NSW Government agencies, local councils, non-government organisations and some private clients.

The remaining three functional areas cover policy, administration, archival collection management and the provision of public access to the State's archives and records.

Important Facts

- We hold the largest collection of records relating to the history of the State of NSW and the lives of its people. The records date back to the First Fleet in 1788.

- State Records has arrangements with 6 institutions across the State to enable State archives to be stored and accessed in their local communities. These locations are Armidale, Wagga Wagga, Newcastle (Library and University), Wollongong and Broken Hill.

- The Convict records we hold are inscribed in the UNESCO Memory of the World Register.

- The Western Sydney Records Centre at Kingswood holds nearly 500 linear kilometres of records in paper formats (maps, plans, volumes and files) of which more than 70 kilometres are State archives kept in perpetuity.

- We have implemented the Digital State Archive which will accept, preserve and make available digital Government records as State archives. This means that any records, irrespective of their format, identified as having continuing value to the memory of the State will be available and useable – now and into the future.

- We manage 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*.

- State Records NSW supports Data NSW (http://data.nsw.gov.au), a website that provides public access to NSW Government datasets and facilitates the sharing of data between agencies.

Legislation

State Records operates under the *State Records Act 1998*, which replaced the *Archives Act 1960*. The Act provides for the creation, management and protection of the records of public offices of the State and for public access to those records. It also established State Records and its Board.

The State Records Act commenced on 1 January 1999, with the exception of Part 4 (concerned with transfer of archives to State Records' control), which commenced in July 1999.

The Act underwent a statutory review in 2003 and 2004. This resulted in a number of amendments which came into force on 15 July 2005. The regulations associated with the Act are reviewed every five years.

Strategic Focus 2015-16

While State Records can look back on 2014-15 as a very successful year the challenges State Records faces in the immediate future are broad. Changed business models across government with the adoption of digital business are driving these changes and changing the demands on all organisations to adapt and renew.

The most pressing priorities for State Records for the next twelve months are:

- Developing a long term sustainable funding model for State Records which adequately funds the archives activities to ensure the on-going management, description, access and preservation of the archives is occurring.

- Finalising the review of the Government Records Repository which commenced in 2014.

- Developing a new strategic plan for State Records for the next 5+ years which will set the priorities and strategic roadmap 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. During 2014-2015 we did not conduct a formal compliance survey, as we were reviewing five existing standards and developing one new, replacement standard. The requirements of this new streamlined Standard on records management will be the basis of future monitoring activities.

In this section we:

- Comment on new Standard on records management
- comment on retention policy coverage
- describe some examples of poor practice.

New Standard on records management: supporting digital recordkeeping

The new Standard on records management was issued in March 2015. The development of this new standard was triggered by a number of factors. These included the timely reviews of five existing records management standards and also the findings of the 2013 Digital Recordkeeping survey. In particular, the results of the survey indicated that public offices were having issues in implementing the earlier Standard on digital recordkeeping and were still building the necessary governance frameworks and good practices and processes critical for digital recordkeeping.

The new standard covers records and information in all formats, including both digital and physical records. It has been designed to support digital recordkeeping as the NSW Government transitions to digital business. Underpinning this standard is the need to ensure that business is supported by sound records and information management practices.

This standard consolidates and streamlines requirements from five earlier standards. By taking this approach we have reduced the number of compliance requirements from 61 to 21.

The new concise standard has 3 principles for effective records and information management. These are:

1. Organisations take responsibility for records and information management;
2. Records and information management support business; and
3. Records and information are well managed

The standard is supported by a comprehensive implementation guide and updated guidance which will assist public offices with implementing the requirements. The implementation guide explains each minimum compliance requirement and highlights key guidance available from State Records and other organisations. New guidance developed to support the standard included identifying and managing high value and high risk records and information.

The response to the standard from public sector organisations has been positive, with general support expressed for the move to a more streamline and concise standard that better positions records and recordkeeping within an information and business framework.

The new Standard on records management will provide a good foundation for future monitoring activities, which will focus on the governance frameworks for records and information management as well as the performance of digital recordkeeping by public sector organisations.

Analysis of retention policy coverage

A total of 418 public offices were analysed for the extent of the disposal coverage of their functional records. Of these, 241 public offices (58%) are covered by general retention policies.

Three ratings were applied to the remaining 177 (42%) public offices:

Green light (77%) – these public offices have functional comprehensive coverage of their records.

Amber light (9%) – these public offices have some functional records covered.

Red light (14%) – these public offices have no or few functional records covered.

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

- Agency for Clinical Innovation
- Australian Children's Education and Care Quality Authority (The Authority is a national body subject to the State Records Act.)
- Bureau of Health Information
- Clinical Excellence Commission
- Cobbora Holding Company
- Health Education and Training Institute
- NSW Civil and Administrative Tribunal
- NSW Electoral Commission
- NSW Kids and Families
- State Emergency Service.

State Records encourages public offices to review their retention policies as appropriate. During the year the Office of the Children's Guardian and the Sydney Harbour Foreshore Authority sought and obtained a full review of their retention polices. These reviews were timely and will ensure the policies continue to provide comprehensive coverage that meets the operational and business requirements of the organisations.

Targeted review of functional disposal coverage

During March and April 2015 a review of functional disposal coverage across the 217 NSW government agencies was undertaken to determine the level of compliance within those agencies with the State Records Act 1998. It was identified that forty-two (42) public offices had nil or only partial retention and disposal coverage for their unique functional records.

These agencies will be progressively targeted by State Records over the next 12 to 18 months with the aim of:

- outlining the benefits of having current retention and disposal authorities to the agencies;
- requesting information on their plans to develop appropriate functional retention and disposal authorities; and
- identifying strategies to assist the development of coverage, for example through the development of general authorities, amendment and extension of the application of existing authorities or by proving targeted assistance to smaller agencies.

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.

Ten matters were brought to our attention during 2014-2015. The matters concerned poor recordkeeping performance in local government and NSW Government agencies. Of these matters, five resulted in recordkeeping assessment processes. Some of these matters are still underway.

Risks to Government business of not making and keeping records

The main area of poor performance that came up in a number of cases is the making and keeping of notes or minutes of meetings at which advice, decisions, actions, or consultation is undertaken or keeping notes or minutes of telephone conversations where advice, decisions, actions or consultation is undertaken. The failure to create and capture such records exposes an organisation to a high level of risk or embarrassment, particularly in areas of business which are potentially contentious or open to dispute. Additionally, insufficient detail in records documenting meetings and telephone conversations, does not allow for full transparency or accountability for the meeting or the discussions, i.e. detailed information allows for an understanding of the advice, actions, decisions or guidance provided to individuals and organisations.

In high risk and high value areas of business, it is important that business processes include appropriate recordkeeping, that all steps are undertaken to ensure that there is conformity by staff within the organisation with recordkeeping requirements, and that the recordkeeping is robust and 'fit for purpose'.

FIGURE 4: Passenger traffic, Central Railway Station, June 1916. NRS 4481, MS 3990

KEY ACHIEVEMENTS

Iconic Collection

- Current collection valuation of $904 million
- Accessions of State archives in 2014-2015 increased collection value by $25 million
- Documentation backlog team adds over 550,000 items to the catalogue

Digital State Archive

- Digital Archive commences operations and initiates first migration projects with agencies
- Open digital archives publically accessible through improved web portal
- OpenGov site records 26,826 visits and 90,975 page views in first year after relaunch

Quality Recordkeeping

- Replacement of five existing recordkeeping Standards with new revised Standard
- Strong growth in GRR digital services. GRR digitises more than 2.5 million images for clients

Sustainability

- Self-fund 67% of operating budget through GRR
- GRR operational revenue surplus 18% of earnings
- 6.6% holdings growth, with $2.8 million operating surplus
- Continued success of value-added services
- High levels of activity in the health sector

Community Engagement

- Major contributor to NSW Government Centenary of WWI activities with -
- Two WWI-themed exhibitions
- Online galleries
- Dedicated website
- volunteers worked 3,800 hours adding 20,500 items to indexes; the collection backlog project released over 140,000 items from Volunteer projects to Archives Investigator

Efficiency

- Secure recycling of 210 tonnes of paper through GRR destruction service
- Savings in electricity, water and gas consumption through better facilities management

PERFORMANCE

PERFORMANCE SUMMARY

3,763,284 website visits

50,827,440 page views online

331,125 unique visits to the Archives Outside blog

178,793 unique visits to the Future Proof blog

10,456 unique visits to the e-learning module

27,812 reading room visitors

23,647 original archives issued

42 community access points to the State archives collection across NSW

554,330 record items catalogued

1,645,587 records discoverable online

76,706 metres standard format archives in State Records' custody

2,455 metres standard format archives in regional repositories

79,161 metres standard format archives in archival control

2,349 metres of records transferred to archival control

564,238 metres of non-current records in GRR

47,238 metres of non-current records accessioned in GRR

10,150 metres of records destroyed

37,088 metres net growth

279,099 file retrieval operations in GRR

746,346 total client-facing operations in GRR

564,380 health files sentenced by GRR

835 participants in records management program events

2,038 total participants in public access program events

610 participants in public program events in regional and rural NSW

811 participants in public program events in western Sydney

50% public offices with comprehensive access directions

89% public offices with comprehensive records retention policies

14 records retention policies approved in the year

FIGURE 5: Reading Room, Western Sydney Records Centre.

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

Nineteen public offices made comprehensive access directions during the year, increasing the percentage of public offices with coverage for all records over 30 years old by five percent to 227 public offices. The larger number of public offices making comprehensive access directions than in previous years was the result of all nine Local Land Services authorising directions and record initiatives from power generation and distribution entities.

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 be covered by an access direction.

While over 50% of public offices have made comprehensive directions the percentage of records covered is much higher due to most large public offices having made access directions as well as those with a high percentage of records identified as State archives.

Number of public offices making access directions

	11/12	12/13	13/14	14/15
Partial coverage	1	2	5	1
Comprehensive coverage	9	8	5	19

TABLE 1 - Number of access directions made is not indicative of the complexity of work or the quantity of the records covered.

Objective for 2014-15
- Increase number of public offices with comprehensive access directions in place.

Achievement
- Over 50% of public offices with comprehensive access directions in place.

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.

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.

FIGURE 6: Senior Archivist Emily Hanna with actress Toni Collette during filming of *Who Do You Think You Are?*

Use of the State archives collection 2014-15

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.

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:

- Eleanor's Odyssey by Joan Druett
- From Coppers to Diggers World War I 1914-1918 (And other Conflicts 1885-1976) NSW Police Personnel by Brian F. Inman
- KIN: A Real People's History of Australia by Nicholas Brodie which is a tie-in book with the TV Series, *Who do you think you are?*
- From the Edges of Empire by Jenny MacFarlane

Archives serving a variety of purposes

- TV series *Who do you think you are?*
- Muirfield High School Agricultural display at the Royal Easter Show using WWI school photograph
- Coast Australia – TV documentary
- Australia Story of US – TV documentary

- Selling Houses Australia – TV Program
- Finding your Roots with Henry Gates Junior- American Genealogy TV documentary
- BBC documentary on the Registry of Flash men
- Booklet on Bushrangers who were in Darlinghurst Gaol (for the National Art School which now occupies the site)
- Macquarie University 's 50th Anniversary Publication
- Primary Education Textbook, Blake's Australian History Guide
- Sydney Harbour Bridge App
- The Pride History Group website
- ABC Radio National Drive website
- Museum of Fire Exhibition
- Inside History Magazine article on wills
- Student documentary, assignment for Diploma in Screen and Media
- Displays at old Dubbo Gaol Museum
- Pack of playing cards

- Northern Star, Byron Bay
- Sydney Opera House Documentary
- Hoardings for Wynyard Station upgrade
- Tooheys Facebook page
- Rugby League article in Saturday Telegraph
- Towns through time App
- Photographs used in New Zealand Herald
- Transport Heritage souvenirs
- Luna Park interpretive signage
- ANZAC historical moments, The Hunter Valley News and The Muswellbrook Chronicle newspaper and website

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.
- While preservation work has been done for items to be loaned for exhibition in late 2015, during 2014-2015 no items were on loan.

FIGURE 7: Flickr: screenshot of album of NSW Government employees who served in World War I

FIGURE 8: Towns Through Time app

FIGURE 9: Red Cross badge sample, 1918. NRS 906, [5/5341]

FIGURE 10: George Richmond Windsor, stock inspector, Department of Agriculture. NRS 4481, ST6122

Social Media Activity 2014-15

	2013-14	2014-15
FLICKR		
All time views		12,199,784
Images uploaded	2,577	2,970
Contacts	1,157	1,335
Images "Favourited"	1,929	2,279
Images commented on	1,603	1,802
Images in Flickr groups	1,242	1,355
TWITTER		
Number of tweets	3,813	4,409
Followers gained	4,136	5,229
Ranking in Top 50 Oz Gov Tweets	N/A	34 times
FACEBOOK		
Likes	1,578	2,809
HISTORYPIN		
Channel Views	7,894	10,625
Fans	23	26
Pin Views	7,526	8,669
Tours Views	828	1,496
Collections Views	1,268	2,703
GOOGLE +		
Circles (now called Followers)	275	314
Views	60,188	123,779
RSS SUBSCRIBERS		
Archives Outside	394	383
CAARA	50	57
Futureproof	384	306
Now & Then eNewsletter (RSS)	39	12
Now & Then eNewsletter (Mailchimp)	8782	7,130
Soldier Settlement	N/A	N/A
State Records Events	57	55
State Records News	240	47
YOUTUBE		
Subscribers	183	266
Video Views	49,836	80,362

TABLE 2: Social media activity 2014-15

CASE STUDY
State arms of New South Wales

On 20 November 1905, Alfred Lyttelton QC, Secretary of State for the Colonies, sent a circular from Downing Street noting he had been advised by Garter, Sir Alfred Scott-Gatty, that New South Wales had 'no Official Arms recorded to it in the College of Arms' and suggested that 'a formal application should be made for a Coat of Arms'. NSW responded favourably to the approach and the NSW Government Printer, William Applegate Gullick (1858-1922), developed the design of the arms for the State in collaboration with the College of Arms in London.

On 11 October 1906, King Edward as King of the United Kingdom of Great Britain and Ireland executed a Royal Warrant addressed to the hereditary Earl Marshal of England 'to whom the cognizance of matters of this nature doth properly belong'. Until this time, the arms of NSW were the Royal arms of the United Kingdom, or simply the Royal arms.

By this Royal Warrant, the King granted and assigned 'Armorial Ensigns and Supporters for the said State of New South Wales' thereby creating what is known as the State arms of New South Wales. These arms were "to be borne for the said State on Seals, Shields, Banners and Flags according to the law of Arms." Since 2004, use of the State arms has been governed by the *State Arms, Symbols and Emblems Act 2004* (NSW).

It seems that the Royal Warrant exists in at least four contemporaneous forms:

1. The Original Warrant with original artwork, the arms being described in the Warrant by way of an heraldic blazon. The original Warrant is held by Garter King of Arms on behalf of the Earl Marshal of England.
2. The registration copy in the Register of Arms of Dominions and Colonies, folios 315-317 at the College of Arms.
3. The certified copy of the Register copy which was sent out to NSW but has not yet been located within the records of the NSW State government.
4. A further certified copy retained within the Colonial Office which has not yet been located.

The heraldic blazon as described in the Royal Warrant is:

Azure a cross argent voided gules charged in the centre chief point with a lion passant guardant, and on each member with a mullet of eight points or between in the first and fourth quarters a fleece or banded argent and in the second and third quarters a garb also or: And for a crest, on a wreath of the colours a rising sun each ray tagged with a flame of fire proper: And for the supporters, on the dexter side a lion rampant guardant: And on the sinister side a kangaroo both or, together with this motto, "Orta Recens Quam Pura Nites," (Recently arisen, how brightly you shine).

FIGURE 11: (Detail of) NSW State arms – Royal Warrant granting Armorial Ensigns from College of Arms London (folio 316)

Sources and Acknowledgement

FIGURES 12 & 13: NSW State arms – Royal Warrant granting Armorial Ensigns from College of Arms London (folio 315)

This description is repeated in the *State Arms, Symbols and Emblems Act 2004.*

The original Royal Warrant was addressed by the King to the hereditary Earl Marshall of England who exercised a supervisory role over the College of Arms. It directed him to have it "recorded in Our College of Arms in order that our Officers of Arms and all other Public Functionaries who it may concern may take full notice and have knowledge therof in their respective departments."

The Warrant was duly recorded and a copy was extracted from the entry in the College's records, certified as a faithful copy by Garter, transmitted to the Governor of New South Wales, Admiral Sir Harry Rawson, being received on 31 December 1906, sent by the Governor to Premier and Treasurer Joseph Hector Carruthers, before being sent to the Treasury on 17 January 1907. A transcription was then published by the Governor's command in a Supplement to the *New South Wales Government Gazette* No.24, 22 February 1907, pp.1345-1346. Though the State arms in the Royal Warrant were in colour, in the *Gazette* they were rendered in monochrome with hatching representing the heraldic colours.

For some years members of the Australian Heraldry Society have sought to locate the certified copy of the original Royal Warrant which had been sent to the then Governor of NSW in late 1906 and had been printed in the *Government Gazette* on 22 February 1907 at his command. They were unsuccessful in locating that copy or of obtaining a copy of the register pages from the College of Arms and sought the assistance of State Records NSW to do so.

FIGURE 14: NSW State arms – Royal Warrant granting Armorial Ensigns from College of Arms London (folio 316)
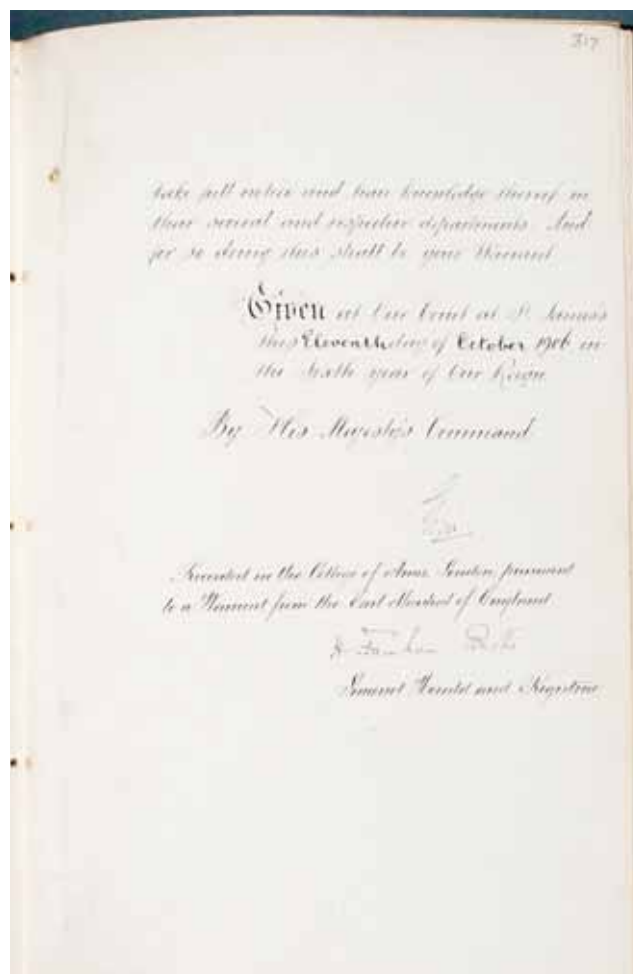
FIGURE 15: NSW State arms – Royal Warrant granting Armorial Ensigns from College of Arms London (folio 317)

In late 2014, State Records NSW was able to obtain colour digital images of the original Royal Warrant from the College of Arms thus making this significant document once more accessible in New South Wales. The Royal Warrant is here reproduced, courtesy of the College of Arms.

To find out more about the State arms see Archives in Brief 110 *The New South Wales Coat of Arms and Related Records.*

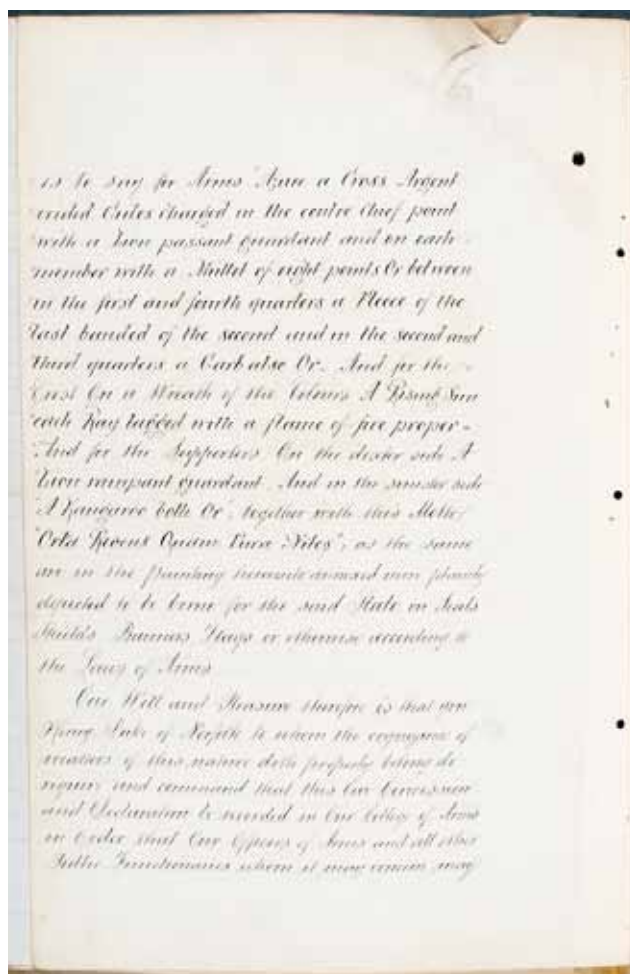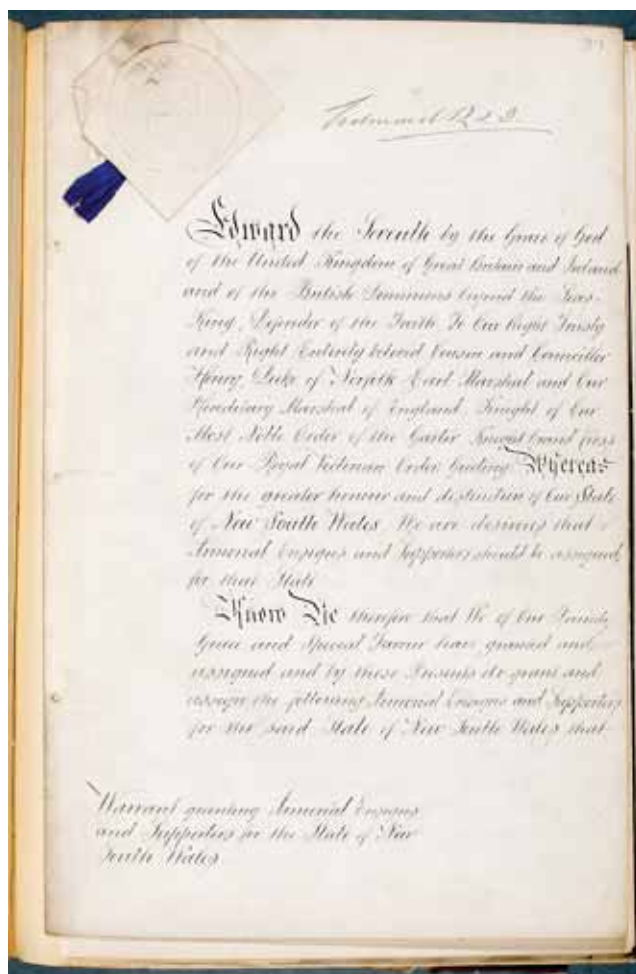
FIGURE 16: (Detail of) NSW State arms – Royal Warrant granting Armorial Ensigns from College of Arms London (folio 316)

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 total of 13,529 enquiries received in 2014-15.

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.

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. There has been an 11% decrease in online copy orders received compared to the previous year. The decrease could be attributed to more or our popular records being made available on third-party provider websites.

	2013-14	2014-15
Orders placed online	4,605	4,251
Orders received by mail	1,135	1,107
Copying orders from the public	5,740	5,358

TABLE 3 - Copy orders from the public.

Objectives for 2014-15
- Enhance services to the public through our online services.

Achievements and highlights
- 84,466 names added to online indexes.
- 3,763,284 unique visitors to our website.
- 8,896 archival research and related enquiries handled by post, email and telephone.

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.

Website visitors

An estimated 3,763,284 visits were made to our website during the year.

Services available on our website include:

- Archive searching (locate information about relevant archives).
- Photograph searching (to 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, convict records, probates 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.

WEBSITE	VISITS	PAGE VIEWS
Main website	2,076,507	36,542,373
API Search	329,319	2,447,790
Archives Outside blog	331,125	1,533,927
eLearning	10,456	121,332
Digital Gallery	173,313	1,272,158
Future Proof blog	178,793	1,037,946
Mariners & Ships (*)	30,867	295,730
Indexes Online	313,971	4,570,627
Investigator Search	214,679	1,807,790
Open Data	20,557	368,449
Soldier Settlement	37,218	709,381
OpenGov NSW	26,826	90,975
NSW ANZACS (**)	19,653	28,962
TOTAL TRAFFIC	3,763,284	50,827,440

(*) Only hosted to October 2014
(**) Google Analytics data - activated 1 Apr 2014
TABLE 4 - Website Activity 2014-15.

Reading room services

The Western Sydney Records Centre reading room continues to be popular with researchers.

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.

Interests of researchers

Topics of interest

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

- First Coroner in the Port Phillip District
- Aboriginal name of part of Cox's River
- Inquests - study on Bush fire management
- Inquests - study on Drownings
- History of doctors on the Far North Coast
- George McRae, Government Architect
- Rabbit Nuisance Act
- Homestead leases
- Pre Federation Colonial Military Forces
- Visit of Chinese delegation to New South Wales, 1980
- Yanderra Pay train robbery, 1941
- Days of prayer and public humiliation
- Patriotic funds for World War I
- First Female Police Officer
- 19th century astronomy
- Trigonometric stations
- Kalang Showboat
- Local people from various towns in NSW who served in World War I
- Railway employees at Gallipoli
- Life expectancy of mental hospital patients

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

Archives can provide essential evidence for establishing a person's identity or entitlements. They can also be part of a person's healing

process after traumatic events affected them in their past. State Records assists people to locate details relating to their own lives, or those of family, subject to appropriate access procedures.

Examples include:

- Using school admission registers to prove they lived in NSW as a child (where their birth may not have been formally registered and they now need a passport).

- Investigating the health of their ancestors through hospital and mental health records to ascertain disease inheritance.

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

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 and dating photographs and collaborative posts in which experts contribute their knowledge on a range of topics through comments. There has been a strong emphasis on digitisation projects and a focus on sharing the work that State Records is doing with its collection, such as *Twelve Days of Christmas* and *State on a Plate.*

Digital Galleries

	2013-14	2014-15
Responses to written enquiries in 20 working days	98%	98%
Completion of copying orders in 20 working days	98%	100%

TABLE 5 - Meeting service guarantees.

Enquiry services remain popular

State Records' public enquiry service continued to be popular. 8,839 enquiries by email and post were received and responded to during the year. This is a 2.2% decrease from 2013-14. This decrease could be attributed to popular records in the collection becoming available on third-party provider websites. There was a 8.9% decrease in telephone enquiries.

84,466 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 84,466 name index entries were added to our own online indexes. New indexes added to our website in 2014-15 included:

- Government Asylums for the Infirm and Destitute, 1880-1896

- NSW Government Employees Granted Military Leave, 1914-1918

- Unemployed in Sydney, 1866

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 1,464,149 index entries online.

ELECTRONIC SERVICE DELIVERY AT A GLANCE:

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

+ 95 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.

FROM THE PUBLIC	2012/13	2013/14	2014/15	VARIATION (%) FROM LAST YEAR
Written enquires (letter/fax)	1,112	1,232	1,176	-4.5
Written enquiries (electronic)	8,724	7,804	7,663	-1.8
Written enquiries total	9,836	9,036	8,839	-2.2
Telephone enquiries	4,472	5,004	4,557	-8.9
TOTAL	14,308	14,040	13,396	-4.6

TABLE 6 - Public enquiry service.

Reading room visits

There were 27,812 visits to 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. 1,158 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 13.8% decrease in the use of original items and a 0.12% increase in the number of readers (using original records in the Western Sydney reading room.

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

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.

FROM THE PUBLIC	2010-11	2011-12	2012-13	2013-14	2014-15
Western Sydney	27,200	28,133	28,092	29,128	27,812
Sydney	21,815	19,289	N/A	N/A	N/A
TOTAL	49,015	47,413	28,092	29,128	27,812

TABLE 7 - Reading room visitors.

FROM THE PUBLIC	2013-14	2014-15	%VARIATION
Original archives issued	27,448	23,647	13.8
Readers using original items	5,047	5,057	0.12
Average number of original items per readers	5.4	4.7	-13

TABLE 8 - Usage of original archive items by readers at Western Sydney Reading Room.

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. In 2014-15 2,859 requests were made for archives, with 1,727 items returned or copies supplied to the relevant agencies entitled to recall them.

Kit of copied archives and guides facilitates regional and rural access

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

State Records 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

Total number of images added to database during 2014-2015

A total of 2,868 digitised State archives were added to BOS, our archives management system. Of these 1,590 were of photographic material and will appear in Photo Investigator. The remaining 1,278 images were of non-photographic material such as documents, maps and plans and will be accessible through *Archives Investigator.*

1,590 photographs digitised.

During 2014-2015 1,590 digitised photographs were added to BOS our collection management system. Digitised photographs are available online to the public through Photo Investigator. These additions were from the following series:

- NRS 15051 School Photographic collection continued to be digitised and added to PI - 1,363 images (2427 now available online)

- NRS 9873 Doctors Photos - 65 images (series already appearing in PI continued to be digitised and added to PI as requested 280 now available online)

- NRS 15309 Photograph album of Eveleigh Workshops during the 1917 railway strike – 63 images

- NRS 20453 Photograph albums of Centennial International Exhibition, Melbourne 1888 [part of the Carrington volumes] – 43 images

- NRS 20231 Photographs of Sydney Harbour Trust staff killed in action in World War I - 41 images

- NRS 17420 State Rail Authority Archives Photographic Reference Print Collection - 15 images (series already appearing in PI continued to be digitised and added to PI as requested 1442 now available online)

This will bring the total number of images available on *Photo Investigator* to 14,604.

We currently have 2,989 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.

1,278 maps, plans and documents digitised

During 2013-2014 1,278 digitised maps, plans and documents were added to BOS our collection management system. Non-photographic digitised archives are available online to the public through Archives Investigator. These additions were from the following series:

- NRS 13886 Surveyor General sketch books digitisation continues. 933 maps were digitised and uploaded this financial year bringing the total available online to 1927

- NRS 4335 Plans of Public Buildings 216 plans added making a total of 627 plans digitised and available online

- NRS 20455 Album of Addresses presented to Lord Carrington as Governor of New South Wales. A further three volumes were digitised with 68 images added making a total of 88 images available for this series.

- NRS 20454 Illuminated album presented by the Municipal Association of New South Wales – 10 images

- NRS 20759 Admission registers [Balmain Public School] 46 images

- NRS 17137 Cyril A Farey Perspective Drawings of Proposed Bridges across Sydney Harbour – 5
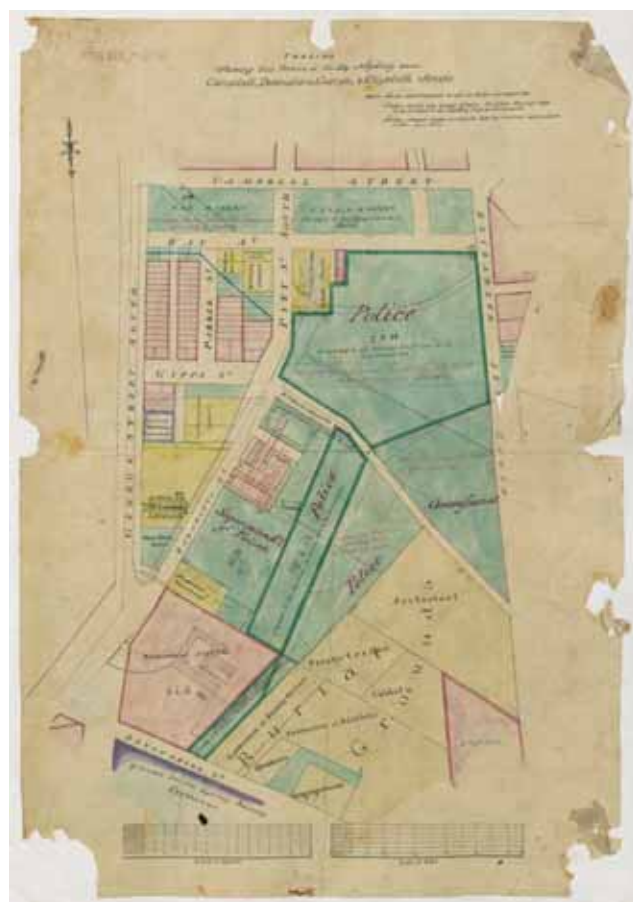
FIGURE 17: Tracing showing that portion of the City of Sydney between Campbell, Devonshire, George, & Elizabeth Streets, Volume 7 Part 1, 1/1/1854-31/12/1857. NRS 13886, [X766]
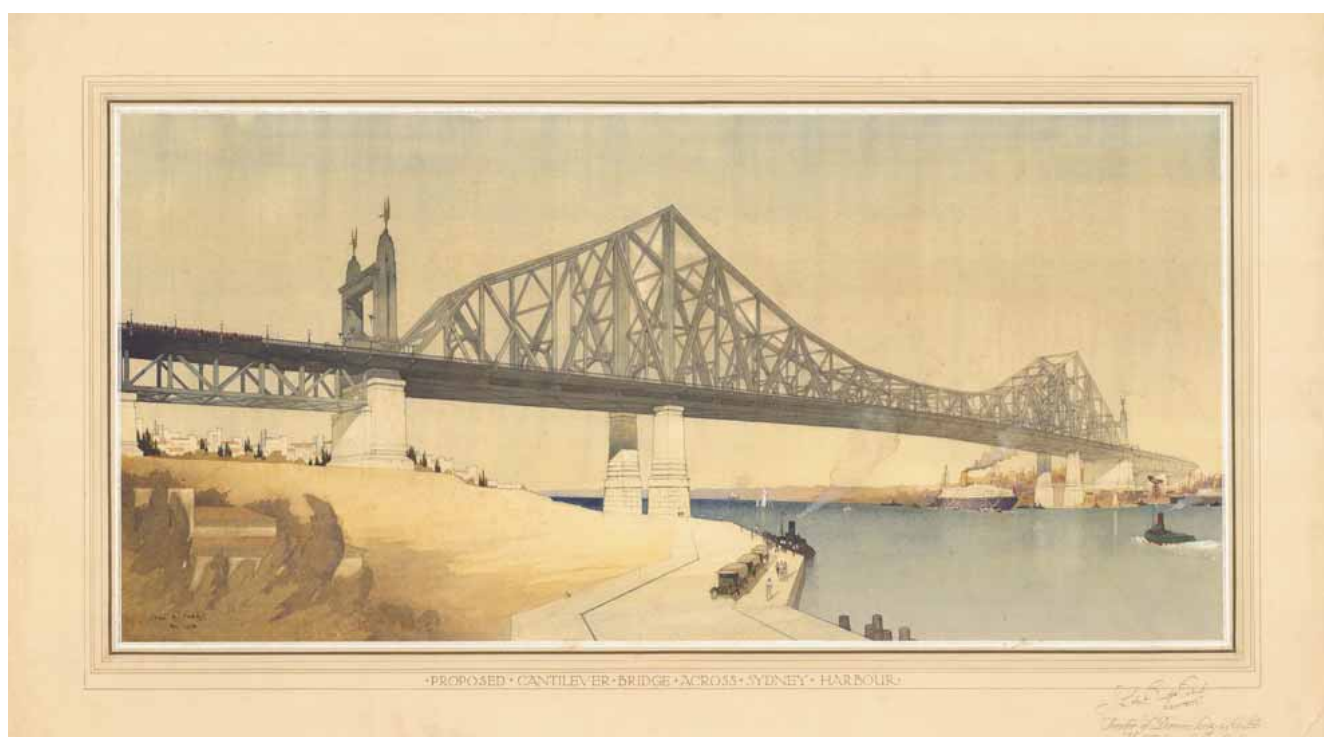
FIGURE 18: Proposed Cantilever Bridge Across Sydney Harbour Alternative C2. NRS 17137, 4.

NRS 15051 School Photographic Collection

FIGURE 19: Holmwood Public School - Theatrical costumes including magpie, c.1911. NRS 15051

FIGURE 20: Hay Public School - Kindergarten Class - Teacher Mrs Nell Nee c.1933. NRS 15051

FIGURE 21: Department of School Education - Staff Records Room 1905. NRS 15051

FIGURE 22: Corowa Public School - sock barometer, grand total 140 pairs - socks for soldiers 1917. NRS 15051

FIGURE 23: Hillgrove Public School - Life Saving Lesson at Garibaldi Dam c1908. NRS 15051

NRS 4335 Plans of Public Buildings
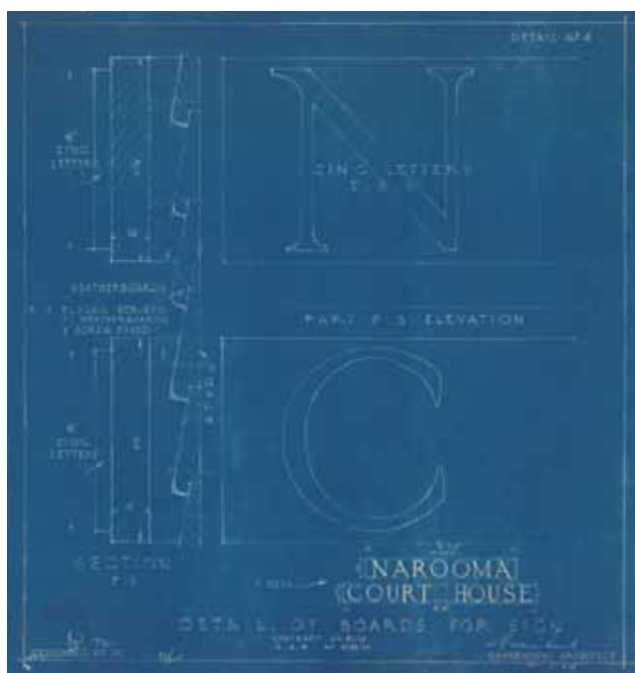
FIGURE 24: Narooma Court House, details of boards for sign, 1934. NRS 4335
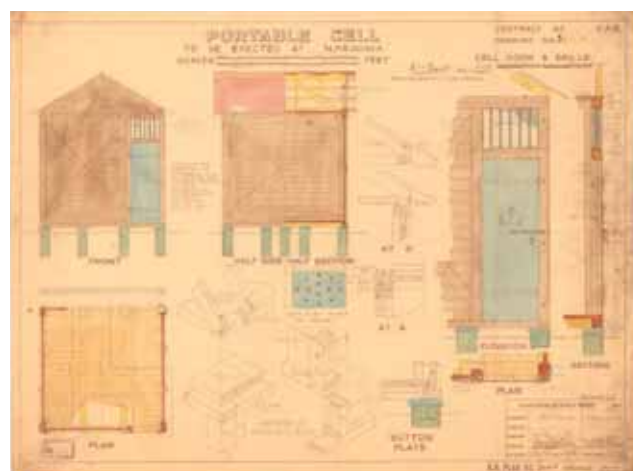
FIGURE 25: Portable cell to be erected at Narooma, 1915. NRS 4335"

FIGURE 26: Chippendale Public School. Back and front elevations, (undated). NRS 4335

FIGURE 27: Carcoar Court House. Flagstaff, 1915. NRS 4335
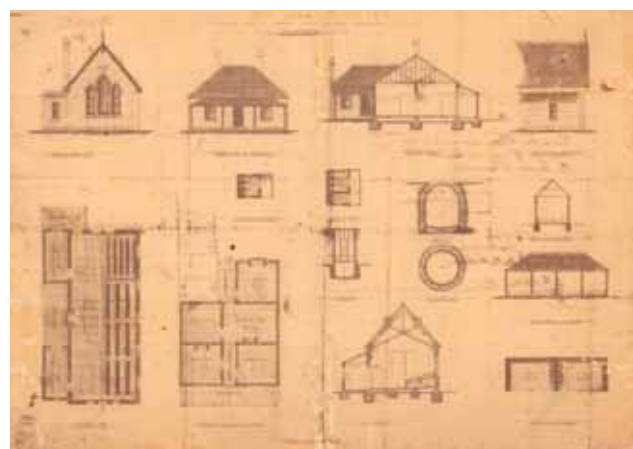
FIGURE 28: Plan of public school and teacher's residence, Bungendore, [annotated copy of original 1878 plan]. NRS 4335

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 moved 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.

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.

FIGURE 29: Storage cell, Western Sydney Records Centre

FIGURE 30: Exhibition *Public Service / War Service*, Western Sydney Records Centre

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 organize 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.

Figure 31: Minister for Finance and Service, The Honourable Dominic Perrottet launching the exhibition *A Call to Arms*

Objectives for 2014-15

• 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 69 outreach events, attended by 2,038 people.

	2013-14	2014-15
Onsite	1,505	663
Sydney	344	647
Western Sydney	188	148
Regional and rural NSW	924	510
Canberra	230	100
Outside NSW	0	0
Overseas	0	0
TOTAL	3,191	2,038

TABLE 9 - Numbers of public program participants.

Centenary of Anzac website and exhibitions

In September 2014 State Records marked the Centenary of the commencement of World War I with the launch of the website 'New South Wales Anzac Centenary - Records of NSW and World War I', and the opening of the exhibition 'A Call to Arms'.

The NSW Anzac Centenary website looks at three key themes:

- *In Service* – enlistment and the response of the Government and people of NSW

- *On the Home Front* - what day-to-day life was like for people in Sydney and NSW during the war years

- *In Remembrance* – how the war was commemorated across NSW, in particular through war memorials

The NSW Anzac Centenary website features online research guides to help family historians retrieve their WW1 stories from government records. The guides identify research pathways for tracing the stories of NSW soldiers and nurses, and highlight resources from our collection that provide background information to life in New South Wales at the time of the war. Content will be regularly added to the website over the course of the Anzac Centenary, 2014-2018. Pages relating to the Gallipoli Campaign and Voices from Gallipoli were added to the ANZAC Centenary website in April 2015.

- The exhibition *A Call to Arms* mirrored the themes of the website and drew from the archive's vast collection to look at New South Wales life during the war years. *Call to Arms* highlighted records from the declaration of war on 4 August 1914 up until September 1916, when the first plebiscite (public vote) was held on the conscription of young men into war service.

A Call to Arms exhibition honoured the sacrifices made by the people of NSW during WWI, both in service and at home. The exhibition highlights records from the declaration of war on 4 August 1914 up until September 1916, when the first plebiscite (public vote) was held on the conscription of young men into war service. The exhibition was officially opened by the Minister for Finance and Services, the Honourable Dominic Perrottet on 12 September 2014. A total of 55 guests attended the launch, notable guests included Tanya Davies MP, Member for Mulgoa; The Honorable Peter Phelps MLC, State Records Authority Board; Air Vice Marshall Bob Treloar, NSW Centenary of ANZAC Advisory Committee; Anthony Lean, Acting Chief Executive Officer, Office of Finance and Services. The exhibition was well received across both the academic and genealogical research communities and garnered considerable media attention. State Records received many comments from members of the public, who have been inspired to do their own WWI family history research using the guide specially prepared for the centenary.

Figure 32: Exhibition *A Call to Arms*, Western Sydney Records Centre

Figure 33: Minister Perrotett with State Records NSW Director Geoff Hinchcliffe at the launch of exhibition *Public Service/War Service*

Public Service / War Service exhibition

A second exhibition marking the centenary of launch of the Anzac campaign opened on 27 April 2015. *Public Service/War Service* honours more than ten thousand NSW government employees who volunteered for service in World War I, with many giving their lives for their country. Others fulfilled essential services at home, and government departments were transformed to perform wartime roles. Research also highlights how government departments were transformed to perform wartime roles. The launch of the *Public Service / War Service* exhibition by the Hon. Dominic Perrottet took place on 19 May 2015 with 70 people attending the event. The launch was covered on the ABC TV News at 7pm with interviews with family members of those featured in the exhibition and an interview with archivist Rhett Lindsay showing the records of Maude Marion Rhodes, the first woman police officer appointed in New South Wales.

In conjunction with the exhibition the Index to NSW Government Employees granted military leave, 1914-1918 was added to our online indexes. This index includes NSW Government employees who were reported to have been granted military leave, or to have enlisted as nurses and military or navy personnel during World War I, 1914-1918. The index was compiled by State Records NSW staff and volunteers, as well as Bill Phippen of the Australian Railway Historical Society, NSW Division.

Figure 34: Director with Mr and Mrs Robinson at the display of Carrington Albums at the University of Newcastle Archives

History Week 2014 events

Two key events were held during History Week 2014 on 10 September 2014 as part of State Records Centenary of Anzac program The talks on World War 1 as documented in the NSW State archives covered the topics NSW Public Servants in WW1, Enemy aliens in NSW, Life in Sydney during the war and Nurses on Soldier Settlement blocks after WW1. A tour of the Western Sydney Records Centre was also offered to participants. A total of over 50 people attended the History Week talks and tour.

World War I-era Probate Packets

A project funded jointly by the NSW Bar Association, the Law Society of New South Wales and the Supreme Court contributed to the the Centenary of ANZAC by listing Probate Packets 1914-1918. State Records is very grateful for the generous support received with the lists of 31,443 Probate Packets now searchable in Archives Investigator and Search.

Towns Through Time app released

State Records' app *Towns Through Time* is a mobile phone app by Bathurst-based developers Appiwork who were the winners of an Apps4NSW challenge. *Towns Through Time* provides images from our photo collection based on your location. You can also browse other towns and locations using a keyword search function. It is available on iTunes and Google Play.

Carrington albums on display at regional repositories

A total of 22 Presentation Albums were originally given to Lord Carrington (1843-1928), during his tenure as Governor of New South Wales from 1885 to 1890. They contain original photographs, illustrations and well-wishes from residents, towns and various associations across the state. In 2014 the volumes were gifted to the people of NSW by the descendants of Lord Carrington and are now part of the State archives collection. During 2014-15 the Director hosted special viewings of the Carrington albums at the regional repositories at Charles Sturt University in Wagga Wagga on 30 October 2014, the University of New England Heritage Centre in Armidale on 5 November 2014, and the University of Newcastle Archives and Newcastle Region

Library on 3 and 4 June 2015. State Records thanks Wayne Doubleday, Bill Oates, Gionni di Gravio, Suzie Gately and Sue Ryan for hosting these regional viewings. Director Geoff Hinchcliffe spoke on Lord Carrington and his times. Conservator Dominique Moussou shared her observations and insights into the volumes, gleaned from her documentation and preservation work as they were accepted into the collection. The special regional viewings created a great deal of local media interest, including radio and television interviews and stories in print and online newspapers.

Carrington albums on display in the reading room

Because of the high level of interest in the Carrington albums State Records has installed a changing exhibition of pages from the volumes in the Reading Room. The albums are displayed in state-of-the-art conservation standard showcases and monitored closely by our Conservation staff. The featured examples highlight the standard of the illumination work presented to Lord and Lady Carrington during

Figure 35: Carrington album display, Reading Room, Western Sydney Records Centre

Figure 36: Carrington album display, Reading Room, Western Sydney Records Centre

their time at Government House. Selected prints of illustrations are also on display as window and wall features. There have been many positive comments from readers and volunteers who use the reading room. Digitised copies of the albums are also available to view in Archives Investigator (including Volume 2, Volume 4, and Volume 14 from NRS 20455, and Volume 1 from NRS 20454).

Serving the Indigenous Community

State Records continued to provide services for the Indigenous Community and support OCHRE the NSW Government plan for Aboriginal affairs.

It stands for opportunity, choice, healing, responsibility, empowerment and is symbolic of Aboriginal communities' deep connection with Country.

State Records NSW took part in the following events:

- State Records Indigenous resources, State Library of NSW Australian Indigenous Unit staff, August/September 2014.

- The suitcase version of the *In Living Memory* exhibition was on display at the 90th Commemoration of the Kinchela Boys Training Home at Kempsey, 24-26 October 2014. State Records also donated a digital copy of the Kinchela School Admission Register, 2 Jul 1923-26 Nov 1962 [1/9814].

- FACS Cultural Support Aboriginal WomenGroup, Aboriginal records held at State Records

CASE STUDY
The Bindoff family story

State Records staff have been able to trace the descendants of Harold Bindoff, an Aboriginal WWI serviceman featured in the *Public Service/War Service* exhibition including Noel Butler. With instigation from State Records and involvement with Teresa Mullan, OFS Media Manager, Noel's family story had interest from the media. Noel has spoken with ABC, Channel 7 and 2UE. Noel and his family marched in the Milton Anzac Day march on ANZAC Day 2015 representing the Bindoffs for the first time.

Addressing the needs of culturally diverse communities

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

Outreach

Public access staff presented an extensive outreach program to more than 2,000 attendees of various societies, libraries and groups around the Sydney area and farther afield throughout the State. Talks were presented on a range of topics showcasing records in the State archives collection.

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.

Figure 37: Minister Perrottet with descendants of Harold Bindoff. L to R : Kathy Mossemenear, Dominic Perrottet - Minister for Finance and Services, Jeff Dunn, Cheryl Salmon and elder Uncle Greg Simms

FIGURE 38: State Records' city office is located in the Land and Property Information building at Queens Square. View across Queen Square and the Domain with Registrar General's Office in the foreground, undated. NRS 12932

WHOLE-OF-GOVERNMENT SERVICES
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 information and records need to be kept from a regulatory, business or archival perspective, retention policies underpin sound digital information and records management. Prompt destruction of records that are no longer needed will reduce storage costs, assist agencies to manage growth in data and information 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 effectively to digital information and records.

Records retention policies cover whole public sector

Objectives for 2014-15

- Ensure that public offices have comprehensive records retention policies in place and ensure public offices keep them under review.

- Ensure that agencies responsibly plan for the retention and disposal of digital records and destroy time expired digital information and records to reduce accumulation and manage risk.

Achievements and highlights

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

Records retention policy coverage across the NSW Public Sector

Many public offices have all of their records covered by records retention policies as a result of our strategy 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 and other agencies. These account for approximately 58% of the organisations in the NSW public sector.

Of the remaining government agencies and State owned corporations (which account for approximately 42% 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 2014-15 approximately 77% 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.

During the year fourteen new retention policies were approved with ten additional public offices achieving comprehensive disposal coverage through the issue of these policies. Four public offices maintained comprehensive disposal coverage through the issue of these policies. These included the Agency for Clinical Innovation, Australian Children's Education and Care Quality Authority, Bureau of Health Information, Clinical Excellence Commission, Cobbora Holding Company, Health Education and Training Institute, NSW Civil and Administrative Tribunal, NSW Electoral Commission, NSW Kids and Families, NSW Ministry of Health, Office of the Children's Guardian, Public Service Commission, State Emergency Service, and the Sydney Harbour Foreshore Authority.

Three of the policies approved permitted the transfer of ownership or possession of certain records as a result of the sale of government assets or businesses. One policy was developed to reduce retention requirements applying to maintenance records of decommissioned power station plant and equipment no longer required for operational or demolition purpose or for the management of ongoing liabilities.

Three of the records retention policies approved during the year were reviews of existing policies. This included a comprehensive review of the policies for the Office of the Children's Guardian and Sydney Harbour Foreshore Authority. The general policy covering the destruction of original records copied by imaging processes (digital or microfilm) was also reviewed. The new policy applies to a broader range of copying processes and extends the date range of its application to original records identified as State archives. The policy establishes conditions, exclusions and limitations on the date range of its application to ensure the ongoing protection of archival records warranting retention in their original format whilst also supporting NSW public offices in transitioning to digital recordkeeping.

	RESULT 10/11	RESULT 11/12	RESULT 12/13	RESULT 13/14	RESULT 14/15
Whole of agency	6	11	7	7	8
Partial	6	7	7	12	6
TOTAL	12	18	14	19	14

TABLE 10 - Retention policies approved.

During the year amendments to five existing policies were also approved to incorporate identified changes to requirements for records and to ensure the policies continued to provide comprehensive coverage. The general policies covering administrative records of the NSW public sector, local government and national bodies were updated to ensure coverage remained comprehensive and reflected current requirements with respect to credit card transactions. Amendments to the policies for NSW Police and NSW Industrial Relations were also approved.

CASE STUDY
Increasing retention policy coverage through the development of general policies

One of the new retention policies approved during the year was a general retention and disposal policy for the NSW Health 'Pillar Organisations'. The Health Pillar Organisations provide statewide health support services encompassing health strategy and policy, education and training, clinical care standards, quality assurance and improvement and service performance reporting. They include the Agency for Clinical Innovation, Clinical Excellence Commission, Bureau of Health Information, Health Education and Training Institute and NSW Kids and Families.

All of these organisations were identified as having no current functional retention policy coverage. Rather than requiring each organisation to individually develop their own policy, State Records initiated a project to develop a general policy to cover all five organisations. State Records drafted the policy in consultation with the organisations and the Ministry of Health.

State Records' will continue to identify opportunities for increasing retention and disposal coverage across the NSW public sector through strategies such as the development and issue of general policies or the amendment and extension of the scope of application of existing policies. These strategies not only have the benefit of increasing retention policy coverage but also support consistency in retention policy outcomes across the NSW 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 continue to 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 and to look for opportunities to expand their application.

Figure 39: Catherine Robinson, Senior Project Officer, Government Recordkeeping addressing a Records Managers Forum

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, supports good governance and is an integral part of efficient public administration.

Quality recordkeeping depends on public offices having effective strategies, systems and practices in place so that the right information is created, managed and accessible for as long as it is required. Failures to document decisions, failures to keep reliable evidence of government actions, failures to manage records or failures to locate information can cost the

NSW Government financially or can cause embarrassment and result in loss of public trust.

State Records 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. 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.

Objectives for 2014-15

- Complete the review of five key standards.
- Development of new Standard on Records Management
- Development of new supporting guidance for the Standard on Records Management.

Achievements and highlights

- Issue of new Standard on Records Management
- Review and refresh of e-learning modules and training courses to reflect new standard
- Effective use of the Future Proof blog and twitter account to communicate widely

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. During this period five standards were reviewed and revoked: These were:

- Standard on full and accurate records
- Standard on managing a records management program
- Standard on digital recordkeeping
- Standard on counter disaster strategies for records and recordkeeping systems
- Standard on the appraisal and disposal of State records

These were replaced by the new Standard on records management, issued in March 2015. This standard is reported on in the section State of Public Sector Recordkeeping.

Figure 40: Geoff Hinchcliffe, Director and Jenni Stapleton, Deputy Director at a Records Managers Forum

	2010-11	2011-12	2012-13	2013-14	2014-15
Keyword AAA	10	13	9	8	4
Keyword for Councils	9	15	7	4	2
Revenue	$19,785	$24,324	$14,040	$11,330	$5,205

TABLE 11 - Keyword licenses sold and revenue.

Keyword thesaurus products

State Records keyword thesaurus products have 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 wide range of information management purposes.

Our two records management thesaurus products continued to sell, particularly outside the NSW public sector and overseas. During 2014-2015 4 Keyword AAA licences sold (Universities Australia, Aboriginal Health Council of South Australia, Hazelwood Power (GDF Suez Australia), ChemCentre WA) and 2 Keyword for Councils licences sold (Shire of Carnarvon WA, Shire of Narembeen).

Collaboration with government and industry

State Records regularly participates in cross-agency initiatives and working groups. During 2014-15 this involved:

- Participation in the Department of Family Community Services' OneTRIM steering committee and Technical Advisory Group.

- Participation in the Community of ICT Professionals.

- Participation in several NSW ICT Strategy working groups – including the Enabling Information Sharing Working Group, Information Management Community of Expertise, Information Security Classification and Labelling Guidelines consultative group.

- Participation in the Department of Finance, Services and Innovation's Information & Records Management Network

State Records participates in industry research and standards-setting where the outcomes have direct relevance to recordkeeping in the NSW public sector. During 2014-15 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 subcommittee IT21/5 Management systems for records.

Digital Recordkeeping

State Records has a strategy to provide guidance and advice that will ensure that the New South Wales government documents its business via the creation of robust, useable and trustworthy digital records.

Improved government service delivery is contingent on access to good, accurate and accountable business information. During 2014-15 a main focus of digital recordkeeping was developing advice as part of the implementation of the new Standard on records management. In addition, work commenced on the development of new advice in a number of key areas, including decommissioning of business systems.

Information and records management advice was provided to several agencies undertaking major digital projects. Advice included interpretation and explanation of guidance and standards, connecting project managers with leading practitioners in other agencies or departments, and bringing together diverse organisations with similar challenges.

Future Proof blog

The blog continues to attract a strong following within the NSW Public Sector as well as more broadly in the industry. 29 blog posts were published in 2014-15, covering a wide range of topics. In this period there were 178,793 visits to the Future Proof blog.

We used the blog to promote new guidance published on our website and other organisational initiatives, and to provide summaries of advice given about emerging issues in the sector. Topics covered included corporate social network systems, managing information in cloud systems, managing organisational change, managing information in a mobile working environment and managing privacy in digital systems. The informal mechanism of the blog provides an opportunity to share ideas which may not yet be formal guidance, but which are emerging as important issues.

During 2014-15, an overseas university began using podcasts from the blog in the course materials for their Masters programme in Records and Information Management. Blog posts were also picked up by or referenced by other sources.

Digital Recordkeeping Advisory Group

The Digital Recordkeeping Advisory Group was established in 2007. The Group:

- advises State Records on real world examples of digital records issues and challenges;

- provides feedback on products developed as part of digital records and archives strategy; and

- are invited to test digital records and archives solutions.

The Digital Records group meets quarterly and in 2014-2015 comprised representatives from:

- Attorney General and Justice
- City of Sydney
- Clinical Excellence Commission
- Department of Education and Communities
- Office of Finance and Services
- Sydney Water
- 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. During 2014-2015 State Records coordinated a national project for ADRI on management approaches for cloud-based email. This project aims to identify minimum best-practice requirements to help government organisations ensure that high-value / high risk email records are managed in cloud environments and remain accessible during future system and service transitions.

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 recordkeeping and 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.

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CASE STUDY

Digital Implementers Group: sharing experience and knowledge

The Digital Implementers Group is run by State Records as a community of practices and as an avenue for knowledge exchange. During 2014-15 the group met 6 times, with 93 attendees. These meetings are an opportunity for public sector practitioners to share strategies and insights about their records and information management projects.

During the year the group expanded its focus to cover a range of issues faced by organisations undertaking digital initiatives, in response to the more strategic roles being played by the group's members in their organisations. The group is focused on how to get the most value from business information and enhance the design of digital processes. Group members have roles with a wide scope of responsibilities across their organisations.

The meetings included some formal presentations from leading public sector organisations about records and information management projects. The group also provided practitioners' perspectives on emerging challenges through informal surveys, and served as a focus group for new guidance being prepared by State Records.

Many organisations are being driven to deliver records and information management capabilities 'any time and anywhere', and have these seamlessly integrated with business processes. The group held discussions on contemporary challenges such as managing information with a mobile workforce and implementing enterprise-wide search technologies.

In order for the whole sector to benefit from the group's insights, summaries of the discussions were also published on the Future Proof blog.

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 useful 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 2014-15 we promoted good recordkeeping to CEOs through:

- Sending 8 information packs to new CEOs; and
- Issuing the seventh edition of Future Proof newsletter to all CEOs.

Providing records management guidance and advice

State Records provides online guidance and resources on a range of records management topics via our website. We also produce a newsletter For the Record, issued 6 times a year, which is aimed at provide updates and advice to records management staff within the NSW public sector. In 2014-15, State Records responded to over 1330 enquires about recordkeeping and records management from a range of people working within the NSW public sector, non-government organisations , private individuals and organisations, and from other jurisdictions. These enquiries were of varying levels of complexity.

Objectives for 2014-15

- 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

- Continue sending information on recordkeeping obligations to new public sector CEOs

- Continue records management short course training program, in partnership with private sector providers.

Achievements and highlights

- 835 participants in records management events.

- Advised 8 new Chief Executives of recordkeeping obligations.

- 10,456 visits to the e-learning site.

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.

Demand for records management training continues

Our wide range of training options continues to be popular with public offices with a total of 368 participants attending our short courses, EDRMS Implementers Discussion Group, or the Managing Recordkeeping Risk in Business Systems workshops.

In collaboration with our training partners, 28 short courses were delivered to a total of 275 participants. Courses were held at locations around NSW: including the Sydney CBD or Western Sydney and courses in 2 regional centres (Lismore and Armidale).

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 8 occasions for clients in Sydney.

Our commitment to improving the level of records management skills across the NSW public sector is long standing: we have provided short course training for 30 years. Thanks are due to our training partners: Recordkeeping Innovation, Siller Systems Administration, and Synercon Management Consulting.

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 467 public officials attended various recordkeeping events and presentations. Key events were:

- 277 NSW public officials attended our Records Managers Forums (three held in Sydney)

- 15 Presentation at the Government Special Interest Group meeting

- 10 Presentation on Digital Document Management to Treasury Managed Fund Claims Managers

- 30 attended a presentation to RIMPA Local Government Chapter Meeting in Albury on Digital Disposal and Contemporary Digital RK Challenges

- 35 attended a presentation to NSW Health Privacy Contact Officers Network on new standard

- 100 attended the Privacy Awareness Week event in which State Records participated in a joint information stall, provided advice and distributed leaflets on managing Information and privacy.

Our Training Resource Centre and suits of e-learning modules continue to be well received. During 2014 – 15, we had 10,456 visits to the e-learning site, and 121,332 page views.

During the year 4 online courses were revised and replaced with new content in March 2015:

- Role of the Nominated Senior Officer (new course title Role of the Senior Responsible Officer)
- Recordkeeping Concepts
- Digital Recordkeeping Concepts
- Framework for recordkeeping (new course title Framework for records & information management in NSW).

RESULT 10/11	RESULT 11/12	RESULT 12/13	RESULT 13/14	RESULT 14/15
579	485	381	389	275

TABLE 12 - Training course participants.

CASE STUDY

Managing Recordkeeping Risk: Workshop For Public Sector Staff

The Managing Recordkeeping Risk in Business Systems workshop is a free course delivered by State Records. The course looks at the broad range of environments in which digital information is created and managed. It provides an opportunity for public sector participants to develop practical solutions to address the risks to information in their specific organisations, as well as value-adding strategies.

Government organisations have shown a strong demand for the recordkeeping risk course, with 68 participants at the 6 workshops in 2014-15. The participants have been from a diverse range of organisations and roles. Along with the records and information management focused individuals which have traditionally come along to the course, a number of attendees with broad responsibility for risk across their organisations attended, and a number of people in senior management roles.

The course is constantly benefiting from the insights of the participants. Examples of successful initiatives discussed by attendees are frequently used to reinforce the case studies in the course. In 2014-15, the high risk and high value principles in the new *Standard on Records Management* were reinforced in a refresh of the course materials, and have helped focus the course's attendees around specific opportunities to address information risks and add value within the standard's framework.

Digital State Archive

The Digital Archives project has entailed 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 that have been 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.

Outlook and Capability

The priorities for the Digital State Archive going forward are:

- the commencement of new migration projects for digital records at risk

- further enhancement of search facilities for the Digital State Archive, including the provision of a 'one stop shop' that spans digital government information stored in the Digital State Archive, OpenGov NSW and Data NSW; and the development of a secure remote access facility for public offices to use migrated records that are closed to public access.

Achievements

In June 2014 the Minister for Finance and Services, Dominic Perrottet, announced a further four years of funding for the continuation of the work of the Digital State Archive.

Achievements over the last year include:

- completion of the majority of the pilot digital archives migration projects, including finalising the transfer of the digital records of former premiers Carr, Rees and Keneally

- entering a 'business as usual phase' and inviting NSW agencies to initiate new migration projects

- commencement of new migration projects with WorkCover, Campbelltown Council, the NSW Electoral Commission, Destination NSW, Macquarie Generation, and Transgrid

- delivering presentations on the Digital State Archive project at iPres 2014 (International Conference on Digital Preservation) and at the July 2014 and March 2015 Records Managers Forums

- creating a suite of document templates to support the Digital Archives Migration Methodology, a structured approach to migrations of systems into the Archive upgrading the software systems that support the Digital State Archive.

OpenGov NSW

OpenGov NSW is a searchable online repository for NSW Government publications such as annual reports, strategic plans, guides and policy documents, as well as information released by agencies under the Government Information (Public Access) Act 2009 (GIPA). Its role is to increase access to NSW government information and to simplify the publishing process for government agencies.

NSW Government agencies, local government councils, NSW universities and State owned corporations can use OpenGov NSW to publish current as well as legacy publications and Government Information (Public Access) Act 2009 (GIPA) released information. Agencies are obliged to publish each year's Annual Report on OpenGov NSW under Ministerial Memorandum M2013-09: Production Costs of Annual Reports.

By publishing on OpenGov, agencies can ensure that important government information remains available to government and the public without having to maintain it all on their own websites. By using the state of the art preservation technologies of State Records' Digital State Archive, the contents of OpenGov are assured of remaining accessible and secure into the future.

During 2014-2015, over 700 new publications were published on OpenGov NSW.

More information

More information on OpenGov is available in a set of FAQs on the site: www.opengov.nsw.gov.au/faq
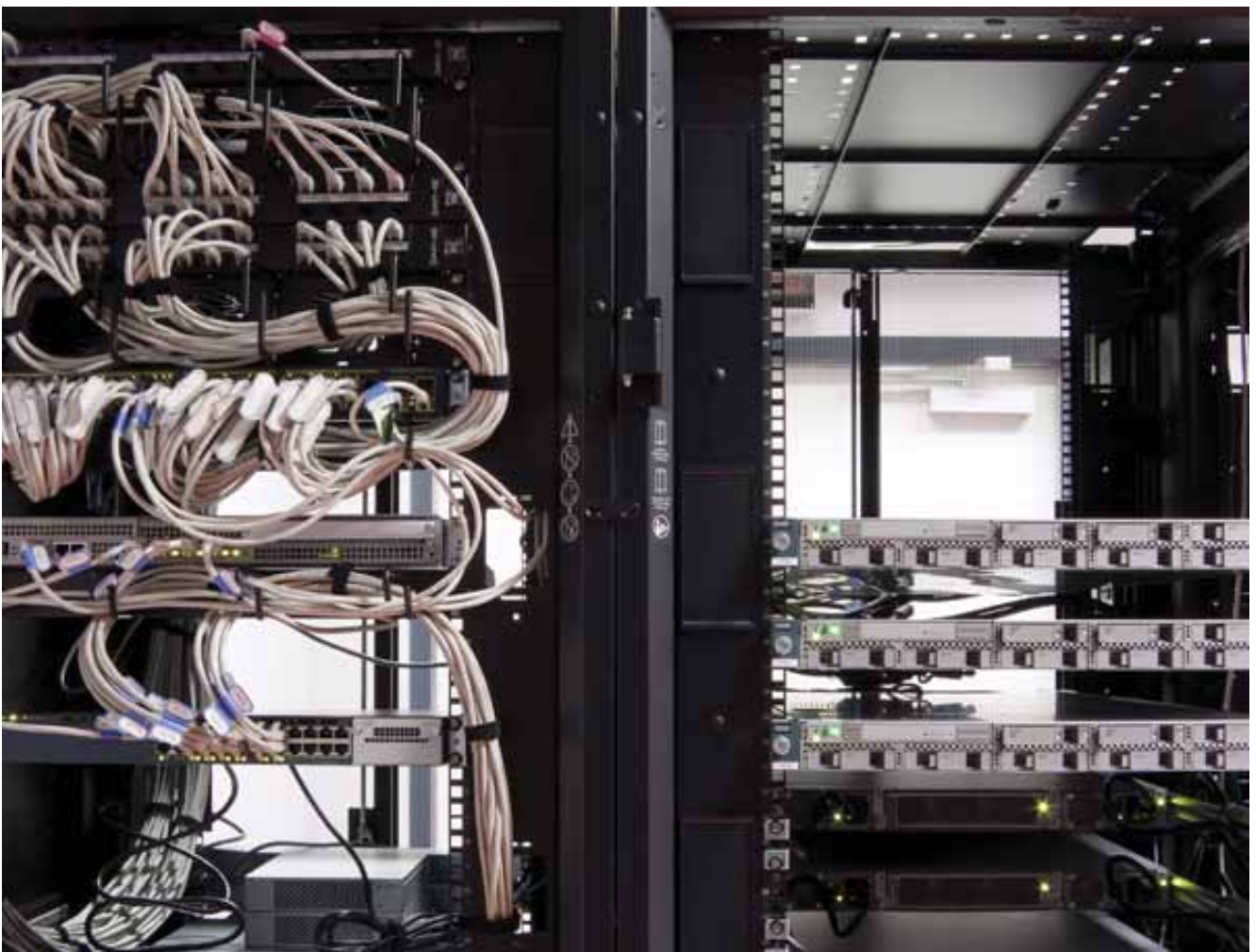
Figure 41: Digital State Archive
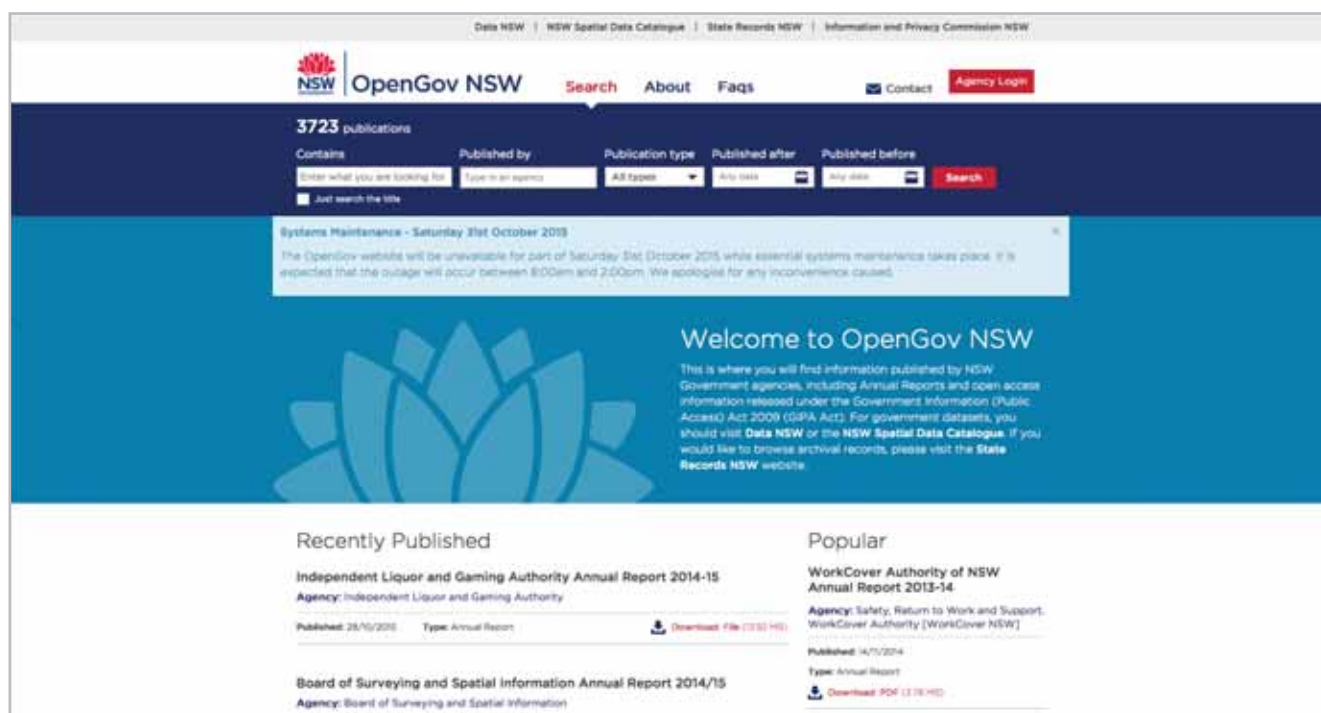
Figure 42: OpenGov NSW website

Open Data initiatives

Encouraging creative use

State Records participated in the December 2014 Apps4NSW challenge. The winning entrant, appiwork, a small ICT development firm based in Bathurst, created a mobile application, *Towns Through Time*, that utilises State Records' data to create a location-based interface to our photographic collection. The app was released for both Android and iOS devices in May 2015. The app provides a novel way of accessing State Archives and engages a whole new category of users.

State Records was a sponsor of the 2015 Linked Open Data Libraries Archives Museums (LODLAM) summit. This is an international forum focussed on the sharing of cultural heritage data. It was hosted by the State Library of NSW. Four members of the Digital Archives team participated in the summit, sharing their expertise with the sector and learning from developments in libraries, galleries and museums.
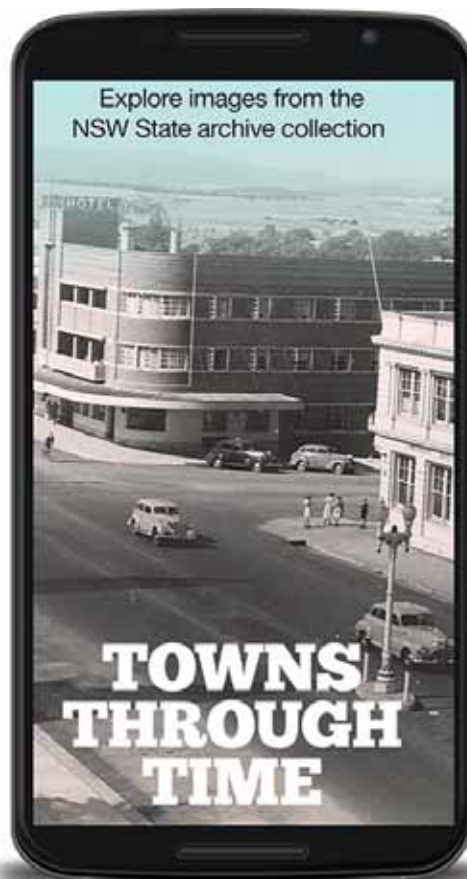
Figure 43: Towns Through Time

COMMERCIAL SERVICES
Non-current records stored efficiently

In 2014-15 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 a strong year with a solid result.

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

While demand for storage and retrieval of physical records continues to grow, the GRR has been working hard to meet client needs in terms of digital services, including digitization, consulting and hosting. The GRR is continuing to develop and offer value-added services to allow clients to focus on their core business, and provide an income stream in the face of an anticipated future decline in paper storage requirements.

The work of the GRR also gives the wider group of State Records NSW significant insight to the challenges and trends that the sector is experiencing. The GRR works closely with agencies to help them efficiently control, manage and legally dispose (including transfer to the archival collection) of their records in a timely fashion. This assists State Records NSW in achieving its strategic objectives by leveraging industry experience.

File storage and retrieval service demand met

The GRR accessioned 47,238 linear metres of incoming records during the year compared to 39,200 in 2013-14. With 10,150 linear metres of records being destroyed, transferred or permanently recalled, net growth of 37,088 linear metres was achieved. This is the highest net growth figure recorded for the GRR.

2014-15 saw the GRR holdings grow to their highest level at 564,238 linear metres of public sector records.

Achievements and highlights

- 6.6% holdings growth
- $2.8 million operating surplus
- Large scale digitization projects
- High levels of activity in the health sector

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 2014-15, the GRR performed 279,099 file retrieval operations, representing a 24% decrease. In 2014-15 the GRR did not experience any large-scale withdrawal of records from storage and this accounts for the comparative decrease. Underlying use of the records held by GRR remains on trend. The ratio of retrievals to holdings continues to slowly decline, as the high use short term records are now commonly held in electronic systems maintained by clients. Records held by the GRR generally have long retention periods and lower retrieval requirements than in the past. However, holdings growth is ensuring that retrieval (for use by the client) quantities are remaining steady.

RESULT 2013-14	RESULT 2014-15	TARGET 2014-15
3.2%	6.6%	5%

TABLE 13 - Net growth of holdings

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.

10,000'S
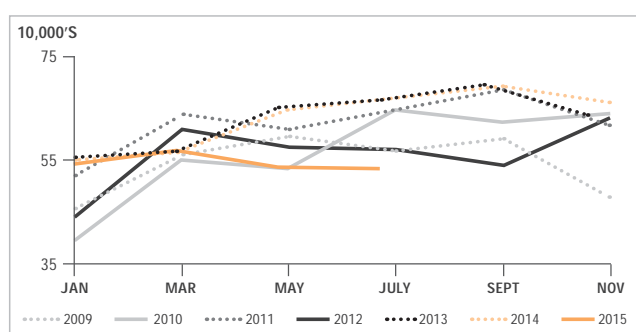
FIGURE 44 - File retrieval operations

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. Again, the decrease in operations has been driven by the low level of destruction and removal of records from GRR holdings.

YEAR	OPERATIONS	% INCREASE
2011-12	883,019	5%
2012-13	898,200	2%
2013-14	875,420	-3%
2013-14	746,346	-15%

TABLE 14 - Client-facing operations

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 specialized 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 recognized to be accurate, cost-effective and efficient.

There was a continued high level of activity in health information sentencing over the 2014-15 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 564,380 files in 2014-15.

Also mandated in the Business Plan and delivered by the GRR are digital services, most notably;

- Imaging – 5% of retrievals are now provided via "scan on demand" imaging, and this figure is growing as our clients progressively obtain the capacity both technically and financially to operate digitally. The GRR also undertakes large scale "back scanning" projects of client records.

- EDRMS Management – The GRR hosts electronic records for our clients both passively (e.g. through our web system for delivery of imaged records) and actively (e.g. the "CommSERV" database hosted for Community Services)

We are pleased to report that in the 2014-15 year, Fees & Consultancy revenue was $1.6M. This was related to four major factors:

- Continuing high usage of the GRR's specialized health file sentencing service, discussed above;

- Continuing popularity of professional archival services, most importantly the appraisal of records;

- Large scale digitizing work undertaken for a number of clients;

- Continued high usage of the GRR's consultancy services in cataloguing, indexing and data entry work, with 314,349 files indexed and the imaging of 2,535,733 frames

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 2014-15 the Government Records Repository's revenue and expenditure were both above target, leading to an operational

surplus of $2.8 million on revenue of $15.9 million, which is 17.7% of earnings.

The financial position of the GRR has been impacted this year by higher expenditure including increased short-term staffing costs to handle off-site and data-entry projects.

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 2014-15 the fleet kilometres fell by 10,596 kilometres as a result of continued review and optimization of the transport section.

Following a small increase in linear metres of client authorized destruction for 2014-15, the GRR securely recycled over 200,000 kilograms of paper through its destruction service.

	RESULT 2014-15 $'000	TARGET 2014-15 $'000
Revenue	15,978	15,090
Expenditure	12,994	10,094
Surplus	2,828	3,630

TABLE 15 - Revenue targets and results before contribution

Value Added Services for Family and Community Services

The GRR is often called on to provide bespoke services to clients. An excellent example of this is the Historical Records Digitization Project (HRDP). Commencing in mid-October 2014, it originated from the ongoing relationship between the Government Records Repository (GRR) and Family and Community Services (FACS) and is a response to increased demands on FACS to supply client information to Clients, the Royal Commission into Institutional Responses to Child Sexual Abuse and other legal proceedings. During the financial year 40,626 files were indexed and 606,449 frames were created though imaging primarily paper based records. Records from both GRR holdings and the State Archive collection were processed under this project, giving significant complexity to the work, including conservation considerations for many

of the items. This project will continue throughout 2015-16 and is expected to triple in volume.

The GRR has a strong reputation for its ability to provide top quality services in complex projects where a high level of detail and skill are required.

Value Added Services for Supreme Court

As part of the centenary of Anzac, the GRR undertook some work for the Supreme Court. This project involved the archival listing of probates from 1914 to 1919. During the listing process, additional data was captured to indicate that the probate related to an ex serviceperson. Upon completion of the work the probates were able to be transferred to the State's archival collection. These records are now available to the public and some of these records went on to form elements of State Records NSW exhibitions.

Outlook and capability

The Western Sydney Records Centre (WSRC) has total storage space of 474,000 linear metres for non-current records and archives, with the GRR now utilizing an additional 216,000 linear metres in leased satellite repositories in the Penrith area.

As foreshadowed in the Business Plan the GRR has continued to lease and equip off-site warehousing to maintain its business. This approach has allowed the GRR to match its capacity closely to demand from clients.

The GRR's holdings grew by 37 kilometres in the 2014-15.

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. High demand for our professional and value-added services will remain as clients continue to deal with accumulations of unsentenced records both within the GRR and on their own premises.

The GRR has experienced strong growth in its digital services, and in particular digitizing of records held by GRR and State Archives. This will continue to be a focus as our clients progressively obtain the capacity both technically and financially to operate digitally.

FIGURE 45: Wendy Gallagher showcasing a Crown Plan to the Director, and Senator for Western Sydney, the Hon. Marise Payne and State Records Chair Anne Henderson AM

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 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 continues to be a high level transfer activity, but many records of continuing value 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 in making them widely accessible. A major challenge is to describe and document the collection, particularly individual State archives.

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 including six regional repositories. 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 describe 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.

Objectives for 2014-15

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

Achievements and highlights

- 2,349 linear metres plus 3,412 plans transferred as State archives.

- Transfers of State archives in 2014-15 increased collection value by $25.7 million.

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 distributed management 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

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 State archives. However, discussions were held with Penrith Council and Historic Houses Trust regarding distributed management.

Distributed Management

States archives can only be managed outside State Records' custody by agreement. This involves control over the archives passing to State Records and places a number of obligations on the public office holding the State archives. There are currently six distributed management agreements in place. There are full agreements covering three of the regional repositories (at Wagga Wagga, Armidale and University of Newcastle), plus the University of Western Sydney; while partial agreements (covering selected records only) are in place for the Powerhouse Museum and Wingecarribee Shire Council.

Public offices continue to transfer State archives

Quantities of archives proposed for transfer can fluctuate from year to year and is driven by public office demand.

340 transfers covering 106 series were received at the Western Sydney Records Centre. The Land and Property Information Division (LPI) of the Office of Finance and Services was again the most active public office, with the series NRS 19513 General Register of Deeds 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 General Register of Deeds are being

digitised, thus allowing the original records to be 'retired' to archival storage. 120.24 metres of Parliamentary archives were also received for storage and preservation under the terms of an agreement with the NSW Parliament.

Following the siege in December 2014 at the Lindt Café in Martin Place staff from the Department of Premier and Cabinet collected the notes and cards left by people at the site in support and memory of those involved. All of these items were transferred to State Records as State archives. These items included a range of formats not usually found in the State archives from florist cards, artworks created by all ages, stuffed toys and items of clothes – anything that expressed people's feelings about the incident. The formal paper condolence books were also transferred.

Regional repositories received several transfers of State archives, including vital records from local councils.

	RESULT 11/12	RESULT 12/13	RESULT 13/14	RESULT 14/15
State Archives transferred to State Records' custody	3,549	3,067	1,129	2,347
State archives transferred/added to regional repositories	82	7	26	2
State archives transferred/added to other distributed collections	0	0	0	0
TOTAL	2,053	3,074	1,156	2,349

TABLE 16 - Metres of standard format records transferred as State archives.

Support for regional repository network

Support for the six regional repositories continued although it was not possible to provide Archives in the Bush grant funding in this financial year.

Director State Records, the Deputy Director State Records, the A/Manager Archives Control, the Senior Project Officer Distributed Management visited Charles Sturt University Regional Archives, Wagga Wagga; Auchmuty Library, University of Newcastle; Newcastle Region Library and University of New England and Regional Archives during the year to attend meetings, plan regional repository involvement in the 2014-15 Collection Documentation Backlog Project and for events showcasing the Carrington album collection. These visits allowed us 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.

ARCHIVESMANAGEMENT AT A GLANCE:

+ The State archives collection is distributed, being located in Western Sydney and seven 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 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 2014

On 4 November 2014 State Records held a Regional Repository Forum at the University of New England and Regional Archives at Armidale. The event was attended by representatives from 4 of the 6 regional repositories as well as the Director State Records, the Deputy Director State Records, the A/Manager Archives Control and the Senior Project Officer Distributed Management. The forum included a case study on a flood event and updates on the proposed State Records collection management system, insurance and the 2014-15 Collection Documentation Backlog Project. Richard Lehane, A/Manager Digital Archives gave an overview of the Digital State Archive.

Outlook and capability

State Records anticipates that significant quantities of archives will continue to be transferred to our control 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 records of continuing value as State archives. Unfortunately the volume of material transferred 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 and publication of item lists. The 2014-15 Collection Documentation Backlog Project demonstrated what is possible if resources are available to carry out the work.

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.

	RESULT 11/12	RESULT 12/13	RESULT 13/14	RESULT 14/15
Maps and plans	1,241	2,395	4,773	3,412
Maps and plans (to regional repositories)	0	0	0	0
TOTAL	1,241	2,395	4,773	3,412

TABLE 17 - Number of non standard format items transferred as State archives.

Donations of records

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
Australian Railway Historical Society	Parish maps annotated to show transmission lines, roads, railways, and public schools, 1930 to 1970 Diary of W K King, Assistant Engineer Hawkesbury River Bridge detailing repairs to Bridge, circa 1941
Alan Leek	Orange Court of Petty Sessions records, 1896 to 1898 and 1927 to 1928
John Dorman	Department of Child Welfare ward index cards, reports, work diaries and notebooks, 1954 to c1976
Casino & District Historical Society	Ellangowan Public School admission register, 1922-1968
Australian Railway Historical Society	State Rail Personnel Conduct Review Register 1917
Kiama Family History Society	Kiama Court of Petty Sessions Court Debts Executed Book, 1847 to 1852
Geoff Cunningham	Newcastle steam tram maintenance cards (c1920 to 1941)

TABLE 18 - Donations

In addition, the following donations were also received:

- NSW Railways Traffic Branch records 1914 to 1988 showing staffing allotments for individual stations, and North Coast Line CTC Drivers Diagrams showing line signals and communications, 1988
- 19th century Moruya Court of Petty Sessions records.
- Inter-Departmental Committee Report into War Service Land Settlement in the Coomealla Irrigation Area 1972
- Housing Department publications from 1960 to 1980
- The State Library of NSW also passed on an anonymous donation of photographs, publications and reports relating to the establishment and provision of manual training within NSW primary schools, 1905 to 1938.

FIGURE 46: Paul Smith, Conservator, showcasing his work to the Director and NSW Police Minister the Hon Stuart Ayres MP, Member for Penrith, repairing State archives in the WSRC laboratory.

The State archives collection is appropriately stored and preserved

State Records manages an extensive government archive collection, comprising items of varying formats, across ten 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 States archives. Where appropriate storage is available it slows further deterioration of the archives.

Objectives for 2014-15

- Survey motion picture films.
- Undertake conservation treatment on priority items.

Achievements and highlights

- Motion picture films surveyed.
- Priority items received conservation treatment

The State archives collection continues to grow

The State archives collection increased by 2,347 metres of standard format archives during the year, bringing the total collection to more than 79.1 kilometres.

Standard format archives include files, volumes, microfilm reels, films, audio visual items and all other archives stored on shelves and counted in linear metres.

	RESULT 13/14	RESULT 14/15
Archives in State Records' custody	70,840	73,187
Records to be appraised in State Records' custody	3,519	3,519
Total in State Records' custody	74,359	76,706
Archives in regional repositories	2,453	2,455
TOTAL IN ARCHIVAL CUSTODY	76,812	79,161

TABLE 19 - Metres of standard format State archives in State Records control. **Note**: These figures do not include the 686 metres of Parliamentary archives held by agreement with the NSW Parliament.

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. 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 control. Conservation advice was requested by public offices, a range of private individuals and groups and regional repositories on 34 occasions.

During the year, public office staff, tertiary and school students and family history groups took the opportunity to visit the conservation laboratory on 17 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.

Preservation projects

The Department of Family and Community Services has engaged the GRR to deliver the Historical Records Digitisation Project. Many of the items requested for digitisation are State archives. All archives required for digitisation were surveyed by the Conservators so that detailed handling and scanning recommendations could be provided to the GRR prior to each batch being copied. Badly damaged archives were also treated by conservation staff before they were scanned. Conservation treatments involved repairs with tissue and starch paste, as well as more complex treatments separating pages stuck together with adhesive or self-adhesive tape.

State Records holds a diverse collection of Audio Visual material, including motion picture films, video, audio cassettes, and still photographic formats. Our collection of motion picture film is comprised primarily of 16 mm acetate film – both black and white, and colour. The earliest of these films dates from the 1930s. A survey of the acetate motion picture film collection was undertaken to prepare for digitisation. Information collected included production date, format, length, and condition.

Items receive conservation treatment

During 2014-15, 183 fragile items received treatment to enable access for a range of activities.

Agency retrieval saw 964 State archives receiving treatment prior to despatch, the majority being for the Department of Family and Community Services.

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. A Conservation Assessment Request for Digitisation form on State Records intranet was introduced in March 2014. Each request can have up to 8 items, or runs of boxes. This has assisted in tracking these requests. Twenty requests were received during the year.

Inspection of NRS 4335 Public Building plans prior to digitisation continued. This year 2 building plans were inspected and treated as needed. 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 683 plans have been assessed and treated if required.

Conservation input has been required for a variety of in-house displays, external exhibitions, and digital galleries on the State records website including the NSW Anzac Centenary Gallery (website), Carrington albums in the Reading Room and preparation for digitisation for the Public Service War Service exhibition in the foyer. 175 items were treated for these purposes.

The valuable contribution of our volunteer program has seen progress in the completion of 16 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 6 volumes of Colonial Secretary's In-letters.

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 State archives to a growing user base. Monitoring and treatment of State archives will continue in order to minimise their deterioration. Conservation staff will continue to provide advice to public offices to assist in the preservation of records of long- term and archival value.

Documenting and cataloguing the State archives collection

Documenting and describing 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 document individual items so that they are discoverable through our online catalogue. Individual items include files, volumes, plans, and photographs.

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 registration 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.

Progress with documentation of context

Two new ministries were formed during 2014-15 of the 96th (Baird-Grant [I]) Ministry in October 2014 and the 97th (Baird-Grant [II]) Ministry in April 2015. Both ministries were registered but little other higher level contextual registration was possible. Context - related work this year included registration of a number of recent government agencies.

Collection Documentation Backlog Project 2014-15

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. This was exacerbated by most archivist staff resources in the Archives Control and Management (ACM) program being re-directed to the collection valuation during 2012-14.

It is estimated that the end of the 2013-14 financial year that the State archives collection contained 12.1 million items or individual State archives. Only 8% of the collection was documented at the individual State archives level. The Collection Documentation Backlog makes it difficult for the public and government to find State archives and it reduces State Records' ability to track where State archives are and when they are used.

State Records received a total recurrent grant of $6.6m of which $1.2m was for the Collection Documentation Project to reduce the backlog of incompletely documented State archives.

The Project had three broad aims:

- Reduce the size of the backlog of undocumented State archives;
- Document new State archives as they are transferred to ensure that no new archives are added to the backlog;
- Increase items added to online catalogues.

The scope of work for the CDBP was refined to 11 work packages. The work packages are listed below:

WORK PACKAGE
Height of Buildings plans
Schools - post 1999 transfers
Police 2004 transfer
UNE Council Agencies, Minute books and procedures for registering rates and valuation series
Volunteers listing processing
Government Architect Series
2014-2015 New Series Transfers
2013-2015 Financial Years Checked In Transfers
Broughton Hall Psychiatric Clinic patient files
Selected Series
Regional Repository Work

TABLE 20

Project work took place at the Western Sydney Records Centre but also at four of the regional repositories.

The work packages were carried out by a multi-disciplinary project team of archivists, project manager, clerical staff and conservators. The project team functioned, as far as possible, separately from the ACM program. ACM provided advice, space, facilities and the underlying processes and procedures. The Project operated in three teams each lead by seconded ACM staff.

The Project team was able to bring a fresh perspective to the existing ACM processes and procedures. This resulted in a range of suggested improvements. The Project team utilised a workflow tracking application for work management and automated reporting. This was very successful. In addition as the workflows were very similar to those of the ACM program it was an excellent opportunity to analyse how these sorts of applications could work for the ACM program.

The Project was an outstanding success. These are the documentation results:

- 244 completed agency registrations
- 489 completed series registrations
- 541,599 items (of which 521,253 are available to the public).

An additional 4.5% of the State archives were documented at an average cost of $1.71 per item.

Objectives for 2014-15
- Improve documentation of series transferred and held as State archives.
- Document 30,000 items and reach more than 1,022,398 items discoverable online.

Achievements and highlights
- 554,330 record items documented, bringing total discoverable online to 1,645,587 record items.
- The Collection Documentation Backlog team has been nominated for a 2015 Premier's Achievement award.

Appreciation for the results came from both the public and government as these comments indicate:

"Just a note to let you know how much I appreciate that the Transport Ministry files have been opened to public access.

It is wonderful that this material has survived and it has answered many, many contentious historical questions re the Railways."

"This is good news for DEC and the public in NSW.

Once again on behalf of NSW Department of Education and Communities thank you NSW State Records for this great initiatives."

	APPROVED ACM PROGRAM 2014/15	APPROVED BACKLOG PROJECT	TOTAL AT 30 JUNE 2015
Series in State Records' custody	0	441	14,708
Series in regional/ distributed custody	89	27	1,850
Total series approved*	89	468	16,558
Agencies	12	243	4,011
Persons	3	0	188
Portfolios	2	0	298
Ministries	2	0	97
Organisations	0	20	93
Activities	0	0	182
Functions	0	0	14

TABLE 21 - Series and context documented

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

Regional archives being documented

Documentation of regional State archives was a continuing priority for 2014-15. Regional documentation work was made possible by the 2014-15 Collection Documentation Backlog Project in four regional repositories.

Other regional repositories were able to spend funds rolled over from earlier years of the Archives in the Bush grant funding program.

	RESULT 2014/15	TARGET 2014/15
State archives added to online catalogue	554,330	30,000
Total State archives in online catalogue at end of 2014-15	1,645,587	992,398

TABLE 22 - State archives added to online catalogue

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

Valuation of the NSW State archives

In 2012-13 the State archives collection was valued at $824 million, using a fair value as defined in the Treasury Policy *TPP07-1- Accounting Policy: Valuation of Physical Non-Current Assets at Fair Value*.

The valuation focus in 2013-14 was the measurement of the series not included in the 2012-13 Register of series, a container audit of all State archives held outside State Records' custody and the valuation treatment of the incoming State archives. The inclusion of these State archives brought the value of the collection to over $878 million.

The value of the incoming State archives in 2014-15 was $25.7 million bringing the value of the State archives collection to $904 million.

During 2014-15 the first consignments of NRS 19513 General Register of Deeds were added to the valuation register. NRS 19513 General Register of Deeds is a very large series made up of over 38,000 volumes of deeds. It was created as a way of documenting the registration of deeds, principally transactions relating to land. As LPI are digitising this series they are transferring the volumes as State archives. In order to have an accurate indicative rate applied to this series, with LPI's agreement and assistance, we had the whole series assessed for its indicative rate at $1,000. Using the indicative rate the 7,604 volumes added to our collection was valued at $7.6 million.

The State archives valued are made up of the following:

Type of archive	Quantity
Volumes	199,917
Boxes	334,472
Maps/plans	1,471,401
Images	929,983
Non paper formats	21,406
Objects	137

TABLE 23 - Breakdown of the State Archives.

A new consolidated valuation register that applies the appropriate value was created – Register of State archives Assets or ROSAA. Detailed procedures for additions, disposals and alterations were also completed.

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 documented at a detailed level which makes it vulnerable to damage and loss through continued use. In 2002 we commenced a long- term project to document and copy these valuable archives, commencing with the letters dating from 1826 to 1832. Due to resourcing issues this project was suspended in 2013 and has not be reactivated.

Outlook and capability

The findings of the collection documentation review in 2009-2010 and the knowledge gained in preparing the Register of series for the Collection Valuation came together in 2014-15 in the Treasury funded Collection Documentation Backlog project. The project funding allowed us to keep up with describing and documenting new archives as they were transferred to our custody, to make inroads into the substantial backlog of undocumented archives, and to increase the number of record items discoverable through our online catalogue. Despite the success and output of the Backlog project vacant positions in the ACM program and the inability to back fill some positions while their occupants were undertaking higher duties restricted progress in all areas.

To build on the progress we had achieved and to reduce our long-term backlogs, funding over a number of years is required. This task will need to be prioritised as one of the key objectives of our future plan.

INFORMATION MANAGEMENT

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.

State Records continued to address audit recommendations within its ICT environment. These ICT remediation activities were reviewed in May with the draft report expected to be received in August 2015.

- Review of Outcomes of Internal Audit Remediation Project;

- OFS Internal Audit of PCI DSS Compliance (credit card processing); and

- OFS Internal Audit - ICT Strategy and Governance

Major infrastructure achievements have included:

- Integrated Collection Management System (ICMS) project. An Enterprise Architecture standard and specification was developed for the replacement of the BOS Archives management system. A market evaluation was undertaken built on work already undertaken by the Australasian Digital Recordkeeping Initiative (ADRI) and State Library of NSW Digital Futures project. Approval was received from Treasury for the project to be extended into 2015-16.

- Security & Cabling Master Plan. Renewal of data cabling at the WSRC was completed to support proposed IP Telephony, IP CCTV security systems and improved site and collection security;

- A Local Business Continuity Plan (LBCP) was completed for all critical business services. An LBCP desktop testing exercise was undertaken in March. This involved a theoretical scenario of loss of access to the WSRC due to a hydrogen cyanide spill within the University of Western Sydney ground opposite the Kingswood site.

- Computer infrastructure was successfully deployed to new office space at Dunheved Road. This also enables the Dunheved Road office to operate as a Recovery Site in the event of a disaster or business continuity event;

- TRIM Recordkeeping review. Commenced a business analysis of recordkeeping processes and systems. This includes a review of recordkeeping workflow, business rule set, support for digital recordkeeping, update of the functional thesaurus and systems review to prepare for the upgrade of TRIM to HP Records Manager 8. The review is expected to be completed in late 2015.

Other Information management activities have included:

- The relocation to the Service First external datacentre of the backup / recovery infrastructure continued to be delayed due to the Service First outsourcing process. As such, a new sourcing process is being undertaken to review vendors within the GovDC Marketplace;

The Information Management team:

- Continued indexing of Deceased Estates files which brought total entries to almost 230,000 and growing;

- Web analytics are being migrated to Google Analytics across all websites in July 2015 to ensure website statistics are accurate and robust;

- Commenced redevelopment of all State Records websites. This will provide a fresh new user experience and include migration to the Drupal open source content management platform for more efficient and flexible website management;

- Moved the Anzac Centenary website as the first phase of migrating all websites to external web hosting. Remaining websites will be migrated after redevelopment has been completed.

- Provided consistently popular content on multiple social media channels, averaging over 20,000 views daily and consistent rankings within the top 50 list of the Great Oz Gov Tweets.

The Information Management team will continue to focus on disaster recovery, information security and working to ensure State Records meets and exceeds all requirements of the environment in which it operates.

CORPORATE OVERVIEW

+ STATE RECORDS BOARD
+ CLIENT AND STAKEHOLDER RELATIONSHIPS
+ ORGANISATION STRUCTURE
+ INTERNAL COMMITTEES
+ REPRESENTATION ON EXTERNAL
  COMMITTEES

FIGURE 47: 100th Board meeting

STATE RECORDS 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.

FIGURE 48: Artarmon Public School, undated. NRS 15051

Board members

Ms Anne Henderson AM

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.

Ms Fiona Cushing

Chief Financial Officer, Hunter Water Corporation
First Term: 5/3/2014-4/3/2017
Nominated by the Minister who administers the *State Owned Corporations Act 1989*, to represent State owned corporations.

Dr Rachna Gandhi

Executive Director, Service Delivery, Department of Premier and Cabinet (NSW)
First term: 5/3/2014-4/3/2017
Nominated by Minister who administers the *Public Sector Employment and Management Act 2002* to represent departments.

Dr Stephen Choularton

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

Mr Jeffrey Greenwood

Manager, Process and Records Services NSW Police Force
First term: 5/3/2014-4/3/2017
Nominated by Minister administering *State Records Act 1998* to represent

State law enforcement agencies, after consultation with the Ministers responsible for those agencies.

Mr Anthony Lean

Deputy Secretary, Government Services; Office of Finance and Services
First term: 31/8/11-30/8/14
Second term: 13/08/14-12/08/17
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:1/1/11-30/12/13
Second term: 31/12/13-31/12/16
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.

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.

Board meetings

The Board meets every two months. Six meetings were held in 2014-15.

Geoff Hinchcliffe attended six Board meetings. Managers attended meetings for agenda items related specifically to their areas of responsibility.

MEMBER	ATTENDED	ELIGIBLE
Dr Stephen Choularton	2	3
Ms Fiona Cushing	6	6
Dr Rachna Gandhi	6	6
Mr Jeff Greenwood	6	6
Ms Anne Henderson	4	6
Mr Anthony Lean	6	6
Hon Robert Macfarlan	2	3
Mr Scott Nash	4	6
Hon Dr Peter Phelps MLC	6	6

TABLE 24 - Board attendance.

Office of Finance and Services Audit and Risk Committee

State Records is a member of the Office 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.

FIGURE 49: Hereford House, mathematical class – Glebe Training College. NRS 15051

FIGURE 50: Map of the ANZAC position, Gallipoli, 1915. NRS 12060, [9/4716], 16/1737.

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 convenes 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 2014-15. Members during year:

- **Abdalla Eissa**, Leader Records and Information Management, Department of Education and Communities
- **Susan Fletcher**, Manager Business Documentation, City of Sydney
- **David Griffiths**, ICT Risk, Policies and Standards Officer, Office of Finance and Services
- **André Jenkins**, Director Information Management, Clinical Excellence Commission
- **Peter Konstantin**, Manager Information Management Centre, Sydney Water
- **Tim Robinson**, Manager Archives and Records Management Services, University of Sydney

- **Sonya Sherman**, Principal Policy Officer Information, ICT Policy, Office of Finance and Services
- **Stephen Smith**, Records Manager Information Services, Office of Finance and Services
- **Robert Sparshott**, Manager Corporate Records, Department of Attorney General and Justice
- **Jonathan Summers**, Manager Information Communications and Technology, Public Works, Office of Finances and Services
- **Catherine Sykes**, Records Manager Transport for NSW

Community Advisory Committee

This committee held two meetings in 2014-15. Members during year:

- **John Bayliss,** Director, Macquarie Regional Library
- **Dr Michael Bennett**, Professional Historians Association (NSW & ACT)
- **Dr David Carment,** Australian Historical Association
- **Andrea Fernandes,** NSW Migration Heritage Centre
- **Heather Garnsey,** Society of Australian Genealogists
- **Paul Kiem,** History Teachers Association (from May 2015)
- **Carol Liston,** Associate Professor, School of Cultural Histories and Futures, Western Sydney University

- **Craig Mackey,** railway historian
- **Virginia Macleod,** professional historian
- **Dr Perry McIntyre,** professional genealogist and historian
- **Dr David Roberts,** Editor, Journal of Australian Colonial History, University of New England
- **Richard Shapter,** Heritage Office, NSW Department of Planning
- **Christine Yeats,** Senior Vice President, Royal Australian Historical Society

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.

+ 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.

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 2014-15*, 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.

Publication of information for the public

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 sites on behalf of other parties.

The website of the Council of Australasian Archives and Records Authorities (CAARA), of which the Director is currently the Chairman, has been hosted since 2001.

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.

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

FIGURE 51: Managing committee for the Waratahs recruitment march, 17 December 1915. NRS 4481, MS 3662

ORGANISATION STRUCTURE

Senior staff (as at 30 June 2015)

Director
Mr Geoff Hinchliffe, MBA, BSc. Comp Science (Hons)

Deputy Director
Ms Jennifer Stapleton, BA, DipArchAdmin,

A/Manager, GRR
Mr Ben Alexander

Finance Manager
Mr Brian Astruc, CPA, Australia; BBus, Accounting; BCom, Marketing; Training and Assessment Cert IV

Executive Officer
Ms Anna Bartosiak

Project Officer
Ms Kerrianne Dimitrievski

Managers
Ms Wendy Gallagher, BSc (Hons), GradDipArch (Lib&InfoSc), A/Manager, Archives Control

Ms Amanda Barber, BA, DipArch.Admin, Manager, Government Recordkeeping

Mr David Thornell, Manager, Information and Communications

Ms Janette Pelosi, BA (Hons) DipIM Lib DipIM ArchivAdmin MPHA, A/Manager, Public Access

Dr Richard Lehane, BA (Hons), MARM, Ph.D. (History), Manager, Digital Archives

Ms Sally Irvine-Smith, BA (Hons), MA IKM, GradDip IM, GradDip, BCom, Manager, Systems Control

Ms Patricia Proctor, Manager, Customer Service

Mr. Mathew Thompson, Operations Manager GRR

Key

- Executive
- Managers
- RSP Service Groups
- Support Services
- Project

Treasury

Office of Finance and Services — Board

Executive Unit — Director

Manager Finance | Manager Information and Communiations | Deputy Director | Manager Government Records Repository

Project Manager | Manager Digital Archives | Manager Public Access | Manager Government Recordkeeping | Manager Archives Control | Manager Systems Control | Manager Customer Servicde | Manager Operations

Digital Archives Project | Reference Services & Outreach | Regulation, Guidance & Promoting Best Practice | Documenting, Storing, Preserving the archives | Storing Non-Current Records

Finance | Corporate Information & Communications | Corporate Resources and Facilities

FIGURE 52: State Records Authority of New South Wales Organisation Chart

INTERNAL COMMITTEES

Executive Committee

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, Manager GRR and Finance Manager.

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. The CIO of the Office of Finance and Services attends these meetings.

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.

Program Governance Board

The Program Governance Board meets every two weeks to review progress with the implementation of identified projects, such as the Asset Renewal Program. The Board consisted of the Director, Deputy Director and relevant Managers. The Executive Officer provides secretarial support.

Emergency Planning Committee

The Emergency Planning Committee meets every month to review operational activities, assess strategic directions, monitor risks and ensure a coordinated approach to the provision of security services, emergency planning and control across the organisation. The committee consisted of the Deputy Director, the Manager ACM, the Facilities Manager and the Work Health and Safety Coordinator.

REPRESENTATION ON EXTERNAL COMMITTEES

Geoff Hinchcliffe

- Council of Australasian Archives and Records Authorities (CAARA) – Chairman
- Office of Finances and Services, Government Services Division, Executive – Member
- OFS, Human Capital Management System, Steering Committee – Member
- Centenary of ANZAC Commemoration Program Inter-departmental Committee – Member
- Galleries, Archives, Libraries and Museums (GLAM), Digital Access Working Group – Member

Amanda Barber

- Standards Australia IT/21 Records Management Committee - Member
- NSW Government Enabling Information Sharing Working group – Member

Peter Bisley

- NSW Government Information Management Community of Expertise – Member
- CAARA – Australasian Digital Recordkeeping Initiative (ADRI) – Member

Emma Harris

- NSW Government Information Management Community of Expertise - Member

Warwick Hunter

- CAARA Public Access working group – Member

Sally Irvine-Smith

- Department of Family and Community Services, oneTRIM Business Advisory Group – Member
- Office of Finance, Services and Innovation, Business Continuity Management Working Group – Member

Dr Richard Lehane

- Australian Society of Archivists – NSW Branch Secretary
- Australian Society of Archivists, Archives and Manuscripts Editorial Board – Assistant Editor and Member

Angela McGing

- Australian Society of Archivists, Professional Membership Committee – Member
- Australian Society of Archivists – Membership Officer

Janette Pelosi

- CAARA, Public Access working group – Convenor
- Centenary of ANZAC Commemoration program Inter-Departmental Committee – Member
- Society of Australian Genealogists – Director
- Society of Australian Genealogists, Croker Prize Committee – Convenor
- Society of Australian Genealogists, Diploma and Certificate Committee – Member

Catherine Robinson

- Standards Australia IT21/05 sub-committee on Management Systems for Records – Member
- Australian Society of Archivists – representative on Blue Shield Australia
- Australian Society of Archivists 2016 Conference Committee

Jenni Stapleton

- NSW Government Enabling Information Sharing Working group – Member
- History Council of New South Wales – Member, General Council

David Thornell

- Office of Finance and Services, Information Security Classification Consultative group – Member

FIGURE 53: Dr Caroline Ford with Christine Yeats, former Manager, Public Access, and the Hon. Rob Stokes M.P. Minister for the Environment

STATE RECORDS FELLOWSHIP CASE STUDY

Dr Caroline Ford was the winner of the inaugural NSW Archival Research Fellowship in 2009. The Fellowship had been developed by State Records and Arts NSW. The Fellowship's purpose was to assist a person living in NSW "to complete an innovative and quality research project that makes substantial use of the records collection of the State Records Authority of NSW".

The culmination of Caroline's research project was the launch of her book *Sydney Beaches: A History* by the Honourable Rob Stokes, Minister for the Environment on 23 October 2014. The book, published by NewSouth Publishing, was launched at Ariel Books at Paddington and was attended by many including Jenni Stapleton, Deputy Director, Christine Yeats, former

Manager, Public Access, and other staff from State Records.

Caroline researched the story of Sydney beaches from Palm Beach in the north to Cronulla in the south. Caroline commenced her research early in 2010 spending countless days, months and years at State Records Western Sydney reading room in Kingswood engrossed in the records of the Department of Lands with the documents revealing a new perspective on the history of Sydney's coast.

Throughout her Fellowship and since Caroline has shared her insights gained from using State archives with staff, historians and the public. Caroline's article entitled "The Battle

for Public Rights to Private Spaces on Sydney's Ocean Beaches, 1854-1920s" was published in *Australian Historical Studies* in September 2010 and revealed how lobbying by beachgoers and coastal councils for public recreation spaces gained recognition for the public's 'right' to the foreshores. Caroline in August 2011 also presented on "A Canvas Seachange: camping on the beach in mid-twentieth century Sydney" to members of the Professional Historians Association (PHA) at History House. For State Records' Open Day on Friday 28 October 2011 Caroline spoke on a researcher's perspective of the archives. In March 2013 at the Western Sydney Records Centre along with fellow historian Terry Kass, Caroline shared her deep knowledge of researching Lands Department records, to the benefit of State Records staff and PHA members.

Dr Ford expressed her gratitude to Arts NSW and State Records NSW for supporting her research through the NSW Archival Research Fellowship, without which the book could not have been written. She also acknowledged the archivists and collections staff of State Records NSW who delivered files and registers by the trolley load with unrivalled grace and efficiency over several years and helped to solve archival mysteries which might otherwise have derailed her research.
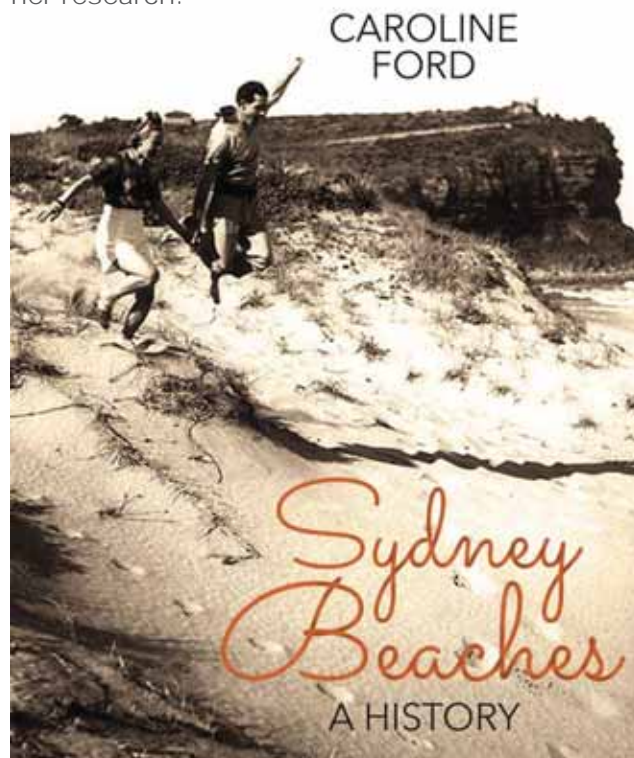
FIGURE 54: Book cover, *Sydney Beaches: A History,* by Caroline Ford
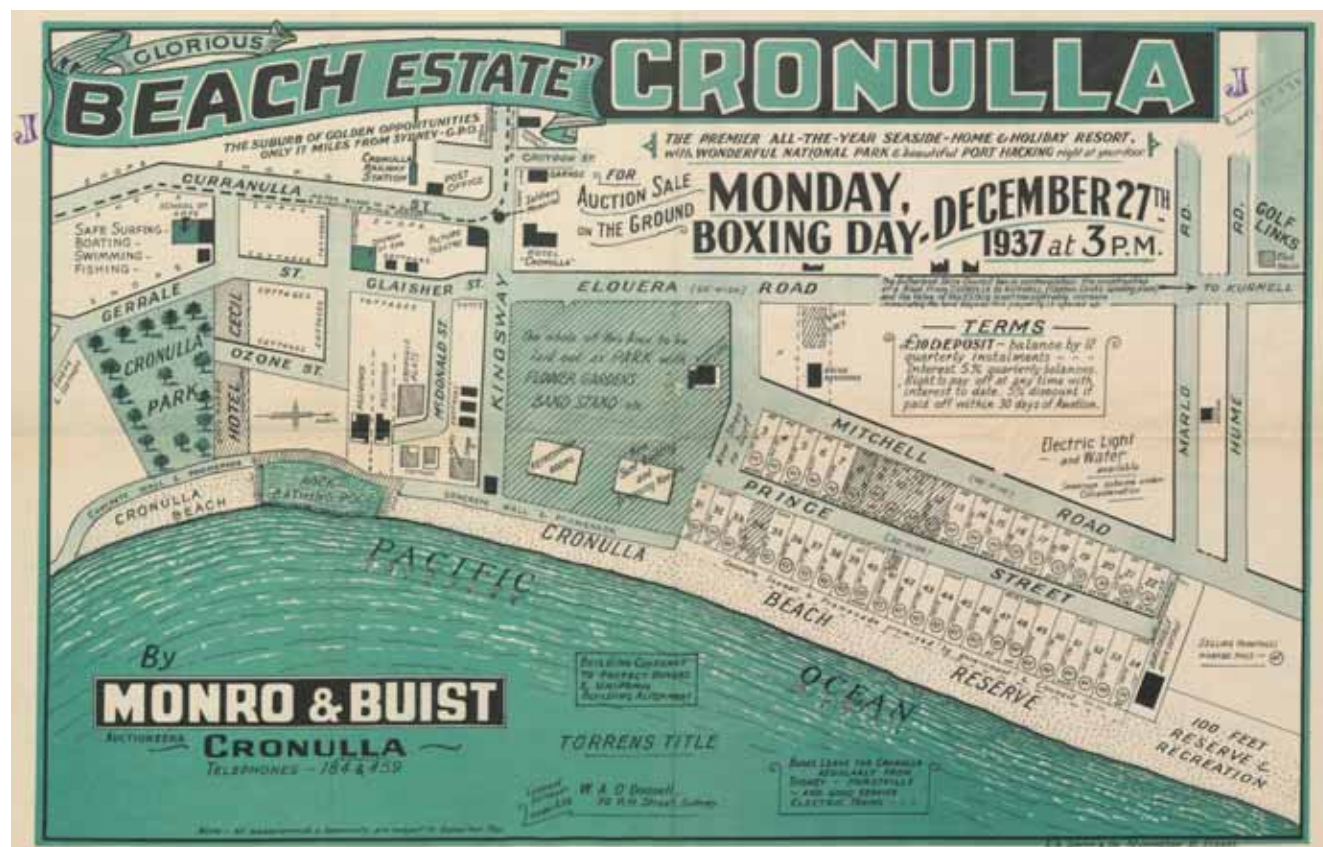
FIGURE 55: Glorious Beach Estate, Cronulla (poster), 1937. NRS 8258, 41/8649

GOVERNANCE & ACCOUNTABILITY

+ STRATEGIC PLANNING AND REPORTING
+ MANAGING RISKS
+ INTERNAL AUDIT AND RISK MANAGEMENT ATTESTATION STATEMENT
+ MANAGING OUR PEOPLE
+ PUBLIC INTEREST DISCLOSURES (PID) ACT 1994
+ GOVERNMENT INFORMATION (PUBLIC ACCESS) ACT 2009
+ DIGITAL INFORMATION SECURITY ATTESTATION STATEMENT
+ MANAGING OUR PHYSICAL ASSETS
+ MANAGING OUR FINANCES
+ INDEPENDENT AUDITOR'S REPORT

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.

Strategic plan

State Records Strategic Plan 2011-2014 was based around five Key Results Areas (KRAs). In 2015 State Records has commenced a 'back to basics' review to assist with the strategy we will take forward into the coming five years.

This review is looking to the core functions set out in the State Records Act, as delineated in the second reading of the Act in Parliament, to guide our essential activities and shape how we meet our obligations to the Government, people and communities of New South Wales.

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.

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 those of the Office of Finance and Services.

Multicultural Policies and Services Program

State Records supports the Government's social responsibility commitments in relation to culturally and linguistically diverse communities.

State Records NSW will continue to update and expand our suite of *Archives in Brief* relating to the many national and cultural groups that have made NSW home.

Program action plans

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

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 2014-15 is published on our website.

This annual report complies with:

- *Public Finance and Audit Act 1983* and Regulation 2015
- *Annual Reports (Statutory Bodies) Act 1984* and Regulation 2015
- *Government Information (Public Access) Act 2009*
- Treasury Circulars and Treasurer's Directions
- Premier's memoranda.

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 Office of Finance and Services.

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

ICT risks identified and rated

In 2012 State Records undertook an extensive program of audits into its ICT environment. These produced over 140 recommendations, although this included numerous duplicated or overlapping issues.

Whilst a number were successfully addressed, many issues remained outstanding at the end of the 2012-13 financial year due to resource limitations and uncertainty arising from the transition to Corporate & Shared Services. As a result, the Office of Finance & Services conducted a follow up in February 2013 of the remaining 91 recommendations still outstanding from the previous audits.

The Internal Audit Unit (IAU) follow up audit took into consideration the changes undergone by State Records and removed recommendations that were completed, obsolete or no longer applicable. It also noted that despite considerable effort to address the ICT related risks outlined in the previous audits, there remained much work still to be done to enable State Records to minimise its technology risks, adapt to OFS ICT strategic initiatives and ensure compliance with the NSW Digital Information Security Policy. The

final audit report in February 2014 identified 34 remaining issues. As at 30 June 2015 all issues have been successfully completed and signed off by the Audit Office.

Internal Audit and Risk Management Statement

The Director signed the Internal Audit and Risk Management Statement on 28 August 2015 (see pages 91 and 92). 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.

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 utilises the Office of Finance and Services *Code of Conduct* but with an appendix covering matters distinctive to our responsibilities. All new staff are required to read and sign the *Code of Conduct.*

FIGURE 56: Order picker as used in the GRR off-site repositories.

FIGURE 57: GRR moves large quantities of records as part of its daily operations.

A link on our website directs members of the public and staff to the Office 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 OFS *Fraud and Corruption Internal Reporting Policy*.

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

CATEGORY	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15
Workers' compensation	181,110	180,565	203,415	185,970	151,765	158,078
Motor Vehicles	16,170	16,170	17,650	34,040	34,130	23,811
Property	38,950	38,950	38,490	38,960	45,920	61,990
Public Liability	1,590	1,590	1,330	1,140	1,100	1,100
Other	670	670	760	840	900	590
TOTAL	238,490	237,945	261,645	260,950	233,815	245,569

TABLE 25 - Insurance premiums paid to Treasury Managed Fund (excl. GST).

INTERNAL AUDIT AND RISK MANAGEMENT ATTESTATION STATEMENT

NSW GOVERNMENT | **State Records**

PO Box 516
Kingswood NSW 2747
Tel: 02 9673 1788   Fax: 02 9623 9320
Email: accounts@records.nsw.gov.au
ABN: 96 588 554 718
www.records.nsw.gov.au

Internal Audit and Risk Management Statement for the 2014-2015 Financial Year for the State Records Authority of New South Wales

I, Geoffrey Hinchcliffe, 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, Geoffrey Hinchcliffe 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.	• TPP 12-04 *Guidance on Shared Arrangements and Subcommittees for Audit and Risk Committees* states in section 1 'Guidance on Shared Arrangements', sub section 1.1 'Determining eligibility to participate in a Shared Arrangement' on page 6 that: 'Subcommittees should only be established within a legal entity. Subcommittees should not be established to create capacity for an ARC to provide oversight over other legal entities within a cluster.' This precludes the NSW Government Telecommunications Authority and the State Records Authority from forming a subcommittee as they are both separate legal entities. Both Telco Authority and SRA agreed to form a subcommittee as full compliance to TPP 09-05 would impose an unreasonable administrative and cost burden. • A review of the former 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 TPP 09-05 through sharing of the Department's resources.

The determination by the Minister for Finance & Services in respect of these departures, dated 15 July 2013, is appended to this attestation statement.

I, Geoffrey Hinchcliffe am of the opinion that the Office of Finance and Services (OFS) 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 OFS Audit and Risk Committee are:

Page 1 of 2

- Carolyn Burlew, Independent Chair (period of appointment from 14 October 2011 to 14 October 2015)
- Ralph Kelly, Independent Member (period of appointment from 1 September 2011 to 1 September 2014)
- Elizabeth Crouch, Independent Member (period of appointment from 13 October 2011 to 13 October 2014)
- Christine Feldmanis, Independent Member (period of appointment from 18 November 2013 to 18 November 2016)

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
- NSW Government 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.

Geoffrey Hinchcliffe
Director
State Records Authority of New South Wales

Date: 28 /8/ 15

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

FIGURE 58: Members of State Records' Archives Control and Public Access teams.

MANAGING OUR PEOPLE

State Records NSW is a business unit of NSW Office of Finance and Services (OFS). An average of 115.7 fulltime equivalent (FTE) staff were employed at State Records NSW over the year. State Records also engaged 46 volunteers and some short term contract staff.

Workforce profile

At 18 June 2015 (census date), the number of staff employed at State Records NSW was 128 (or 115.7 FTE).

Overall, there has been a 3.3% decrease in the number of fulltime equivalent employees with a decrease of 5.9% on the previous 3 years.

Achievements and highlights

- Volunteers worked approximately 3,829 hours repairing and rehousing records; adding 20,559 items to online indexes and 140,121 items to Archives Investigator.

During 2014/15, there were ten ongoing recruitment actions undertaken.

3 permanent staff terminated their employment with State Records. 1 was due to retirement, 2 to resignation. In addition to this, 1 staff member was offered a temporary assignment with secondment OFS and 1 transferred to OFS as a result of the corporate operating model realignment.

In addition State Records employed agency staff under the Contingent Workforce contract for various projects.

Employment Statistics for State Records (FTE)

2012 [1,2]	2013 [1,2]	2014 [1,2]	2015 [1,2]
123.0	120.1	119.6	115.7

TABLE 26 - Employment Statistics for State Records (FTE).
Note 1: Full time equivalent staff (excludes chairpersons, casuals, contractor/agency staff, statuory appointments, trustees, council committeemembers, staff on secondment to other agencies and staff on long term leave without pay)
Note 2: Statistics are based on Workforce Profile census data as at 21 June 2012, 20 June 2013, 19 June 2014 and 18 June 2015.

Personnel policies and practices

State Records manages its Departmental employees in accordance with government human resource policies. We are progressively implementing policies from the Office of Finance and Services, 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.

Workplace Diversity

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

	2013	2014	2015	BENCHMARK OR TARGET
Women	59.4%	58.9%	58.6%	50%
Aboriginal people and Torres Strait Islanders	0.8%	0.8%	0.8%	2.6%
People whose first language was not English	14.3%	13.3%	11.8%	19.0%
People with a disability	7.5%	8.6%	9.5%	N/A
People with a disability requiring work-related adjustment	3.0%	3.1%	3.1%	1.5%

TABLE 27 - Trends in the representation of Workforce Diversity groups.

	2013	2014	2015	BENCHMARK OR TARGET
Women	112	108	110	100
Aboriginal people and Torres Strait Islanders	N/A	N/A	N/A	100
People whose first language was not English	N/A	N/A	N/A	100
People with a disability	N/A	N/A	N/A	100
People with a disability requiring work – related adjustment	N/A	N/A	N/A	100

TABLE 28 - Trends in the distribution of Workforce Diversity Groups.

Note 1: Statistics are based on Workforce Profile census data as at 20 June 2013, 19 June 2014 and 18 June 2015.

Note 2: Distribution Index of 100 indicates that the centre of the distribution of the Workforce Diversity group across salary levels is equivalent to that of other staff. Values less than 100 mean that the Workforce Diversity group tends to be more concentrated at lower salary levels than is the case for other staff. The more pronounced this tendency is, the lower the index will be. In some cases the index may be more than 100, indicating that the Workforce Diversity group is less concentrated at lower salary levels. The Distribution Index is not calculated where Workforce Diversity group or non-Workforce Diversity group numbers are less than 20.

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.

- Provision of a "quiet room" for the purposes of prayer, meditation and breast feeding.

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 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 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 Office 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.

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

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

FIGURE 59: State Records staff sharing the celebrations of Diwali in 2014

Health Workplace Activities

The WHS Coordinator actively coordinates activities in the workplace to inform staff about relevant health issues such as Men's Health, Women's Health and the promotion of healthy lifestyle choices.

During June 2015 to coincide with Men's Health Week an ambassador from the Prostate Cancer Foundation spoke to interested staff. The main aim of the talk was to raise awareness of the incidence of prostate cancer, symptoms and diagnosis of this common male cancer.

State Records once again participated in the Global Corporate Challenge (GCC), a corporate health initiative that encourages participants to wear a pedometer for 16 weeks and log their steps on the GCC website with the goal to walk at least 10,000 steps per day. The challenge is a worldwide initiative with over 200,000 people participating in this year's challenge.

State Records had 6 teams in the 2015 challenge with a total of 42 staff tracking their daily step counts. One team "The Walking Dead" clocked up an extraordinary combined tally of over 11 million steps which placed them in 3,516th place out of 35,000 teams worldwide.

As part of the recognition of our multicultural workforce staff celebrated the Hindu Festival of Lights (Diwali, D vali, D p wali, or Deepavali) the festival is observed on the 15th day of the month

of Kartika in the Hindu calendar. Staff dressed in beautiful saris and organized a delicious morning tea of traditional Hindu food.

Current ergonomic research shows the issue of office workers sitting for long periods of time can have a detrimental effect on their general health and wellbeing.

State Records has been trialing sit/stand desks throughout its work spaces. The trials have been very positively received by staff and further roll outs of sit/stand desks will continue. All staff are encouraged to take regular breaks during the day to ensure that they are not sitting for excessively long periods of time.

Health and Safety Committee

The Health and Safety Committee (HSC) comprised staff representatives from our two locations, the WHS Coordinator, and two management representatives.

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

Work Health and Safety Report

	2014-15
Incidents reported	44
New claims	1

TABLE 29 - Occupational health and safety report.

Industrial relations

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

Overseas travel

During 2014-15 there was only 1 occasion of overseas travel by State Records staff.

Mr Geoff Hinchcliffe, Director, travelled to New Zealand for the period 29 September to 4 October 2014, to represent the State Records Authority at the meeting of the Council of

Australasian Archives and Records Authorities (CAARA) meeting and the Australian Society of Archivists (ASA) conference. Attendance by the Director ensured that the Authority was appropriately represented, and able to participate in deliberations with other State and Territory counterparts regarding best practice management, preservation and accessibility of records and archives. This was funded by State Records at a cost of $2,383.30.

Management/staff communication

Senior management communicates to staff about strategic directions, issues affecting the organisation, activities and news through general staff forums held every two months, program area meetings, email, memoranda, 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.

Volunteers Program

State Records had 46 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 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 qualification such as librarianship. State Records as an organisation, and its 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 Management 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. 4 staff were granted study leave to study courses at a tertiary level.

Senior Executives

SENIOR EXECUTIVE BAND [1,2]	2014				2015			
	FEMALE	MALE	TOTAL	% REPRESENTED BY WOMEN	FEMALE	MALE	TOTAL	% REPRESENTED BY WOMEN
Band 4 (Secretary)	-	-	-					
Band 3 (Deputy Secretary)	-	-	-					
Band 2 (Executive Director)	-	-	-					
Band 1 (Director)	1	2	3	33%	1	2	3	33%
TOTAL	1	2	3	33%	1	2	3	33%

TABLE 30 – 33% of Department senior staff were female in 2015.

SENIOR EXECUTIVE BAND [1,2]	2014		2015	
	RANGE	AVERAGE REMUNERATION	RANGE	AVERAGE REMUNERATION
Band 4 (Secretary)	422,501 – 488,100	-	430,451 – 497,300	
Band 3 (Deputy Secretary)	299,751 – 422,500	-	305,401 – 430,450	
Band 2 (Executive Director)	238,301 – 299,750	-	242,801 – 305,400	
Band 1 (Director)	170,100 – 238,300	163,819	170,250 – 242,800	165,240

TABLE 31 – 5.73% of the Department's employee related expenditure in 2015 was related to senior executives, compared to 3.72% in 2014.

Note 1: Senior Executive statistics exclude casuals, contractor/agency staff, statutory appointments, staff on secondment to other agencies and staff on long term leave without pay.

Note 2: Statistics are based on Workforce Profile census data as at 19 June 2014 and 18 June 2015

Note 3: Salary ranges effective at the Workforce Profile census dates of 19 June 2014 and 18 June 2015.

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

	JULY 2014-JUNE 2015
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

TABLE 32 - Statistical information on PIDs.

Commentary on PID obligations

For the period July 2014 to June 2015, no State Records Authority of NSW officials made public interest disclosures.

As staff are employees of the Office of Finance and Services, the State Records Authority of NSW are covered by the OFS *Fraud and Corruption Internal Reporting Policy*.

All staff have undertaken training in the application of this Policy.

GOVERNMENT INFORMATION (PUBLIC ACCESS) ACT (GIPA) 2009

The State Records Authority of NSW complies with the obligations under the Government *Information (Public Access) Act 2009* (the GIPA Act or GIPA). The GIPA Act replaced the *Freedom of Information Act 1989* on 1 July 2010. Our Right to Information Officer provides advice about what can and cannot be released under the GIPA Act.

In 2014-2015 we:

• received 5 GIPA applications in which 4 were referred to other government departments.

• published and updated relevant policies on our website as part of a legislative review.

• reviewed our website and updated relevant public access information.

No additional information was made publicly available as a result of the review.

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

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

	ACCESS GRANTED IN FULL OR IN PART	ACCESS REFUSED IN FULL	INFORMATION NOT HELD	INFORMATION ALREADY AVAILABLE	REFUSE TO DEAL WITH APPLICATION	REFUSE TO CONFIRM/ DENY WHETHER INFORMATION IS HELD	APPLICATION WITHDRAWN
Media	0	0	0	0	0	0	0
Members of Parliament	0	0	0	0	0	0	0
Private sector business	0	0	0	0	0	0	0
Not for profit organisations or community groups	0	0	0	0	0	0	0
Members of the public (application by legal rep)	0	0	1	0	0	0	0
Members of the public (other)	0	0	3	1	1	0	0
Total	0	0	4	1	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.

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	3	0	0	0	0
Access applications that are partly personal information applications and party other	0	0	1	1	0	0	0
TOTAL	0	0	4	1	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).

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)	5
Decided after 35 days (by agreement with applicant)	0
Not decided within time (deemed refusal)	0
TOTAL	5

Table I: Applications transferred to other agencies under Division 2 of Part 4 of the Act (by type of transfer)

	JULY 2014 - JUNE 2015
Agency-initiated transfers	4
Applicant initiated transfers	0
TOTAL	4

Table G: Number of applications reviewed under Part 5 of the Act

	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

	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
TOTAL	0

DIGITAL INFORMATION SECURITY ANNUAL ATTESTATION STATEMENT

Digital Information Security Annual Attestation Statement for the 2014-2015 Financial Year for the State Records Authority of New South Wales

I, am of the opinion that the **State Records Authority of New South Wales** had an Information Security Management System in place during the 2014-2015 financial year that is consistent with the Core Requirements set out in the NSW Government Digital Information Security Policy.

The controls in place to mitigate identified risks to the digital information and digital information systems of the **State Records Authority of New South Wales** are adequate.

Risks to the digital information and digital information system of the **State Records Authority of New South Wales** have been assessed with an independent ISMS being developed in accordance with the NSW Government Digital Information Security Policy.

GEOFF HINCHCLIFFE
Director, State Records Authority of New South Wales

FIGURE 60: Exterior of one of the GRR off-site Repositories.

MANAGING OUR PHYSICAL ASSETS

State Records has net assets worth $974 million. This includes the State archives collection and property assets, mainly at Kingswood. Additional newly accessioned State archives recognised in the current year were valued at $26 million. This means the value of the State archives collection increased from $879 million to $904 million during the year.

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 Strategic Plan.

State Records owns the Western Sydney Records Centre repositories and services buildings located on 12 hectares of land at Kingswood. The complex includes 474 kilometres of purpose built storage space for archival and non-current records, conservation facilities, offices, training facilities and a public reading room. State Records business unit, the Government Records Repository(GRR), also leases six off-site storage facilities in Western Sydney, totaling 216 linear kilometres of additional capacity.

A capital grant from NSW Treasury of $943,000 was granted for projects and the improvement to the ageing buildings at the Kingswood site.

State Records $1.143 million capital expenditure

was re-invested into technology was re-invested into technology ($738,000) and in buildings and plant improvements ($405,000).

Land disposal

In 2014-15 8 hectares of land, or nearly half of the State Records' site at Kingswood, was sold under tender by Government Property NSW on behalf of the State Government. The proceeds of the sale was finalised on 30 June 2015 at which point $9.5m was transferred to the Authority's accounts. This has reduced State Records' site from 20 hectares to 12 hectares.

Energy and Sustainability

In 2014-15 we continued to focus on ways to lower our gas and electricity usage by targeted improvements to lighting and airconditioning systems. We have continued our program to replace older fluorescent light fittings with new energy efficient LED lights. Increased capital allocation will allow us to upgrade a number of end-of-life airconditioning systems which will lead to improved energy efficiency in the coming year.

FIGURE 61: Installation of racking in one of the GRR's off-site repositories.

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. State Records' electricity supply, provided under the NSW Government Electricity Supply Contract, includes a minimum of 6% Green Power.

State Records Acting Facilities Manager, David Phipps is to be congratulated for the improvements he has continued to achieve in managing the WSRC complex.

	2010-11	2011-12	2012-13	2013-14	2014-15
Electricity (kwh) 2,761,584	2,949,362	2,811,488	2,811,488	2,761,584	2,937,637
Green Electricity (kwh)	187,987	179,458	179,458	168,148	187,509
Gas, natural (mj) 6,559,018	7,572,714	7,558,935	7,558,935	6,559,018	7,740,852

TABLE 33 - Energy consumption.

MANAGING OUR FINANCES

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 State Records Authority of New South Wales (the Authority), which comprise the statement of financial position as at 30 June 2015, 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 2015, 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* (PF&A Act) and the Public Finance and Audit Regulation 2015.

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 preparing 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 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 an 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 entity'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 entity's internal control. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of accounting estimates made by management, 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.

Level 15, 1 Margaret Street, Sydney NSW 2000 | GPO Box 12, Sydney NSW 2001 | t 02 9275 7101 | f 02 9275 7179 | e mail@audit.nsw.gov.au | audit.nsw.gov.au

My opinion does *not* provide assurance:

- about the future viability of the Authority
- that it carried out its activities effectively, efficiently and economically
- about the effectiveness of the internal control
- about the assumptions used in formulating the budget figures disclosed in the financial statements
- 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.

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

18 September 2015
SYDNEY

FINANCIAL REPORT

+ FINANCIAL STATEMENTS

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

Pursuant to section 41C of the *Public Finance and Audit Act 1983*, I state that, in my opinion:

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 2015 and its financial performance for the year then ended.

b)   the financial statements and notes thereto 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 Financial Reporting Code for NSW General Government Sector Entities or issued by the Treasurer.

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: 16 September 2015

DIRECTOR: Geoff Hinchcliffe

State Records Authority of New South Wales

Statement of comprehensive income for the year ended 30 June 2015

	Notes	Actual 2015 $'000	Budget 2015 $'000	Actual 2014 $'000
Expenses excluding losses				
Operating Expenses				
Personnel services expense	2(a)	15,023	13,783	13,679
Other operating expenses	2(b)	7,268	5,177	5,300
Depreciation and amortisation	2(c)	3,010	3,012	2,823
Total Expenses excluding losses		**25,301**	**21,972**	**21,802**
Revenue				
Sale of goods and services	3(a)	16,209	15,377	15,896
Investment revenue	3(b)	244	48	209
Grants and contributions	3(c), 5	7,537	9,786	4,616
Other revenue	3(d)	25,767	-	54,480
Total Revenue		**49,757**	**25,211**	**75,201**
Gain/(loss) on disposal	4	**3,556**	**-**	**(15)**
Net result		**28,012**	**3,239**	**53,384**
Other comprehensive income				
Items that will not be reclassified to net result				
Net increase in property, plant and equipment asset revaluation surplus	9	-	-	4,778
Total Other comprehensive income		**-**	**-**	**4,778**
TOTAL COMPREHENSIVE INCOME		**28,012**	**3,239**	**58,162**

The accompanying notes form part of these financial statements.

State Records Authority of New South Wales
Statement of financial position as at 30 June 2015

	Notes	Actual 2015 $'000	Budget 2015 $'000	Actual 2014 $'000
ASSETS				
Current Assets				
Cash and cash equivalents	6	10,616	10,342	9,176
Receivables	7	11,633	3,509	2,665
Inventories	8	32	30	29
		22,281	13,881	11,870
Non-current assets held for sale	11	-	-	5,000
Total Current Assets		**22,281**	**13,881**	**16,870**
Non-Current Assets				
Property, plant and equipment	9, 12			
- Land		6,500	10,500	6,500
- Buildings and improvements		38,542	35,615	40,447
- Plant and equipment		501	631	508
- Shelving		6,409	8,066	6,867
- Computer equipment		692	871	656
- State archives		904,399	874,164	878,632
Total property, plant and equipment		957,043	929,847	933,610
Intangible assets	10	424	33	37
Total Non-Current Assets		**957,467**	**929,880**	**933,647**
Total Assets		**979,748**	**943,761**	**950,517**
LIABILITIES				
Current Liabilities				
Payables	13	5,756	4,363	4,542
Total Current Liabilities		**5,756**	**4,363**	**4,542**
Non-Current Liabilities				
Provisions	14	96	57	91
Total Non-Current Liabilities		**96**	**57**	**91**
Total Liabilities		**5,852**	**4,420**	**4,633**
Net Assets		**973,896**	**939,341**	**945,884**
EQUITY				
Reserves		848,643	843,865	848,643
Accumulated funds		125,253	95,476	97,241
Total Equity		**973,896**	**939,341**	**945,884**

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 2015

	Notes	Accumulated Funds $'000	Asset Revaluation Surplus $'000	Total Equity $'000
Balance as at 1 July 2014		97,241	848,643	945,884
Net result for the year		**28,012**	**-**	**28,012**
Other comprehensive income:				
Net increase in property, plant and equipment asset revaluation reserve	9	-	-	-
Total other comprehensive income		**-**	**-**	**-**
Total comprehensive income for the year		**28,012**	**-**	**28,012**
Balance at 30 June 2015		**125,253**	**848,643**	**973,896**
Balance at 1 July 2013		43,857	843,865	887,722
Net result for the year		**53,384**	**-**	**53,384**
Other comprehensive income:				
Net increase in property, plant and equipment asset revaluation reserve	9	-	4,778	4,778
Total other comprehensive income		**-**	**4,778**	**4,778**
Total comprehensive income for the year		**53,384**	**4,778**	**58,162**
Balance at 30 June 2014		**97,241**	**848,643**	**945,884**

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 2015

	Notes	Actual 2015 $'000	Budget 2015 $'000	Actual 2014 $'000
CASH FLOWS FROM OPERATING ACTIVITIES				
Payments				
Personnel services expense		(17,260)	(13,783)	(11,639)
Other		(6,620)	(5,489)	(8,556)
Total Payments		**(23,880)**	**(19,272)**	**(20,195)**
Receipts				
Sale of goods and services		19,556	15,619	18,018
Interest received		234	11	207
Grants and contributions	3(c)	7,537	9,786	4,616
Total Receipts		**27,327**	**25,416**	**22,841**
NET CASH FLOWS FROM OPERATING ACTIVITIES	17	**3,447**	**6,144**	**2,646**
CASH FLOWS FROM INVESTING ACTIVITIES				
Proceeds from sale of property, plant and equipment.		-	-	-
Purchases of property, plant and equipment.		(1,589)	(3,517)	(1,322)
Purchases of intangibles	10	(418)	(25)	-
NET CASH FLOWS FROM INVESTING ACTIVITIES		**(2,007)**	**(3,542)**	**(1,322)**
NET INCREASE / (DECREASE) IN CASH		1,440	2,602	1,324
Opening cash and cash equivalents		9,176	7,740	7,852
CLOSING CASH AND CASH EQUIVALENTS	6	**10,616**	**10,342**	**9,176**

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 2015

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 2015 have been authorised for issue by the Director of the Authority on 16 September 2015.

(b)   **Basis of preparation**

The Authority's financial statements are general purpose financial statements which have been prepared on an accrual basis and in accordance with:

- applicable Australian Accounting Standards (which include Australian Accounting Interpretations)
- the requirements of the *Public Finance and Audit Act 1983* and *Public Finance and Audit Regulation 2015* 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, and assets held for sale are measured at fair value. Other financial statement items are prepared in accordance with the historical cost convention except where specified otherwise. State archives collection is measured at fair value using the valuation methodology outlined in Note 1 g(iii) (b).

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

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

(c)   **Statement of compliance**

The financial statements and notes thereto 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 an asset's cost of acquisition 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 2015

(f) Revenue recognition

Revenue is measured at the fair value of the consideration or contribution received or receivable. Additional comments regarding the accounting policies for the recognition of revenue 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 revenue when the Authority obtains control over the assets comprising the grants and contributions. Control over grants and contributions are normally on receipt of assets.

(g) Assets

(i) Acquisitions of assets

Assets acquired are initially recognised at cost. 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 price that would be received to sell an asset in an orderly transaction between market participants at measurement date.

Where payment for an asset is deferred beyond normal credit terms, its cost is the cash price equivalent; i.e. deferred payment amount is effectively discounted over the period of credit.

(ii) Capitalisation thresholds

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

(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 14-01). This policy adopts fair value in accordance with AASB 13 *Fair Value Measurement* and AASB 116 *Property, Plant and Equipment.*

State Records Authority of New South Wales
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for the year ended 30 June 2015

Property, plant and equipment are measured at the highest and best use by market participants that is physically possible, legally permissible and financially feasible. The highest and best use must be available at a period that is not remote and take into account the characteristics of the asset being measured, including any conditions imposed by government. In most cases, after taking into account these considerations, the highest and best use is the existing use. In limited circumstances, the highest and best use may be a feasible alternative use, where there are no restrictions on use or where there is a feasible higher restricted alternative use.

Fair value of property, plant and equipment is based on a market participants' perspective, using valuation techniques (market approach, cost approach, income approach) that maximises relevant observable inputs and minimise unobservable inputs. Also refer Note 9 and Note 12 for further information regarding fair value.

The Authority revalues property, plant and equipment, excluding State archives, at least every three years or with sufficient regularity to ensure that the carrying amount of each asset in the class does not differ materially from its fair value at reporting date. The last revaluation was completed on 30 June 2014 and was based on an independent assessment.

Non-specialised assets with short useful lives are measured at depreciated historical cost, as an approximation of fair value. The Authority has assessed that any difference between fair value and depreciated historical cost is unlikely to be material.

b) Property, plant and equipment - State archives

The Authority recognises the State archives 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*. Additional guidance is given in NSW Treasury's Policy and Guidelines paper TPP 14-01 - 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 individually or as a set.
• 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 State archives 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 last revaluation of State archives was completed on 30 June 2013.

c) Property, plant and equipment – all

When revaluing non-current assets using the cost approach, the gross amount and the related accumulated depreciation are separately restated.

For other assets valued using other valuation techniques, 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.

State Records Authority of New South Wales
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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 entity, revaluation increments and decrements are offset against one another within a class of non-current assets, but not otherwise.

Where an asset that has previously been revalued is disposed of, any balance remaining in the revaluation surplus 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, impairment under AASB 136 *Impairment of Assets* is unlikely to arise. As property, plant and equipment is carried at fair value or an amount that approximates fair value, impairment can only arise in the rare circumstances where the costs of disposal are material. Specifically, impairment is unlikely for not-for-profits entities given that AASB 136 modifies the recoverable amount test for non-cash generating assets of not-for-profit entities to the higher of fair value less costs of disposal and depreciated replacement cost, where depreciated replacement cost is also fair value.

(v) Depreciation of property plant and equipment
Except for certain heritage assets, 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 TPP14-01 – '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 Statement of Comprehensive Income in relation to the State archives.
Management's decision not to depreciate the State archives is reviewed annually.

Asset Class	New Depreciation Rate	Previous Depreciation Rate
Buildings & Improvements	1.7% - 13.1%	1.7% - 13.11%
Plant and Equipment	14.3% - 15%	10% - 15%
Shelving	2.5% - 17.6%	2.5% - 13.11%
Computer Equipment	25% - 33.3%	25% - 33.33%
State archives	0%	0%

(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.

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Notes to the financial statements
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(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 rewards incidental to ownership of the leased assets, and operating leases under which the lessor does not transfer substantially all the risk and rewards.

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 recognised as an expense on a straight-line basis over the lease term.

(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 and impairment losses.

The Authority's intangible assets are amortised using the straight line method over a period of not more than 4 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.

(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 "first in first out" method.

State Records Authority of New South Wales
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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) 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.

(xiv)   Non-current assets (or disposal groups) held for sale
The Authority classifies non-current assets (or disposal groups) as held for sale, where their carrying amount will be recovered principally through a sale transaction, not through continuing use. Non-current assets (or disposal groups) held for sale are recognised at the lower of carrying amount and fair value less costs of disposal. These assets are not depreciated while they are classified as held for sale.

(h)   Liabilities
(i)   Payables
These amounts represent liabilities for goods and services provided to the Authority and other amounts. 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 Office of Finance & Services (OFS) (changed to the Department of Finance, Services and Innovation from 1 July 2015) has a Memorandum of Understanding, that sets out the arrangements for employment and payment of staff working at the State Records Authority which are considered employees of OFS. All payments to personnel and related obligations are done in the OFS name and ABN and are classified as "Personnel Services" costs in these financial statements.

Liabilities for personnel services relating to 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 at undiscounted amounts of the benefits and as invoiced by OFS.

The outstanding amounts of workers compensation insurance premiums and fringe benefits tax, which are consequential to the provision of personnel services by the OFS, 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

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Notes to the financial statements
for the year ended 30 June 2015

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.

(i)   Fair value hierarchy
A number of the Authority's accounting policies and disclosures require the measurement of fair values, for both financial and non-financial assets and liabilities. When measuring fair value, the valuation technique used maximises the use of relevant observable inputs and minimises the use of unobservable inputs. Under AASB 13, the entity categorises, for disclosure purposes, the valuation techniques based on the inputs used in the valuation techniques as follows:

- Level 1 - quoted prices in active markets for identical assets / liabilities that the entity can access at the measurement date.

- Level 2 - inputs other than quoted prices included within Level 1 that are observable, either directly or indirectly.

- Level 3 – inputs that are not based on observable market data (unobservable inputs).

The Authority recognises transfers between levels of the fair value hierarchy at the end of the reporting period during which the change has occurred.

Refer Note 12 and Note 19 for further disclosures regarding fair value measurements of financial and non-financial assets.

(j)   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*(g)*(iii).

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

(iii)   Separate reserve accounts are recognised in the financial statements only if such accounts are required by specific legislation or Australian Accounting Standards (e.g. revaluation surplus and foreign currency translation reserve).

(k)   Budgeted amounts
The budgeted amounts are drawn from the original budgeted financial statements presented to Parliament in respect of the reporting period. Subsequent amendments to the original budget (e.g. adjustments for transfer between entities as a result of Administrative Arrangement Orders) are not reflected in the budgeted amounts. Major variances between the original budgeted amounts and the actual amounts disclosed in the primary financial statements are explained in Note 18.

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

(m)   Changes in accounting policy, including new or revised Australian Accounting Standards
(i)   Effective for the first time in 2014-15
The accounting policies applied in 2014-15 are consistent with those of the previous financial year except as a result of the following new or revised Australian Accounting Standards that have been applied for the first time in 2014-15.
AASB 10 *Consolidated Financial Statements* (applicable to not-for-profit entities for annual financial periods beginning on or after 1 January 2014)

State Records Authority of New South Wales
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AASB 11 *Joint Arrangements* (applicable to not-for-profit entities for annual financial periods beginning on or after 1 January 2014)

AASB 12 *Disclosure of Interests in Other Entities* (applicable to not-for-profit entities for annual financial periods beginning on or after 1 January 2014)

AASB 127 *Separate Financial Statements* (applicable to not-for-profit entities for annual financial periods beginning on or after 1 January 2014)

AASB 128 *Investments in Associates and Joint Ventures* (applicable to not-for-profit entities for annual financial periods beginning on or after 1 January 2014)

AASB 1031 *Materiality*

AASB 1055 *Budgetary Reporting*

The standards identified above had no material impact on the Authority's financial statements.

(ii)   Issued but not yet effective
NSW public sector entities are not permitted to early adopt new Australian Accounting Standards, unless Treasury determines otherwise.

The following new Australian Accounting Standards have not been applied and are not yet effective:
AASB 9, AASB 2010-7, AASB 2013-9 (Part C), AASB 2014-1 (Part E), AASB 2014-7 and AASB 2014-8 regarding financial instruments
AASB 14 and AASB 2014-1(Part D) regarding Regulatory Deferral Accounts
AASB 15 and AASB 2014-5 regarding Revenue from Contracts with Customers
AASB 2014-4 regarding acceptable methods of depreciation and amortisation
AASB 2014-9 regarding equity method in separate financial statements
AASB 2015-1 regarding annual improvements to Australian Accounting Standards 2012-2014 cycle
AASB 2015-2 regarding amendments to AASB 101 disclosure initiatives
AASB 2015-3 regarding materiality.

The standards identified above are not expected to have material impact on the Authority's financial statements.

(n)   Taxation status
The activities of the Authority are exempt from income tax.

State Records Authority of New South Wales
Notes to the financial statements
for the year ended 30 June 2015

	2015 $'000	2014 $'000
2. Expenses Excluding Losses		
(a) Personnel services expense		
Salaries and wages (including annual leave)	9,295	9,211
Superannuation - defined benefit plans	95	97
Superannuation - defined contribution plans	739	721
Long service leave	193	188
Workers' compensation insurance	158	84
Payroll tax and fringe benefit tax	583	576
Other contractors	3,960	2,802
	15,023	13,679

Personnel Services expenses of $0.248 million have been capitalised in Intangibles asset accounts, and therefore excluded from the above (2014: Nil).

	2015 $'000	2014 $'000
(b) Other operating expenses		
Auditors remuneration - audit of the financial statements	80	202
Cost of Sales - Boxes	175	151
Cost of Sales - Publications	6	15
Operating lease rental expense - minimum lease payments	1,267	1,146
Maintenance*	443	451
Insurance	87	82
Electricity, Gas, Rates	702	705
Minor stores	116	129
Consultants	556	128
Motor Vehicles	300	293
Postage, Telephone, Printing	261	199
Promotional advertising	109	34
Grant expenses	6	39
Rental expense - records storage (offsite)	181	147
Payroll processing	148	(31)
Training	31	27
Cleaning	231	220
Corporate Cost Allocation	1,253	631
Other	1,316	732
	7,268	5,300
Reconciliation - Total maintenance		
Maintenance expense - contracted labour and other (non-employee related), as above *	443	451
Personnel Services related maintenance expense included in Note 2(a)	-	-
Total maintenance expenses included in Note 2(a) + 2(b)	443	451
(c) Depreciation and amortisation expense		
Depreciation		
Buildings and improvements	2,159	2,084
Plant and equipment	148	118
Shelving	388	360
Computer equipment	284	232
	2,979	2,794
Amortisation		
Computer software	31	29
Total Depreciation and amortisation	3,010	2,823

State Records Authority of New South Wales
Notes to the financial statements
for the year ended 30 June 2015

	2015 $'000	2014 $'000
3. Revenue		
(a) Sale of goods and services		
Sale of goods		
Publications	8	19
Boxes	288	256
Rendering of services		
Storage	11,709	11,242
Retrieval	1,955	2,771
Consultancy	1,629	1,157
Photocopies	131	149
Destruction	312	188
Other	177	114
	16,209	15,896
(b) Investment revenue		
Interest	244	209
	244	209
(c) Grants and Contributions		
Recurrent Grants from NSW Treasury	6,594	-
Capital Grants from NSW Treasury	943	-
Recurrent Grants from NSW Office of Finance and Services	-	4,271
Capital Grants from NSW Office of Finance and Services	-	345
	7,537	4,616

On 23 April 2014, the Administrative Arrangements Order 2014 was issued which established the Treasury and Finance cluster. As a result, the Authority moved from the old Finance and Services cluster to the new Treasury and Finance cluster, and was grant funded by Treasury during 2014-15.

	2015 $'000	2014 $'000
(d) Other revenue		
State archives revenue	25,767	54,480
	25,767	54,480

State archives revenue is non-cash transactions. Archives received during the year are recognised at fair value and included in Other revenue.

State Records Authority of New South Wales
Notes to the financial statements
for the year ended 30 June 2015

	2015 $'000	2014 $'000
4. Gain/(Loss) On Disposal		
(a) Gain/(loss) on disposal of land, building and improvements		
Proceeds from disposal	9,500	-
Less GST on disposal	(864)	-
Written down value of land, building and improvements	(5,000)	-
Net gain/(loss) on disposal of land, buildings and improvements	3,636	-
(b) Gain/(loss) on disposal of plant and equipment		
Proceed from disposal	-	-
Written down value of assets disposed	(80)	(13)
Net gain/(loss) on disposal of plant and equipment	(80)	(13)
(c) Gain/(loss) on disposal of computer equipment		
Proceeds from disposal	-	-
Written down value of assets disposed	-	(2)
Net gain/(loss) on disposal of computer equipment	-	(2)
Total gain/(loss) on disposal	3,556	(15)

Proceeds from disposal of land are included in receivables, refer Note 7.

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	10,616	9,176

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)	10,616	9,176
Closing cash and cash equivalents (per Statement of Cash Flows)	10,616	9,176

Refer to Note 19 for details regarding credit risk, liquidity risk and market risk arising from financial instruments.

7. Current Assets - Receivables

Sale of goods and services	1,822	2,158
Sale of land	9,500	-
Prepayments	194	135
Interest Receivable	117	114
Net GST Receivable	-	258
	11,633	2,665

Details regarding credit risk, liquidity risk and market risk including financial assets either past due or impaired are disclosed in Note 19.

8. Current Assets - Inventories

Stock on hand - at cost	32	29
	32	29

State Records Authority of New South Wales
Notes to the financial statements
for the year ended 30 June 2015

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 2014 - fair value							
Gross carrying amount	6,500	73,644	1,140	9,312	1,143	878,632	**970,371**
Accumulated depreciation and impairment	-	(33,197)	(632)	(2,445)	(487)	-	**(36,761)**
Net carrying amount	6,500	40,447	508	6,867	656	878,632	**933,610**
At 30 June 2015 - fair value							
Gross carrying amount	6,500	73,898	992	9,111	1,299	904,399	**996,199**
Accumulated depreciation and impairment	-	(35,356)	(491)	(2,702)	(607)	-	**(39,156)**
Net carrying amount	6,500	38,542	501	6,409	692	904,399	**957,043**

Reconciliation

A reconciliation of the carrying amount of each class of property, plant, and equipment at the beginning and end of each reporting period is set out below:

Year ended 30 June 2015

	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	6,500	40,447	508	6,867	656	878,632	**933,610**
Additions	-	254	150	1	320	25,767	**26,492**
Assets held for sale	-	-	-	-	-	-	**-**
Disposals	-	-	(298)	(202)	(164)	-	**(664)**
Depreciation expense	-	(2,159)	(148)	(388)	(284)	-	**(2,979)**
Net revaluation increment less revaluation decrements	-	-	-	-	-	-	**-**
Depreciation written back on disposals	-	-	289	131	164	-	**584**
Other movements	-	-	-	-	-	-	**-**
Net carrying amount at end of year	6,500	38,542	501	6,409	692	904,399	**957,043**

Further details regarding the fair value measurement of property, plant and equipment are disclosed in Note 12.

State Records Authority of New South Wales
Notes to the financial statements
for the year ended 30 June 2015

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

	Land $'000	Buildings and improvements $'000	Plant and equipment $'000	Shelving $'000	Computer equipment $'000	State archives $'000	Total $'000
At 1 July 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**
At 30 June 2014 - fair value							
Gross carrying amount	6,500	73,644	1,140	9,312	1,143	878,632	**970,371**
Accumulated depreciation and impairment	-	(33,197)	(632)	(2,445)	(487)	-	**(36,761)**
Net carrying amount	6,500	40,447	508	6,867	656	878,632	**933,610**

Reconciliation

A reconciliation of the carrying amount of each class of property, plant, and equipment at the beginning and end of each reporting period is set out below:

Year ended 30 June 2014

	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	39,116	495	5,904	658	824,165	**880,838**
Additions	-	259	131	701	231	54,480	**55,802**
Assets held for sale	(5,000)	-	-	-	-	-	**(5,000)**
Disposals		-	(493)	-	(239)	(14)	**(746)**
Depreciation expense	-	(2,083)	(118)	(361)	(232)	-	**(2,794)**
Net revaluation increment less revaluation decrements	1,000	3,778	-	-	-	-	**4,778**
Depreciation written back on disposals	-	-	493	-	238	-	**731**
Other movements	-	(623)	-	623	-	1	**1**
Net carrying amount at end of year	6,500	40,447	508	6,867	656	878,632	**933,610**

Further details regarding the fair value measurement of property, plant and equipment are disclosed in Note 12.

State Records Authority of New South Wales
Notes to the financial statements
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10. Intangible Assets

	Software $'000	Total $'000
At 1 July 2014		
Cost (gross carrying amount)	91	91
Accumulated amortisation and impairment	(54)	(54)
Net Carrying amount	37	37
At 30 June 2015		
Cost (gross carrying amount)	459	459
Accumulated amortisation and impairment	(35)	(35)
Net Carrying amount	424	424
Year ended 30 June 2015		
Net carrying amount at start of year	37	37
Additions (acquired separately)	418	418
Amortisation (recognised in "depreciation and amortisation")	(31)	(31)
Disposals	(50)	(50)
Amortisation written back on disposals	50	50
Net carrying amount at end of year	424	424

	Software $'000	Total $'000
At 1 July 2013		
Cost (gross carrying amount)	271	271
Accumulated amortisation and impairment	(205)	(205)
Net Carrying amount	66	66
At 30 June 2014		
Cost (gross carrying amount)	91	91
Accumulated amortisation and impairment	(54)	(54)
Net Carrying amount	37	37
Year ended 30 June 2014		
Net carrying amount at start of year	66	66
Additions (acquired separately)	-	-
Amortisation (recognised in "depreciation and amortisation")	(29)	(29)
Disposals	(177)	(177)
Amortisation written back on disposals	177	177
Net carrying amount at end of year	37	37

State Records Authority of New South Wales
Notes to the financial statements
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11. Non-Current Assets (or Disposal Groups) Held for Sale

	2015 $'000	2014 $'000
Assets held for sale		
Land	-	5,000
	-	5,000

Proceeds from sale of land $9.5 million are included in receivables, refer Note 7.

12. Fair value measurement of non-financial assets

(a) Fair value hierarchy

2015	Level 1	Level 2	Level 3	Total fair value
	$'000	$'000	$'000	$'000
Property, plant and equipment (Note 9)				
Land	-	6,500	-	6,500
Buildings and improvements	-	-	38,542	38,542
State archives	-	904,399	-	904,399
	-	910,899	38,542	949,441

There were no transfers between Level 1 or 2 during the period.

Plant and equipment, shelving, and computer equipment are carried at depreciated historical cost. Generally for these assets, the carrying amount is unlikely to be materially different from their fair value.

(b) Valuation techniques, inputs and processes

(i) Land is based on observable inputs (Level 2)

The Authority engaged an independent professional valuer to provide an update on the valuation performed in 2014. Land asset has been valued using the market approach with adjustment for condition, location, and comparability. The independent professional valuer assessed that there has been no material change in the market value of the land since last valuation and the value of the land remains at fair value at 30 June 2015.

(ii) State archives are based on observable inputs (Level 2)

The Authority engaged an independent professional valuer to provide an update on the valuation performed in 2013. Input data for the valuation was derived from values of like or similar material found by research of records of Australian and international sales, purchases and other forms of acquisition, knowledge of prices paid by other institutions, and valuation experience at other major archives.

This data was obtained from the manuscripts section of American Book Prices Current, manuscripts and documents sold through Advance Book Exchange, document dealer's catalogues, the Antique Map Price Record and various other sources.

The independent professional valuer assessed the market for material of the type held by the Authority has not materially changed since last valuation and the value of State archives remains at fair value at 30 June 2015.

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(b) Valuation techniques, inputs and processes continued.

Buildings and improvements are based on unobservable inputs (Level 3).

The Authority engaged an independent professional valuer to perform the valuation. Where there are natural, legal or financial or other conditions imposed by government on use and disposal of asset such that there is no feasible alternative use in the relatively near future, such asset should be valued at fair (market) value for its existing use. Where the current market buying prices could not be observed, an asset's fair value is best measured by its depreciated replacement cost. However when current market buying prices was observed property locality is to be valued having regard to the direct comparison method of valuation having reference to current market transactions of comparable properties in the surrounding. The Western Sydney Records Centre is considered a specialised asset where current market buying prices cannot be observed; therefore, the depreciated replacement cost method of valuation is adopted.

Depreciated Replacement Cost is the current replacement cost of an asset, less, where applicable, accumulated depreciation calculated on the basis of such cost to reflect the already consumed or expired future economic benefits of the asset.

There is a considerable degree of subjectivity involved in establishing the life expectancy or effective life, particularly in relation to specialised asset buildings. The assumptions in this valuation are generally based on adopted life spans used in general commercial practice and for assets owned by various State Government Departments, Local Government and Statutory Authorities.

The unobservable input in relation to the building and improvements is the economic life and remaining life the sensitivity to this would be within 10%.

Management considers it unlikely that any change to the inputs will significantly affect the net result for the year. Instead the impact will be on the asset revaluation reserve and the underlying asset class.

The independent professional valuer assessed that there has been no material change in the depreciation replacement cost of buildings and improvements since last valuation and the value of these assets remains at fair value at 30 June 2015.

(c) Reconciliation of recurring Level 3 fair value measurements

2015	Buildings and improvements	Total Recurring Level 3 Fair value
	$'000	$'000
Fair value as at 1 July 2014	40,447	40,447
Additions	254	254
Depreciation	(2,159)	(2,159)
Fair Value as at 30 June 2015	**38,542**	**38,542**

State Records Authority of New South Wales
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	2015 $'000	2014 $'000
13. Current Liabilities - Trade And Other Payables		
Creditors	624	375
Other	1,364	1,230
Revenue received in advance	1,114	480
Accrued personnel services expense	2,085	2,457
Net GST payable	569	-
	5,756	4,542

Details regarding credit risk, liquidity risk and market risk, including a maturity analysis of the above payables are disclosed in Note 19.

14. Non-Current Liabilities - Provisions

	2015	2014
Restoration Costs	96	91
Total Provisions	96	91

The restoration costs relate to make good cost for the property leases which is expected to be incurred from 2020. The amount is based on an estimated make good amount of $0.13 million in 2015 discounted using the Australian Government 10 year bond rate 3.06% at 30 June 2015 (3.54% at 30 June 2014)

Movements in provisions

Movements in each class of provision during the financial year are set out below:

2015	Restoration $'000	Total $'000
Carrying amount at the beginning of the financial year	91	91
Additions provisions recognised	5	5
Carrying amount at the end of the financial year	96	96

2014	Restoration $'000	Total $'000
Carrying amount at the beginning of the financial year	57	57
Additions provisions recognised	34	34
Carrying amount at the end of the financial year	91	91

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15. Commitments for Expenditure

	2015 $'000	2014 $'000

(a) Capital Commitments

There was no aggregate capital expenditure for acquisitions contracted for at balance date.

	2015 $'000	2014 $'000
Not later than one year	-	123
Total (including GST)	-	123

2014 represents fees payable for book scanner.

The Authority does not have capital commitments later than 1 year.

(b) Operating Lease Commitments

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

	2015 $'000	2014 $'000
Not later than one year	1,585	1,465
later than one year and no later than five years	5,762	5,656
Later than five years	2,584	3,958
Total (including GST)	9,931	11,079

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 *$0.903 million* ($1 million in 2013-14).

16. Contingent Assets / Liabilities

The Authority is unaware of any contingent assets or contingent liabilities at the date of this report (Nil in 2013-14).

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

	2015 $'000	2014 $'000
Net cash flows from operating activities	3,447	2,646
Depreciation and Amortisation	(3,010)	(2,823)
Other revenue	25,767	54,480
Decrease / (increase) in provisions	(5)	(34)
Increase / (decrease) in receivables and other assets	(529)	(572)
Decrease / (increase) in payables	(1,214)	(298)
Net gain / (loss) on disposal of property, plant and equipment	3,556	(15)
Net Result	28,012	53,384

State Records Authority of New South Wales
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for the year ended 30 June 2015

18. Budget Review

Net result
The actual net result was higher than budget by $24.8 million due to the State archives revenue and gain on disposal of land.

Total Revenue was up by $24.5 million primarily due to State archives received during the year.

Total Operating expenses were over budget by $3.3 million mainly due to additional contractor staff required to support records management projects, and an increase in specialised consultants advice, corporate cost allocation and security charges.

Assets and liabilities
Net Assets of the Authority were $34.6 million above budget. The Authority's balance sheet was impacted by additional State archives asset and proceeds from the sale of land.

Cash flows
The Authority's cash flow and liquidity remained strong in 2015. Cash and cash equivalents were above budget by $0.274 million. Net cash flow from operating activities for the year was $2.7 million below budget due to additional resource expenditure to meet both strategic and operational requirements.

The net cash flow from investing activities for the year was $1.5 million favourable against budget as the Authority deferred investment in a capital project work to provide services that meet the expectations of the Authority in future years.

State Records Authority of New South Wales
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19. 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 the Authority 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:			**2015 $'000**	**2014 $'000**
Cash and cash equivalents	6	N/A	10,616	9,176
Receivables[1]	7	Loans and Receivables (at amortised cost)	10,410	2,272

Financial Liabilities				
Class:			**2015 $'000**	**2014 $'000**
Payables[2]	13	Financial liabilities measured at amortised cost	3,823	4,062

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).

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(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.

Cash

Cash comprises cash on hand and bank balances within the NSW Treasury Banking System. Interest is earned on daily bank balances.

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 (2015:$1.4 million: 2014: $1.4 million) and less than 6 months past due (2015:$0.285 million: 2014:$0.713 million) 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 impaired are 'sales of goods and services' in the recievables' category of the statement of financial position.

	$'000		
2015	**Total** [1,2]	**Past due but not** [1,2] **impaired**	**Considered** [1,2] **impaired**
< 3 months overdue	265	265	-
3 months - 6 months overdue	20	20	-
> 6 months overdue	-	-	-
2014			
< 3 months overdue	534	534	-
3 months - 6 months overdue	179	179	-
> 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 total receivables 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 2015

(c) Liquidity risk

Liquidity risk is the risk that the Authority will be unable to meet its payment obligations when they fall due. The Authority continuously manages risk through monitoring future cash flows and maturities planning to ensure adequate holding of high quality liquid assets. The objective is to maintain a balance between continuity of funding and flexibility through the use of loans and other advances.

During the current and prior years, there were no defaults 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 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 Director (or a person appointed by the Director) may automatically pay the supplier simple interest.

The table below summarises the maturity profile of the Authority's financial liabilities.

	$'000 Interest Rate Exposure			**Maturity Dates**		
2015	**Nominal [1] Amount**	**Fixed Interest Rate**	**Variable Interest Rate**	**Non-interest bearing**	**< 1 year**	**1-5 years > 5 years**
Payables						
Personnel services payable	2,014	-	-	2,014	2,014	- -
Creditors	1,809	-	-	1,809	1,809	- -
	3,823	-	-	3,823	3,823	- -
2014						
Payables						
Personnel services payable	2,457	-	-	2,457	2,457	- -
Creditors	1,605	-	-	1,605	1,605	- -
	4,062	-	-	4,062	4,062	- -

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.

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(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. The Authority has no exposure to financial instrument or 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 2014. The analysis assumes that all other variables remain constant.

Interest rate risk

The Authority does not have any borrowing and its exposure to interest rate risk is minimal. The Authority's exposure to interest rate risk is set out below.

$'000

	Carrying amount	-1% Net Result	Equity	+1% Net Result	Equity
2015					
Financial assets					
Cash and cash equivalents	10,616	(106)	(106)	106	106
2014					
Financial assets					
Cash and cash equivalents	9,176	(92)	(92)	92	92

(e) Fair value measurements

Financial instruments are generally recognised at cost. The amortised costs of financial instruments recognised in the statement of financial position approximates the fair value because of their short term nature.

20. Events after the Reporting Period

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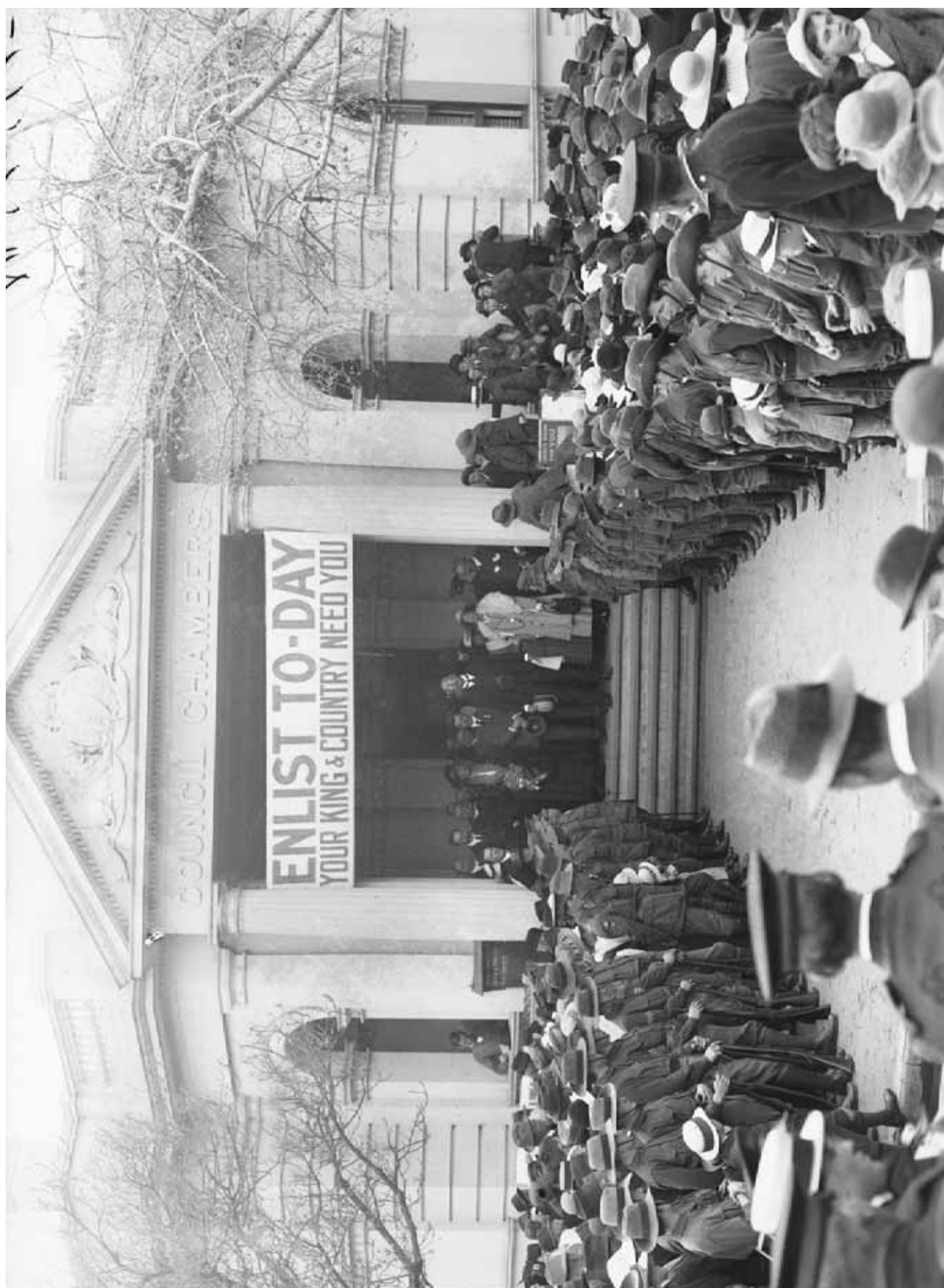
End of audited financial statements

FIGURE 62: Governor Davidson responding to address of welcome, Wagga Wagga, August 1918. NRS 4481, MS 5865

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
Telephone: (02) 9673 1788

Hours of opening
Monday – Friday: 9am – 5pm

Saturday: 10am – 4pm

Sunday and public holidays: CLOSED

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PO Box 516
KINGSWOOD NSW 2747

Reading rooms and public facilities are wheelchair accessible