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# State Records NSW Corporate Plan

Contents

[State Records NSW Corporate Plan 1](#_Toc131501671)

[1. Background 2](#_Toc131501672)

[**Operating context** 2](#_Toc131501673)

[**Our role** 2](#_Toc131501674)

[2. Our vision and plan 2](#_Toc131501675)

[**Our vision - Transparent and accountable government** 2](#_Toc131501676)

[3. Performance and initiatives 3](#_Toc131501677)

[**Measuring our performance** 3](#_Toc131501678)

[4. Summary of targets 7](#_Toc131501679)

## Background

## **Operating context**

On 31 December 2022, the State Records NSW was established.

The State Records Authority NSW (State Records NSW) is responsible for records management standards, regulation, advice, education and policy.

Changes to the *State Records Act 1998* have provided the basis for State Records NSW to take a stronger regulatory and oversight role and for the Museums of History NSW (MHNSW) to implement improved arrangements for the transfer of archives and access to records.

Good recordkeeping, and our role in championing this, is an important foundation for our democracy and society and in creating trust in government. Indeed, there is growing scrutiny of government decisions, and expectation by citizens that the NSW Government’s recordkeeping is appropriate to understand government decisions and policies.

## **Our role**

The functions and powers of State Records NSW are established in the *State Records Act 1998*

Section 66

*(1) The Authority has the following functions—*

* 1. *to oversee record-keeping by public offices of the State, including by determining standards and providing advice,*
  2. *to identify State records that have enduring value and should be retained as State archives,*
  3. *other functions conferred on it by this Act or another Act or law.*

*(2) The Authority has power to do all things that are supplemental or incidental to the exercise of the Authority’s functions.*

*(3) The Authority has power to charge and receive fees for a service provided by the Authority under this Act.*

## Our vision and plan

## **Our vision - Transparent and accountable government**

**Our work**

As an expert, best practice, responsive regulator we foster good public recordkeeping in NSW.

Under the *State Records Act 1998*, public offices are required to create and maintain records of government activities.

State Records NSW works to make public offices aware of these obligations and assists them to develop the capability and expertise to meet them.

We make choices that best direct available resources to achieve the highest positive impact for the government and people of NSW.

We recognise that government actions – past and present – have had a disproportionate impact on some individuals, families and communities, most importantly First Nations Peoples, and we aim to embed principles of equity, fairness and cultural responsiveness into our work to meet their needs.

We focus our efforts on education and collaboration, assisting public offices and providing contemporary intelligence to our stakeholders on opportunities for improvement. We leverage our impact by working visibly and collaboratively with other integrity agencies.

Through our actions we ensure that key government records are retained in perpetuity as part of the State Archives which are cared for by the Museums of History NSW.

We are guided by the values of the NSW Government: Integrity, Trust, Service and Accountability.

By fostering good recordkeeping, State Records NSW sustains important transparency mechanisms which ensure government remains accountable to the people of NSW.

**Our plan**

Transparent and accountable Government

As an expert, best practice, responsive regulator we

foster good public recordkeeping in NSW

Policy leadership

and support

Develop evidence-based policies, and support public offices to apply best practice standards

Champion quality and responsive practice

Promote awareness of how quality records management systems benefit both public offices and the community

Operational excellence

Create a culture of

people at their best

Be customer and community focused and responsive

## Performance and initiatives

## **Measuring our performance**

1. **Policy leadership and support**

* Reduction in number of aged disposal authorities
* Increase in public office compliance maturity

1. **Champion quality and responsive practice**

* Increase in number of public offices with records and information strategies
* Increase in number of public offices with records management monitoring programs
* Increase in public office engagement

1. **Operational excellence**

* Customers and community members feel engaged and satisfied with services
* Employees are retained and feel valued and supported

**Our initiatives - Policy and leadership support**

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| --- | --- | --- | --- |
| Policy and leadership support | No. | Initiative | Action 2023 |
| 1.1 | Work with officials to modernise and ensure appropriate disposal coverage for public offices | * Substantially progress disposal authorities * Complete 10 retention and disposal authorities * Explore improvements to the information system support for this work |
| 1.2 | Build the evidence base by conducting an annual sector-wide assessment of records management. Use this intelligence to target regulatory activity and support performance improvement | * Implement improvements to monitoring process * Create analytical reports and communication tools |
| 1.3 | Mature the regulatory framework reflecting the amendments to the State Records Act | * Settle the policy on the exercise of notices power * Revise *Standard on records management* * Articulate the risk framework used to prioritise our work * Commence a program of review of policies and standards |
| 1.4 | Review and remake the State Records Regulation 2015 | * Regulation consulted on and remade in the agreed timeframe |
| 1.5 | Support MHNSW’s work to build the State Archives Collection | * Review and settle the *Building the Archives* policy. |
| 1.6 | Support public offices' major records management projects and initiatives | * Any post-election machinery of Government changes supported |

**Our initiatives - Champion best practice**

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| --- | --- | --- | --- |
| Champion best practice | No. | Initiative | Action 2023 |
| 2.1 | Champion mature record management systems in public offices and the role of State Records NSW in fostering best practice | * Develop and implement an external communications engagement strategy * Provide information and tools to assist public offices maintain mature record management |
| 2.2 | Promote and support high awareness of obligations under the State Records Act with CEOs and Secretaries | * Annual scorecard provided to clusters on outcome of the annual Monitoring Exercise * Explore opportunities with the Public Service Commission (PSC) to extend training and support * Engage directly with senior officials on priority record issues, including the record storage standard |
| 2.3 | Build relationships with integrity and recordkeeping entities, and community of practice entities to promote opportunities for improved engagement and influence | * Establish/join relevant integrity agency meetings to exchange insights and regulatory approaches * Continue to build relationships with Council of Australasian Archives and Records Authorities (CAARA), Standards Australia, Australian Society of Archivists (ASA) and Records and Information Management Practitioners Alliance (RIMPA) |
| 2.4 | Support records and information management officers within public offices to understand and meet their responsibilities | * New e-learning modules * Publish e-newsletters and other material |
| 2.5 | Promote understanding of the State Records Act within the broader community, and support confidence in Government recordkeeping | * Host community events (minimum four) * Annual state of public offices scorecard * Promotion of State Records Act through variety of channels |

**Our initiatives - Operational excellence**

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| --- | --- | --- | --- |
| Operational excellence | No. | Initiative | Action 2023 |
| 3.1 | Support the establishment and operations of the Board | * Board appointed |
| 3.2 | Stand up the operational and administrative arrangements for State Records NSW | * State Records NSW operational 1 January 2023 |
| 3.3 | Deliver responsive, modern, customer focused services | * Working together principles with MHNSW established * Close the Keyword Program * Customer satisfaction survey completed and performance improvement actions taken * Support more efficient processes and ease of access for public offices to information |
| 3.4 | Support our people and grow their capabilities | * Provide training and networking opportunities for our people to support regulatory and archival expertise * Explore rotation opportunities with peer agencies * Develop a workforce plan which considers succession planning and skills transfer |
| 3.5 | Support diversity and inclusion within our organisation and in our work with public offices | * Build our capacity to be culturally responsive to First Nations Peoples and Communities * Build our skills in being responsive to people who may experience vulnerability * Ensure our publications are accessible |

## Summary of targets

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| --- | --- | --- | --- |
| KPI | Baseline | Target 2023 | Measurement and source data |
| Reduction in number of aged retention and disposal authorities | * 421 points of improvement * 22 retention and disposal authorities | * 180 points of improvement * 10 retention and disposal authorities | * Total addition of annual progress of all retention and disposal authorities as measured by the regulatory spectrum. * RDA Workplan |
| Public office compliance maturity | 27% of participating public offices are mature record managers | 50% of participating public offices are mature record managers | * Proportion of public offices self reporting aggregated score of over 3 as a percentage of total responses. * Results of the annual Recordkeeping Monitoring Exercise. |
| Public offices with records and information strategies | 61% of participating public offices have records and information management strategies in place | 80% of participating public offices have records and information management strategies in place | * Proportion of public offices self reporting aggregated score of over 3 as a percentage of total responses. * Results of the annual Recordkeeping Monitoring Exercise. |
| Public offices with records management monitoring programs | 55% of participating public offices have records management monitoring programs | 80% of participating public offices have records management monitoring programs | * Proportion of public offices self reporting aggregated score of over 3 as a percentage of total responses. * Results of the annual Recordkeeping Monitoring Exercise. |
| Public office engagement | 65% of public offices participate in the monitoring program | Over 70% of public offices participate in the monitoring program | Results of the annual Recordkeeping Monitoring Exercise. |
| Customer satisfaction | 73% of surveyed public offices are satisfied with quality of advice or service | 80% of surveyed public offices are satisfied with quality of advice or service | Annual Satisfaction Survey. |
| Employee engagement | 100% of employees with professional development plans (PDPs) | 100% of employees with PDPs | * Proportion of employees whose PDPs are manager approved. * Improved KPI to be developed in 2023. |
| Community satisfaction | Undertake consultation with user groups to determine approach | Consult with user groups to determine the best approach to support the community through our work. | To be developed in 2023. |