

# State Records NSW Corporate Plan

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# 1. 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 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—*

- a) to oversee recordkeeping by public offices of the State, including by determining standards and providing advice,*
- b) to identify State records that have enduring value and should be retained as State archives,*
- c) 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.*

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# 2. 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 Collection which is cared for by MHNSW.

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

Be customer and  
community focused and  
responsive

Create a culture of  
people at their best

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## 3. Performance and initiatives

### Measuring our performance

#### 1) Policy leadership and support

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

#### 2) 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

#### 3) 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

Policy and leadership support	No.	Initiative	Action 2023-24
	1.1	Work with officials to modernise and ensure appropriate disposal coverage for public offices	<ul style="list-style-type: none"> <li>• Substantially progress disposal authorities.</li> <li>• Complete 10 retention and disposal authorities.</li> <li>• Publish list of disposal classes for State archives.</li> <li>• Develop policy on revoking disposal authorities over 15 years old.</li> </ul>
	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	<ul style="list-style-type: none"> <li>• Ongoing development of analytical reports and communication tools.</li> <li>• Develop an approach for verification of self-assessments.</li> </ul>
	1.3	Mature the regulatory framework reflecting the amendments to the State Records Act	<ul style="list-style-type: none"> <li>• Revise Standard on records management.</li> <li>• Revise Standard on Physical Storage.</li> <li>• Renew Code of Best Practice.</li> <li>• Develop and apply the risk framework to assist assessment of recordkeeping in public offices.</li> </ul>
	1.4	Review and remake the State Records Regulation 2015	<ul style="list-style-type: none"> <li>• Develop and implement a communications strategy for the Regulation with MHNSW.</li> </ul>
	1.5	Support MHNSW's work to build the State Archives Collection	<ul style="list-style-type: none"> <li>• Complete the review of the Building the Archives policy.</li> </ul>

## Our initiatives - Champion best practice

Champion best practice	No.	Initiative	Action 2023-24
	2.1	Champion mature record management systems in public offices and the role of State Records NSW in fostering best practice	<ul style="list-style-type: none"> <li>• Provide information and tools to assist public offices maintain mature records management</li> </ul>
	2.2	Promote and support high awareness of obligations under the State Records Act with CEOs and Secretaries	<ul style="list-style-type: none"> <li>• Annual scorecard provided to clusters on outcome of the annual Monitoring Exercise.</li> <li>• Engage directly with senior officials on priority recordkeeping issues.</li> <li>• Engage directly with existing networks and communities of practice across government (eg. CIO, General Counsel network).</li> </ul>
	2.3	Build relationships with integrity and recordkeeping entities, and community of practice entities to promote opportunities for improved engagement and influence	<ul style="list-style-type: none"> <li>• Establish/join relevant integrity agency meetings to exchange insights and regulatory approaches.</li> <li>• 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).</li> </ul>
	2.4	Support records and information management officers within public offices to understand and meet their responsibilities.	<ul style="list-style-type: none"> <li>• Develop and implement an external communications engagement strategy.</li> <li>• New e-learning modules.</li> <li>• Publish e-newsletters and other material.</li> <li>• Host regular Records Managers Forums.</li> </ul>
	2.5	Promote understanding of the State Records Act within the broader community, and support confidence in Government recordkeeping	<ul style="list-style-type: none"> <li>• Publish State of Recordkeeping report.</li> <li>• Work with related agencies to promote recordkeeping and information broadly.</li> <li>• Consider a Year in Review document.</li> </ul>

## Our initiatives - Operational excellence

Operational excellence	No.	Initiative	Action 2023-24
	3.1	Support the operations of the Board	<ul style="list-style-type: none"> <li>Board meetings held regularly (at least quarterly).</li> </ul>
	3.2	Deliver responsive, modern, customer focused services	<ul style="list-style-type: none"> <li>Working together principles with MHNSW established.</li> <li>Customer satisfaction survey completed and performance improvement actions taken.</li> <li>Support more efficient processes and ease of access for public offices to information.</li> </ul>
	3.3	Support our people and grow their capabilities	<ul style="list-style-type: none"> <li>Provide training and networking opportunities for our people to support regulatory and archival expertise.</li> <li>Explore rotation opportunities with peer agencies.</li> <li>Develop a workforce plan which considers succession planning and skills transfer.</li> </ul>
	3.4	Support diversity and inclusion within our organisation and in our work with public offices	<ul style="list-style-type: none"> <li>Build our capacity to be culturally responsive to First Nations Peoples and Communities.</li> <li>Build our skills in being responsive to people who may experience vulnerability.</li> <li>Ensure our publications are accessible.</li> </ul>

## 4. Summary of targets

KPI	Achievement 2022-23	Target 2023-24	Measurement and source data
<b>Reduction in number of aged retention and disposal authorities</b>	<ul style="list-style-type: none"> <li>374 points of improvement</li> <li>17 retention and disposal authorities</li> </ul>	<ul style="list-style-type: none"> <li>400 points of improvement</li> <li>20 retention and disposal authorities</li> </ul>	<ul style="list-style-type: none"> <li>Total addition of annual progress of all retention and disposal authorities as measured by the regulatory spectrum.</li> <li>RDA Workplan.</li> </ul>
<b>Public office compliance maturity</b>	38% of participating public offices are mature record managers	50% of participating public offices are mature record managers	<ul style="list-style-type: none"> <li>Proportion of public offices self reporting aggregated score of over 3 as a percentage of total responses.</li> <li>Results of the annual Recordkeeping Monitoring Exercise.</li> <li>Communications plan to improve participation.</li> </ul>
<b>Public offices with records and information strategies</b>	49% of participating public offices have records and information management strategies in place	60% of participating public offices have records and information management strategies in place	<ul style="list-style-type: none"> <li>Proportion of public offices self reporting aggregated score of over 3 as a percentage of total responses.</li> <li>Results of Question 4 in the annual Recordkeeping Monitoring Exercise.</li> </ul>



<b>Public offices with records management monitoring programs</b>	49% of participating public offices have records management monitoring programs	60% of participating public offices have records management monitoring programs	<ul style="list-style-type: none"> <li>Proportion of public offices self reporting aggregated score of over 3 as a percentage of total responses.</li> <li>Results of Question 9 of the annual Recordkeeping Monitoring Exercise.</li> </ul>
<b>Public office engagement</b>	74% of public offices participate in the monitoring program	Over 80% of public offices participate in the monitoring program	Results of the annual Recordkeeping Monitoring Exercise.
<b>Public office satisfaction</b>	Public office satisfaction survey developed (2021-22 results - 73% satisfied with quality of advice or service)	80% of surveyed public offices are satisfied with quality of advice or service	Annual Satisfaction Survey.
<b>Employee engagement</b>	100% of employees with professional development plans (PDPs)	100% of employees with PDPs	Proportion of employees whose PDPs are manager approved.
<b>Community understanding/awareness</b>	Undertake consultation with stakeholders to determine approach	Consult with stakeholders to determine the best approach to support the community through our work.	<ul style="list-style-type: none"> <li>Hold at least three meetings of the Public Sector Advisory Committee.</li> <li>Support the Information &amp; Privacy Commission for events such as Information Awareness Week.</li> </ul>