

Governance and accountability 2006-07

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Board and management

The Board

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

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

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

Board members

Hon. John Aquilina, MP

Speaker of the Legislative Assembly

First term: 1/1/04— 31/12/06
Nominated jointly by the President of the Legislative Council and the Speaker of the Legislative Assembly.

Hon. Justice Patricia Bergin

Judge of the Supreme Court of NSW

First term: 13/6/03—31/12/04
Second term: 1/1/05— 31/12/07
Nominated by the Chief Justice of New South Wales.

Mr Peter Carr

Manager, Police Business Services, NSW Police

First term: 25/1/06— 31/12/08
Nominated by Minister administering State Records Act to represent State law enforcement agencies, after consultation with the Ministers responsible for those agencies.

Mr Stephen Davies

BA, DipEd, DipT&CP, DipConsStudies
Director, Urbis

First term: 1/1/06— 31/12/08
Nominated by Minister administering State Records Act to represent private sector.

Dr Shirley Fitzgerald

PhD, BA(Hons), DipT
City Historian, City of Sydney
Chairperson (2001-06)

First term: 1/1/01— 31/12/03
Second term: 1/1/04— 31/12/06
Nominated by Minister administering State Records Act to represent history profession.

Hon. Don Harwin

MLC

First term: 7/2/07—31/12/09
Nominated jointly by the President of the Legislative Council and the Speaker of the Legislative Assembly

Mr Peter Loxton

BA
Assistant Director General, Strategic Projects, NSW Premier's Department
Deputy Chairperson (2006)

First term: 1/1/03— 31/12/05
Second term: 1/1/06— 31/12/08
Resigned: 1/11/2006
Nominated by the Minister who administers the Public Sector Employment and Management Act 2002 to represent departments.

Mr John O'Hearn

BComm, FCPA, GAICD
General Manager, Corporate Planning and Government Regulation, Hunter Water Corporation

First term: 25/1/06— 31/12/06
Second term: 7/2/07—31/12/2009
Nominated by the Minister who administers the State Owned Corporations Act 1989, to represent State owned corporations.



Board members L to r:
Mr Peter Carr,
Mr David Roberts, (Director),
Associate Professor Lucy
Taksa (Chairperson),
Ms Darriea Turley (Deputy
Chairperson),
Mr John O'Hearn, and
Mr Stephen Davies

Board and management

Mr Michael Coutts-Trotter

Director-General of NSW
Department of Education and
Training and Managing Director
of TAFE NSW

First term: 1/11/06—31/12/07
Nominated by the Minister who
administers the Public Sector
Employment and Management Act
2002 to represent departments

Ms Darriea Turley

GradDipSocSc, BA
Manager Community
Engagement, Population
Health, Planning and
Performance Directorate
Greater Western Sydney Area
Health Service
Deputy Chairperson (2007)

First term: 1/1/03— 31/12/05
Second term: 1/1/06— 31/12/08
Nominated by Minister
administering State Records Act to
represent local government.

**Associate Professor Lucy
Taksa PhD**

Associate Professor, School of
Organisation and Management
and Director, Industrial
Relations Research Centre,
University of NSW
Chairperson (2007)

First Term: 7/2/07—31/12/09
Nominated by Minister
administering State Records Act to
represent history profession.

Board meetings

The Board meets every
two months, six times a
year.

The Director attended 6
meetings and the
Associate Director, City
(as Secretary) attended 6
meetings. Managers
attended meetings or
parts of meetings which
related specifically to
their areas of
responsibility.

Board Finance and
Audit Committee

The Board's Finance and
Audit Committee
comprises two Board
members, the Director,
Associate Director City
and Associate Director,
Western Sydney. It
assists the Board in
relation to financial
performance, accounting
and reporting practices of
State Records.

Board members on the
Committee were John
O'Hearn (Chairperson
since 15 February 2006),
and Stephen Davies
(since 21 June 2006).

The Committee met three
times.

Board attendance

Member	Present	Eligible
Hon. John Aquilina, MP	1	3
Hon. Justice Patricia Bergin	4	6
Mr Peter Carr	5	6
Mr Michael Coutts-Trotter	2	4
Mr Stephen Davies	3	3
Dr Shirley Fitzgerald	4	4
Hon. Don Harwin, MLC	2	3
Mr Peter Loxton	2	2
Mr John O'Hearn	4	6
Associate Professor Lucy Taksa	3	3
Ms Darriea Turley	3	6

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 was the Minister for the Arts until 1 November 2006 and then the Minister for Commerce.

On 1 November 2006, as one of the outcomes of the review by the Council on the Cost and Quality of Government, State Records including its staff) became a part of the Office of NSW Procurement within the NSW Department of Commerce.

Strategic committees

Executive Team

The Executive meets each week to maintain a strategic view of operations and progress towards corporate goals across programs and to review and approve major policies and

Senior staff

Mr David Roberts, Director

Mr John Burke, Associate Director, Western Sydney

Mr Alan Ventress, Associate Director, City

Mr Michael Allen, Chief Information Officer

Ms Amanda Barber, Manager, Government Recordkeeping

Mr Richard Gore, Manager, Archives Control and Management

Mrs Christine Shergold, Manager, Special Projects

Ms Jennifer Stapleton, Manager, Government Records Repository

Ms Christine Yeats, Manager, Public Access

initiatives. The Executive consists of the Director, the Associate Directors and the Manager, GRR.

Management Committee

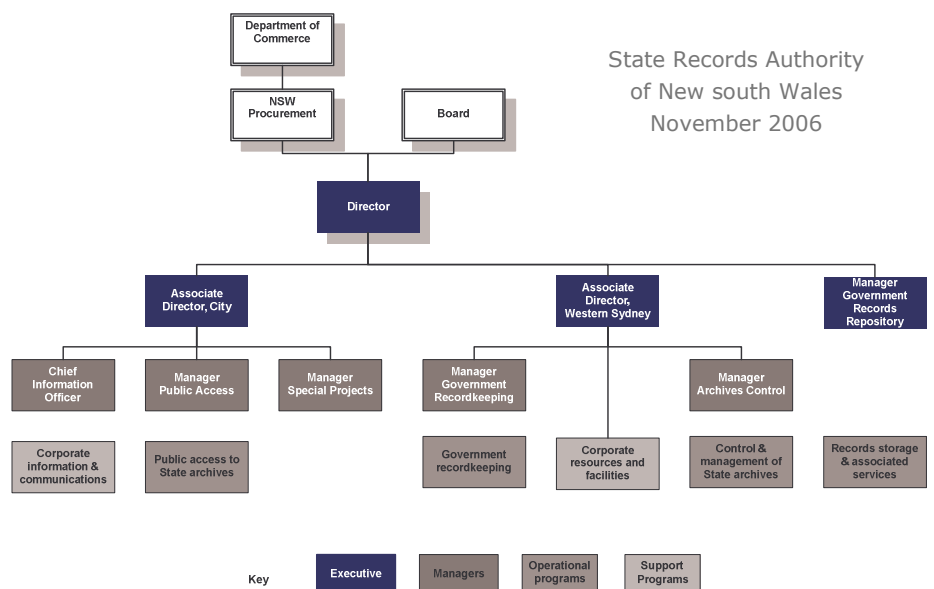
The Management Committee meets every month to set operational policy, assess strategic directions and ensure a coordinated approach to the provision of services across the organisation. The committee comprises the Director, Associate Directors, Managers and Executive Officer (as Secretary).

Information Management and Technology Steering Committee

The Information Management and Technology (IM&T) Steering Committee assesses strategic directions in ICT, oversees the development and deployment of information technology across the organisation and reviews proposals for technology-based projects. The committee comprises the Director, Associate Directors and Chief Information Officer.

Occupational Health and Safety Committee

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



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 public sector.

Factors affecting strategic management

Council on the Cost and Quality of Government review

A major factor affecting our strategic management was the findings and recommendations that came out of the performance review by the Council on the Cost and Quality of Government. Corporate and strategic planning was deferred because of the review's recommendation to transfer State Records to the NSW Department of Commerce.

Changes to legislation

The State Records Act 1998 was amended in December 2006 to provide that the position on the Board representing declared authorities would now be a second representative for departments.

Corporate planning

Corporate plan

State Records normally develops a multi-year corporate plan that sets our strategic goals for the period. Our last corporate plan expired June 2005. Development of a new corporate plan was deferred pending the outcome of the Council on the Cost and Quality of Government review and our transfer to the Department of Commerce. Long term goals from our previous *Corporate plan* have been carried forward into the current year.

Results and Services Plan

Pending completion of a new corporate plan, our objectives for the year were set by our *Results and services plan 2006-07* which shows how what we do aims to make a difference to the people and communities of NSW in accordance with the State Plan.

Total Asset Management Plan

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

IM&T Strategic Plan

ICT priorities that support our corporate goals are identified in our *IM&T Strategic Plan 2005-08*. State Records will revise our *IM&T strategic plan* to align it with *People First*, the new NSW Government's ICT Strategy.

Social responsibility plans

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

Program action plans

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

Corporate reporting

Program reporting

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

Annual reporting

Our annual report is the primary mechanism by which we account for the past year to Parliament, central agencies and stakeholders. This year we have aimed to focus more on our performance and less on activities. A separate *Activities Report 2006-07* is published on our website. A separate *Activity Report 2006-07* is published on our website.

This annual report complies with:

- *Public Finance and Audit Act 1983* and Regulations
- *Annual Reports (Statutory Bodies) Act 1984* and Regulation 2005
- *Freedom of Information Act 1989* and Regulation 2005
- Treasury circulars and Treasurer's directions
- Premier's memoranda
- Australian accounting standards.

Client and stakeholder relationships

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

Advisory committees

State Records convened two standing advisory committees and an exhibition advisory committee for our *In Living Memory* exhibition. The committees comprise representatives from our public sector and public clients and stakeholders. The public sector advisory committee was wound up and a digital records advisory committee will be established in July 2007. Members are appointed for a maximum of two, two-year terms and meetings are held quarterly.

Public Sector Advisory Committee

This committee held its final meeting on 3 May 2007. Members during year:

Jenny Evans, Department of Lands

Glenn Gray, Central Corporate Services Unit

Barry Jacobs, Greater Southern Area Health Services

Mary Kirkwood, City of Lithgow Council

Colleen Kremer, Historic Houses Trust of NSW

David Lilley, Workcover NSW

Tim Robinson, University of Sydney

Stephen Smith, Department of Education and Training

Chris Wilson, WSN Environmental Solutions

Gerard Calihanna, Marrickville Council

Community Advisory Committee

Members during year:

Rosemary Annable, professional historian

Roslyn Burge, Professional Historians Association

Heather Garnsey, Society of Australian Genealogists

Dr Melanie Oppenheimer, University of Western Sydney, Australian Historical Association

Carol Liston, Associate Professor, School of Cultural Histories and Futures, University of Western Sydney

Craig Mackey, railway historian

Perry McIntyre, professional genealogist and historian

Mari Metzke, Royal Australian Historical Society

Jan Richards, Central West Libraries

Dr David Roberts, Editor, Journal of Australian Colonial History, University of New England.

Mr Richard Shapter, Heritage Office, NSW Department of Planning

Wendy Brady, Academic Coordinator, University of Sydney

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

Advisory committees at a glance:

- ⇒ State Records convenes two standing advisory committees representing our public sector and public clients and stakeholders.
- ⇒ Members are appointed for a maximum of two, two-year terms.
- ⇒ Meetings are held quarterly.
- ⇒ State Records thanks these committees for providing valuable advice during the year.

***In Living Memory* touring exhibition advisory committee**

Members during year:

Richard Aldridge, Department of Aboriginal Affairs

Tracy Bradford, Department of Aboriginal Affairs

Glendra Stubbs, Link-Up

Keith Munro, Museum of Contemporary Art

Ronald Briggs, State Library of NSW

Melissa Jackson, State Library of NSW

Mervyn Bishop, exhibition team member 2006

Lola Edwards, Link-up, representing Cootamundra Girls

Di Jarrett, representing Bomaderry

Bill Hipkin, representing Bomaderry

Christine Blakeney, representing Bomaderry

Cec Bowden, representing Kinchela

Ray Minniecon, representing Kinchela

Stakeholder groups

State Records takes a consultative approach to developing products. A focus group was formed to provide advice during the development of the revised *General Retention and Disposal Authority for Administrative Records*. The group meet a

number of times during 2006-07. Its members were:

Ailsa Evans, Department of Education and Training (TAFE NSW)

Louise Fischer, Art gallery of NSW

David Horne, St Vincent's Hospital

Tony Leviston, (formerly) Central Corporate Services Unit

Glen Morgan, NSW Treasury, Office of Financial Management

Michael Smith, University of Western Sydney

Donna Welch, Energy Australia of the History Council of NSW.

Participation on client and stakeholder committees

State Records' staff are actively involved with client and stakeholder organisations through participation on governing bodies and committees. Christine Yeats, Manager, Public Access, is a member of the Executive of the History Council of NSW.

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 at Sydney Reading Room within 5 days.
- ⇒ Completion of requests for digitisation of materials within 10 days (up to 20 pages).
- ⇒ Completion of requests for copies ordered online within 15 days.
- ⇒ Completion of requests to purchase publications within 5 days.
- ⇒ Provision of accurate and timely information on our website.

Client and stakeholder relationships

Handling complaints and suggestions

We have a suggestion box and accept feedback on our services as part of our guarantee for public oriented services. Feedback can be provided directly to reading room staff, or by post or email.

There was one complaint received during the year. It related to the forms and procedures for taking orders for the copying of original records at the end of the day in the Western Sydney Reading Room. We resolved the matter by amending our forms and ensuring appropriate procedures are followed.

Publication of information for 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
- our activities program.

New and revised publications during the year covered community access points, enquiry and copying services, citing State archives, publications catalogue, fees for reading room services and our activity program.

Hosted websites

As a service to the archival and research communities, State Records hosts two websites. The website of the Council of Australasian Archives and Records Authorities (CAARA), of which the Director is a member, has been hosted since 2001. The *Mariners and Ships in Australian Waters* website was created by Mary-Anne Warner and comprises indexes and digitised records from the State archives collection. State Records has hosted this site since 2003.

Consumer response

State Records received many positive comments throughout the year.

Comments on the State Records' website included '...Congratulations to who ever designed this website. Its simple, easy, clean, good colour to read and it works so simply...' and '...Just want to say thanks for providing such a brilliant service - wish all the other states would follow your lead! Absolutely invaluable'.

Positive feedback received in relation to the online indexes and the amount of information that can be found included '...I was delighted with the information I found quite easily...' and '... If only all the states had an on-line index system as wonderful as NSW. Keep up the good work.'

Feedback on the Standard on appraisal and disposal of state records included the following comments from two agencies '... clear, balanced and thorough draft document that will assist Government agencies...' and '... the Standard will prove very helpful to staff in public offices to use in making decisions when conducting disposal projects, developing retention and disposal authorities and in implementing these authorities in their organisation.'

Comments from Records Management course participants included "Content was very informative and relevant", "Very good and very useful in any organisation or agency" and "Course exceeded my expectations."

The In Living Memory exhibition commemorated NSW Aboriginal people. Three hundred and eighty four members of the public have signed the 'Visitors Book' and left positive feedback on their experiences at the exhibition. Responses include: '...State Records has helped piece our history back together. This exhibition is unbelievable; it breaks the heart but it has to be told. Excellent job. Thank you'; '...Great work a privilege to see it.'

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

Business risks identified and rated

Our current approach to risk management is significantly derived from the major risk assessment in late 2005 when IAB Services undertook an organisation-wide business risk assessment for State Records as part of a fresh approach to the identification and control of risk. Sixty-nine risk areas were identified. Our overall risk profile was moderate to high.

Our key business risks are:

- Not having the capability to store and preserve digital archives.
- Natural degradation of paper and film archives, and possible disasters.
- Backlogs in cataloguing and conservation of the State archives collection.
- Limited ability to enforce recordkeeping improvements across public sector.
- Potential reduced demand for fee-based file retrieval service as digital recordkeeping grows, and competition from commercial storage providers.
- Dependency on knowledge of key personnel who may retire or leave.
- Perceived conflict between regulatory and commercial roles.

The adequacy of this risk matrix was reviewed by management in conjunction with the Board's Finance and Audit Committee in June 2007 and found to be still appropriate.

During the year, IAB Services provided our internal audit function. In 2006-07 four reviews were conducted:

- GRR revenue and billing systems
- GRR RS-SQL control systems
- IT security
- Occupational health and safety (OHS) system.

Achievements and highlights

- Top risks reviewed and assessed.
- On-going development and testing of Business Continuity Plans.

The two reviews of the GRR systems were particularly positive with no recommendations for improvement. As at 30 June 2007 the OHS review had not been completed.

Information security

State Records undertook a number of measures during the year to increase the security of its systems and data. A major upgrade to our email gateway software was installed along with a specialised anti-spam add-on. A major software upgrade to State Records' firewall was also applied. This exercise also involved a hardware refresh.

A major release upgrade was also applied to State Records' backup software during the year and we began implementing hardware and software to support continuous backups of data and systems to disk storage. Once fully implemented, this system will streamline the regular backup regime, increase its reliability and reduce the dependence on tapes.

During the year, the Internal Audit Bureau commenced a review of State Records' IT security. A draft report was issued in late May for management response. The draft concluded that "The IT environment is generally well controlled in terms of both organisational and operational security but requires management attention in the area of technical security." A final report, which will contain a number of recommendations, is expected to be released in July.

Managing risks

Insurance premiums and claims

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

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

Ethical conduct

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

Further training on ethical behaviour will be provided to all staff by the Department of Commerce in the coming year. 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*.

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

Category	2003-04	2004-05	2005-06	2006-07
Workers' compensation	119,020	137,350	261,360	261,730
Motor vehicles	28,070	18,030	21,120	19,900
Property	38,740	49,810	45,630	38,850
Public liability	8,950	6,790	4,100	3,270
Other	5,350	4,980	4,990	33,550
Total	200,130	216,960	337,200	327,300

Claims history

Category	2003-04	2004-05	2005-06	2006-07
Workers' compensation	15	7	12	18
Motor vehicles	6	3	6	4
Property	0	0	0	0
Public liability	0	0	0	0
Other	0	0	0	0
Total	21	10	18	22

Managing our people

On 1 November 2006 we became part of the NSW Department of Commerce as a business unit of NSW Procurement. Staff previously attached to the Department of Arts, Sport and Recreation who were located at the State Records Authority became employees of the Department of Commerce (although still located at the State Records Authority). An average of 127.9 fulltime equivalent (FTE) staff were employed over the year. State Records also engaged 52 volunteers and some short term contract staff.

Workforce profile

At 28 June 2007 (census date), the number of Departmental employees was 141 (or 127.5 FTE). A little more than one third (34.9%) of employees were budget-funded, the remainder were funded from revenue raised by the off-budget Government Records Repository.

Overall, the number of fulltime equivalent employees increased from the previous year.

There were 20 permanent appointments: 5 were new appointees, 3 were long term temporary staff (made permanent under s.31 of the Public Sector Employment and Management Act) and 12 staff were promoted.

Six permanent staff left employment with State Records: four retired, one resigned and one left on a secondment to a different part of the Department of Commerce.

Achievements and highlights

- Volunteers worked 3,150 hours, adding 17,124 entries to online indexes and 7,465 items to Archives Investigator.
- Completion of a comprehensive OHS training matrix involving 15 training modules
- Meeting the first improvement target required under the *Working Together* strategy.

Distribution of full time equivalent (FTE) employees

ANZSCO Category	2005 FTE	2005 %	2006 FTE	2006 %	2007 FTE	2007 %
Managers (Managers and Administrators previous to 2007)	8.4	7.3	8.0	6.3	13.0	10.2
Professionals	32.0	27.6	34.4	27.1	36.5	28.5
Technicians and Trade Workers (Technicians and Associate Professionals previous to 2007)	11.7	10.1	13.4	10.6	2	1.6
Community and Personal Service Workers	0.0	0.0	0.0	0.0	0.0	0.0
Clerical and Administrative Workers (Advanced Clerical and Service Workers; Intermediate Clerical, Sales and Service Workers; and Elementary Clerical, Sales and Service Workers previous to 2007)	46.4	40.1	49.3	38.9	55.4	43.3
Sales Workers	0.0	0.0	0.0	0.0	0.0	0.0
Machinery Operators and Drivers (Intermediate Production and Transport Workers previous to 2007)	11.4	9.8	12.4	9.8	12.1	9.5
Labourers	5.9	5.1	9.2	7.3	8.9	6.9
Total	115.8	100	126.7	100	127.9	100

Managing our people

Equal Employment Opportunity (EEO)

State Records is committed to equity in all aspects of employment. Our Indigenous Cadetship, organised through the NSW Public Sector Indigenous Cadetship scheme, continued. The Aboriginal Trust Fund Repayment Scheme was implemented by the Premiers Department using records from State Records necessitating the movement of our current Archivist, Aboriginal Liaison officer to this project, the employment of an indigenous Researcher, and the employment of an indigenous project officer to assist in the role previously undertaken by the Archivist, Aboriginal Liaison.

Personnel policies and practices

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

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

Table A: Trends in the representation of EEO groups

	2004 %	2005 %	2006 %	2007 %	Target %
Women	60	58	58	59	50
Aboriginal people and Torres Strait Islanders	1.5	1.4	3.4	2.1	2
People whose first language was not English	14	12	11	12	20
People with a disability	11	10	11	11	12
People with a disability requiring work-related adjustment	7.5	4.3	4.1	4.3	7

Notes: Staff numbers are as at 30 June. Excludes casual staff. A Distribution Index of 100 indicates that the centre of the distribution of the EEO group across salary levels is equivalent to that of other staff. Values less than 100 means that the EEO group tends to be more concentrated at lower salary levels than is the case for other staff. The more pronounced this tendency is, the lower the index will be. In some cases the index may be more than 100, indicating that the EEO group is less concentrated at lower salary levels. The Distribution Index is automatically calculated by the software provided by ODEOPE. The Distribution Index is not calculated where EEO group numbers are less than 20.

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

	2004	2005	2006	2007	Target
Women	110	119	115	116	100
Aboriginal people and Torres Strait Islanders	n/a	n/a	n/a	n/a	n/a
People whose first language was not English	n/a	n/a	n/a	n/a	n/a
People with a disability	n/a	n/a	n/a	n/a	n/a
People with a disability requiring work-related adjustment	n/a	n/a	n/a	n/a	n/a

Ethnic Affairs Priority Statement, 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.
- Maintaining a Spokeswoman representative and Women’s Liaison Officer to co-ordinate internal events and address policies or issues that affect women in the workplace.

State Records has a dedicated position of Archivist – Aboriginal Liaison, staffed by an Aboriginal person, to strengthen relationships with Aboriginal people and communities and ensure our services are culturally appropriate. The incumbent of this position sent out draft protocols to assist staff in their interactions with Indigenous people and handling records and archives with Indigenous content to the community for comment.

As part of our realignment with the Department of Commerce, State Records will investigate whether it is appropriate to have a separate Disability Action Plan and Ethnic Affairs Priorities Statement Plan.

Occupational Health and Safety (OHS) reform implemented

State Records is committed to providing staff with a safe and healthy working environment in order to prevent occupational injuries and illness. Where injury or illness does occur, we assist staff to return to full productivity through a Return to Work Program. During the year we continued to develop OHS strategies and targets in accordance with the Government’s *Working Together – Public Sector OHS Injury Management Strategy 2005-08*.

State Records is working towards the establishment of a comprehensive OHS regime in its workplaces. This involves a systematic approach entailing comprehensive training and procedures. During the year a permanent position for an OHS Coordinator was created and

an appointment made. This has centralised all aspects of the OHS function into a single contact/monitoring point.

State Records has an effectively functioning OHS Committee which considers issues and makes recommendations to management.

Achievements:

- Completion of a comprehensive OHS training matrix involving 15 training modules
- Implementation of a First Aid Emergency Plan
- Creation and implementation of comprehensive induction training for all new staff
- Reduction in the cost of workers compensation claims
- Meeting the first improvement target required under the *Working Together* strategy.

Manual handling poses the greatest risk to staff, with cuts, abrasions, strains and sprains the most common injuries. Computer work also poses a risk where correct ways of working are not followed.

There were no prosecutions under the *Occupational Health and Safety Act*.

In the coming year, State Records will continue with strategies for minimising injury to staff as a result of manual handling and computer work, and will continue with other aspects of the OHS program such as staff training and preparation of safe working method statements. Our positive achievements in OHS are also expected to reduce workers compensation costs.

Occupational health and safety report

	2006-07
Incidents reported	38
New claims	8

Managing our people

Industrial relations

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

Management/staff communication

Senior management communicates to staff about strategic directions, issues affecting the organisation, activities and news through general staff meetings, program area meetings, email memoranda, an e-newsletter and publication of reports on the Intranet. Staff have the opportunity to ask questions and provide feedback at staff meetings or to their supervisor or manager at any time.

Professional staff development

Approximately 25% of staff are qualified archivists, or have related qualifications such as librarianship. State Records as an organisation, and professional staff, are active participants in the Australian and international recordkeeping community. State Records is an organisational member of the Australian Society of Archivists, the Records Management Association of Australasia, and the International Council on Archives. The Director is a member of the Council of Australasian Archives and Records Authorities. 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. Six staff were granted study leave to attend arts and information systems/management courses at a tertiary level.

Overseas travel

State Records is active and well-respected in the international recordkeeping community. Professional staff are regularly invited to speak at conferences and forums. This year one staff member went on the following overseas travel at no cost to government.

Volunteers program

State Records' volunteers program commenced in December 2001. The program is capped at 50 volunteers due to limited accommodation. During the year a total of 50 volunteers worked on indexing and conservation projects, and the Archives Investigator project. Two volunteers resigned from the program. Volunteers worked approximately 3,150 hours, adding 17,124 items to online indexes and an additional 7,465 items to Archives Investigator.

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



Volunteers Faye Young and Ronald Richmond working in the Western Sydney Reading room indexing a Register of Firms and Supreme Court Divorce files

Officer	Position	Purpose of travel	Benefits
Kirsten Thorpe	Archivist, Aboriginal Liaison	To attend and make presentation to an international research forum on Archives and Indigenous people at the University of California in Los Angeles.	Provided an opportunity to highlight initiatives of the NSW Government in the field and to establish relationships and exchange knowledge about best practice and issues.

Managing our information and records

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.**
- **A library of Government legislation and publications, and works on the history of NSW, for staff and clients to better understand the context of the State archives collection.**

Information systems support service delivery

We have three primary electronic information systems supporting our services.

The inventory system RS-SQL is being progressively implemented to support our records storage and retrieval services. During the year implementation progressed in relation to core processes (see p.25).

Our integrated Business Operations System (BOS) is used to manage archival and public client functions (cataloguing, location tracking, conservation, retrievals to reading room, reader registration, and client contacts). During the year a number of enhancements and fixes were applied to BOS.

- Changes were made to alleviate OHS issues associated with the Web application's mouse dependence.
- Implementation of a bulk data import facility which will enable the uploading of multiple records into the Agencies, Series, Items and Images entities.
- Addition of some disposal authority management capabilities. Developed in-house, the interim (phase 1) BOS disposal authority module supports the management of summary information about disposal authorities approved for use by State Records. It became operational in May 2007.

Not only will this provide greater control and management of disposal instruments but it will also be possible to use this information to analyse disposal coverage across the NSW public sector, allowing State Records to take a more targeted and strategic approach to its appraisal and disposal regulation activities.

State Records has not had the resources to further develop the module to incorporate the long planned retention and disposal authority content and workflow functionality to support the development of authorities in direct collaboration with agencies. This and our inability to integrate access directions, another key BOS component, also due to financial restraints, have been ongoing disappointments.

Archives Investigator (AI), our online catalogue, is the public face of BOS. It was originally developed in 2000 through a joint venture with the City of Sydney Archives. During the year, the Archives received funding to re-develop AI in order to achieve performance and interface improvements as well as providing the opportunity to fix a number of reported issues. Under its agreement with the Council of the City of Sydney, State Records will be implementing the new version of Investigator in its own environment. As at the end of June 2007, the project was in the user acceptance testing phase.

Information assets at a glance:

- ⇒ 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.
- ⇒ A library of NSW Government legislation and publications, and works on NSW history for staff and clients to better understand the context of the State archives collection.

Managing our information and records

State Records has been experiencing problems with its website content management system (CMS) and we were planning to move to a new system. However, in the light of the Government's proposed whole of government website initiative, we have decided to persist with the present system pending developments in this area.

Within the limitations of the present CMS, we have implemented a number of changes during the year. In connection with the transfer of State Records to the Department of Commerce, much work was undertaken in redesigning the website to incorporate the new logo and Commerce colours and styles. We have also responded to the new Government Web Style Directive and have achieved a significant level of conformity with its requirements.

State Records is committed to ensuring our website meets accessibility tests. Page validation is an important ongoing process. In addition, the homepages of each of the three child sites (*Archives*, *Recordkeeping* and *GRR*) received a makeover and through the use of graphical and colour variations, are now more distinctive.

Records management initiatives focused on classification and security

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

- Completed the revision of our retention and disposal authority.
- Revised and updated State Records' business classification scheme, the functional thesaurus and the merged thesaurus.
- Commenced a project to dispose of records no longer required by State Records under the new retention and disposal authority, and the various general disposal authorities.
- Piloted the capture of paper documents as digital images into the corporate records system in preparation for its implementation throughout the organisation in the new financial year.

Management of sensitive information protects privacy

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

We have a *Privacy management plan*, revised in 2005, that identifies how we comply with the Information Protection Principles. It can be viewed on our website www.records.nsw.gov.au.

Freedom of Information (FOI)

State Records' *Statement of Affairs*, required to be published under the *Freedom of Information Act 1989*, is on our website and is updated every six months.

The following is a brief summary of FOI issues pertaining to State Records during the year.

One FOI matter was carried-over from the previous year. In this case the original application had been refused as the document requested was not held by State Records. The applicant sought an internal review and then escalated the matter to the Administrative Decisions Tribunal (ADT). Following a series of planning meetings the matter was finally resolved in February 2007 with the withdrawal of the ADT application.

During 2006-07, three new FOI applications relating to State Records were lodged and completed within the 2006-07 financial year. Three of the applications were refused and one was granted in full.

FOI statistical information is provided in the tables on the opposite page.

Managing our information and records

Section A: New FOI requests

	Personal	Other	Total
A1 New (including transferred in)	0	3	3
A2 Brought forward	0	1	1
A3 Total to be processed	0	4	4
A4 Completed	0	4	4
A5 Transferred out	0	0	0
A6 Withdrawn	0	0	0
A7 Total processed	0	4	4
A8 Unfinished (carried forward)	0	0	0

Section B: Completed FOI requests

	Personal	Other	Total
B1 Granted in full	0	0	0
B2 Granted in part	0	0	0
B3 Refused	0	3	3
B4 Deferred	0	0	0
B5 Completed	0	4	4

Section C: Ministerial Certificates — Nil

Section D: Formal consultations — Nil

Section E: Amendment of personal records — Nil

Section F: Notation of personal records — Nil

Section G: FOI requests granted in part or refused

	Personal	Other	Total
G1 Section 19 (application incomplete, wrongly directed)	0	0	0
G2 Section 22 (deposit not paid)	0	0	0
G3 Section 25(1)(a1) (diversion of resources)	0	0	0
G4 Section 25(1)(a) (exempt)	0	0	0
G5 Section 25(1)(b), (c) (d), (otherwise available)	0	0	0
G6 Section 28(1)(b) (documents not held)	0	2	2
G7 Section 24(2) - deemed refused, over 21 days	0	1	1
G8 Section 31(4) (released to Medical Practitioner)	0	0	0
G9 Totals	0	3	3

Section H: Costs and fees of requests processed during the period (i.e. those included in lines A4, A5 and A6) — Nil

Section I: Discounts allowed — Nil

Section J: Days to process

	Personal	Other	Total
J1 0 — 21 days	0	0	0
J2 22 — 35 days	0	2	2
J3 Over 35 days	0	2	2
J4 Totals	0	4	4

Section K: Processing time

	Personal	Other	Total
K1 0 — 10 hrs	0	0	0
K2 11 — 20 hrs	0	0	0
K3 21 — 40 hrs	0	4	4
K4 Over 40 hrs	0	0	0
K5 Totals	0	4	4

Section L: Reviews and appeals

	05/06	06/07
L1 Number of internal reviews finalised	0	1
L2 Number of Ombudsman reviews	0	0
L3 Number of Administrative Decisions Tribunal appeals finalised	1	1

Details of Internal Review Results — in relation to internal reviews finalised during the period

Bases of Internal review	Personal 06/07	Other 06/07
Grounds on which internal review requested	0	0
L4 Access refused	0	1 upheld
L5 Deferred	0	0
L6 Exempt matter	0	0
L7 Unreasonable charges	0	0
L8 Charge unreasonably incurred	0	0
L9 Amendment refused	0	0
L10 Totals	0	1

Managing our physical assets and finances

State Records has property assets worth over \$50 million, primarily comprising land and repository buildings at the Western Sydney Records Centre, Kingswood. Our expenses for 2006-07 were budgeted at \$15.3 million, half of which was to be self-funded through provision of records storage and retrieval services to the public sector.

Asset management

Total Asset Management

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

State Records owns repositories and services buildings located on 20 hectares at the Western Sydney Records Centre. The complex includes 485 kilometres of purpose-built storage space for non-current records and archives, conservation facilities, offices, training facilities and a public reading room. We also lease five repository spaces in Western Sydney, totalling 42 linear kilometres of records storage.

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

Capital expenditure for 2006-07 was estimated at \$1.9 million, most of which was to be self-funded from the Government Records Repository. A capital works allocation from NSW Treasury of \$345,000 was granted (as per previous years) for various minor works including electronic infrastructure and maintenance.

A new total asset management plan was produced with assistance from the Department of Commerce. A new asset maintenance plan will be developed in the coming year. Major refurbishment is planned for the Stage 2 building (built 1978, added to 1983). Estimated to cost \$1,600,000, this work will be self-funded by the GRR. Modernisation of the lift and air conditioning system in Stage 1 (built 1974) was completed.



South-Western corner of the Western Sydney Records Centre's Stage 6 Building

Managing our physical assets and finances

Waste reduction and purchasing policy (WRAPP)

State Records supports reduction and reuse of waste and purchase of recycled materials. In the conduct of our operations, we aim to avoid creating waste by expanding our online services and publishing. To support resource recovery, we organise for records to be pulped when they are no longer required by clients (and subject to appropriate approvals). The pulp is then used to make 100% recycled boxes. Toner cartridges are also recycled and vegetation waste from landscaping is mulched and reused where possible. We have a Waste Reduction and Purchasing Policy (WRAPP) plan and report our progress to the Department of Environment and Climate Change.

A major component of our business is to advise public sector organisations about management of their official records, many of which are paper files and documents. We encourage public offices to manage records in digital form, to destroy records using environmentally sound methods, and to use recycled paper when printing records to be kept less than 10 years. We supply public offices with 100% recycled records storage boxes when storing records with us.

Government energy management policy

State Records continues to aim for reductions in energy consumption to support the National Greenhouse Strategy. The Western Sydney Records Centre comprises buildings and equipment of different ages. Energy saving measures are incorporated when buildings and equipment are upgraded, such as the Stage 6 development in the previous financial year. State Records' electricity supply, provided under the NSW Government Electricity Supply Contract, includes a minimum of 6% Green Power.

During the year we reviewed vehicle fleet requirements in accordance with our *Fleet improvement plan 2005-08*. Highlights for the year were:

- Replacing existing vehicles where possible with more environmentally friendly ones: 17% of the fleet now comprises hybrid vehicles.
- In 2006-07 all remaining six cylinder wagons were replaced by four cylinder vehicles.



South-Western view of the Western Sydney Records Centre's building complex

Energy consumption

	2002-03	2003-04	2004-05	2005-06	2006-07
Electricity (kwh)	2,965,529	2,648,490	2,806,037	3,075,247	3,195,190
Green electricity (kwh)	185,924	169,053	175,853	176,347	194,996
Gas, natural (mj)	11,859,814	9,065,836	10,736,217	6,915,762	7,993,219

Managing our physical assets and finances

Financial management

State Records' financial statements were prepared on an accrual accounting basis for the year ending 30 June 2007 (see p.91). The financial position of the Government Records Repository is reported in the 'Performance and outlook' section (see p.26).

Revenue increased

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

Expenditure categories show little fluctuation

Percentage of expenditure under various categories has remained fairly constant over the past five years. Of note is the savings on rental and cleaning costs through reduction of office accommodation in The Rocks and reduced cleaning services.

An annual contribution from GRR surplus to fund archives preservation and accessibility (copying, exhibitions) has been in place since 2001. \$950,000 was allocated for 2006-07. An allocation of \$1,030,000 for 2007-08 has been approved by the Board.

Efficient Corporate Services profile according to benchmarking

State Records was assessed as having one of the most efficient corporate services profile compared against 25 agencies in the 2006 Corporate Services Reform Program Data Collection. Based on analysis of data for the year ended 30 June 2006, State Records was benchmarked against small agencies employing 100-499 FTE. We spent 5.3% of our budget on corporate services compared to a median of 5.9% for our sector. In terms of employees supported by each corporate services employee, State Records achieved a high ratio of 18.8:1 with a sector median of 13.4:1.

Gross revenue raised (\$)

	2002-03	2003-04	2004-05	2005-06	2006-07
Total consolidated Fund programs	984,382	764,842	1,156,667	904,195	1,162,477
Government Records Repository services	7,430,582	8,054,573	8,429,552	8,838,946	10,067,722
Total revenue	8,414,964	8,819,415	9,586,219	9,743,141	11,230,199

Expenditure by categories (%)

	2002-03	2003-04	2004-05	2005-06	2006-07
Salaries and allowances	62	62	59	62	62
Rental and cleaning	6	7	7	5	5
Stores	1	1	1	1	1
Printing and publications	1	1	1	1	1
Gas and electricity	2	2	2	3	3
Other	28	27	30	28	28

Managing our physical assets and finances

Payment performance indicators

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

Performance indicators set for the payment of accounts were:

- At least 90% of accounts to be paid on time (by the due date or within thirty days of the due date).
- No more than 10% of accounts to be more than thirty days overdue.

Consultants

Four consultants were engaged at a total cost of \$36,660.

Credit card certification

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

Timeliness of account payments

	Q1	Q2	Q3	Q4
Target –paid on time (%)	90	90	90	90
Actual—paid on time (%)	96	99	99	96
Value paid on time (\$'000)	3,651	3,897	3,665	4,099
Total value of accounts paid (\$'000)	3,788	3,934	3,703	4,252

Creditors ageing

	Q1	Q2	Q3	Q4
Total balance outstanding (\$'000)	0.33	0.45	0.60	0.60
< 30 days overdue (\$'000)	0.13	0.00	0.03	0.01
> 30 days and < 60 days overdue(\$'000)	-	0.01	-	-
Current (\$'000)	0.20	0.44	0.57	0.59

