



NATIONAL ARCHIVES OF AUSTRALIA

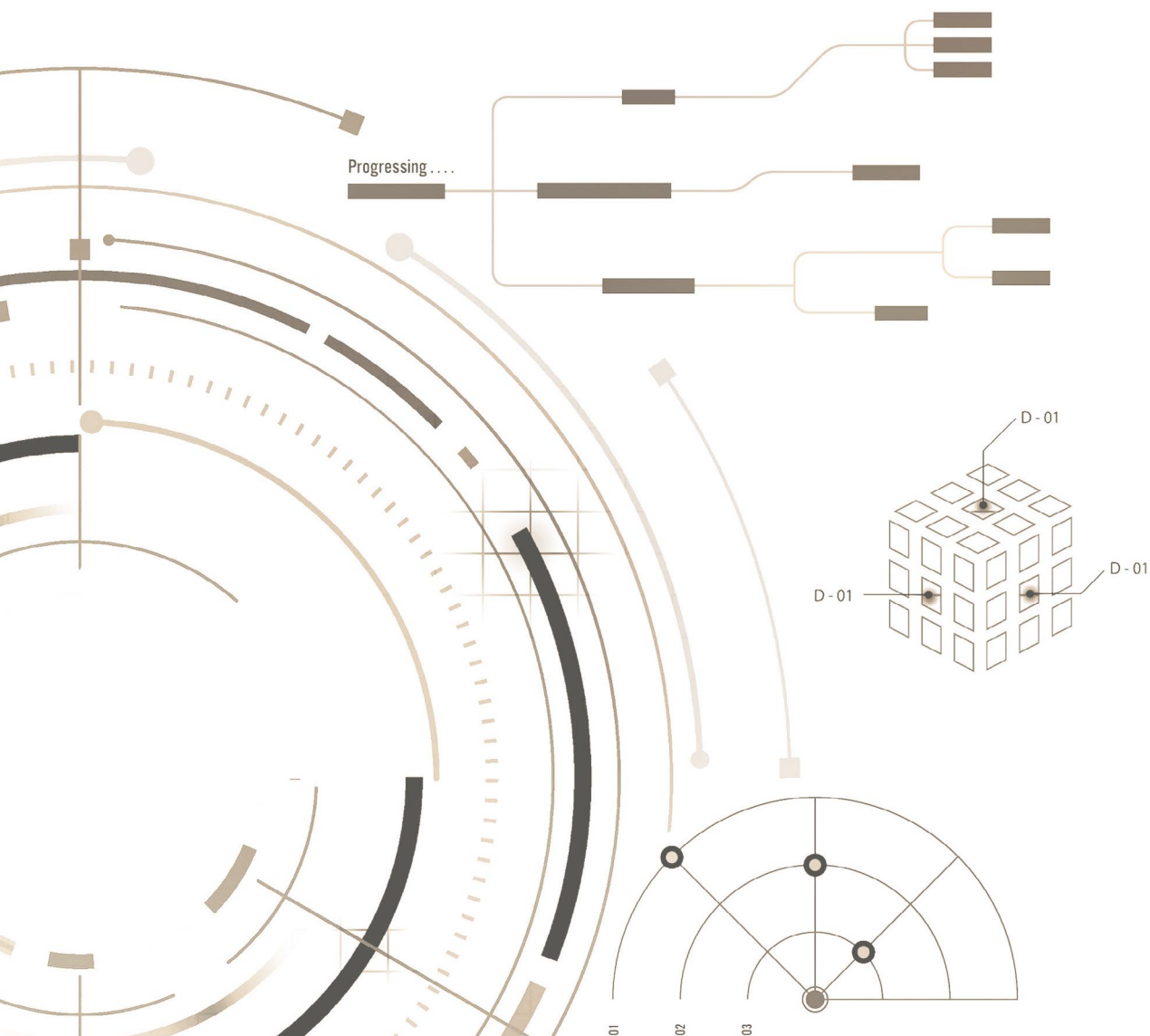


**NATIONAL ARCHIVES OF AUSTRALIA**  
NATIONAL ARCHIVES OF AUSTRALIA ADVISORY COUNCIL  
ANNUAL REPORT **2017-18**



NATIONAL ARCHIVES OF AUSTRALIA  
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The images featured throughout this publication illustrate the richness of the Archives' photographic collection.

Front cover: City and Environs (detail) – part of Walter Burley Griffin's entry in the Federal Capital Design Competition. NAA: A710, 38

page 1 Drivers in a Chalmers Raceabout and a 1926 Vauxhall Tourer study a map during the Bicentenary Vintage Car Rally, 1970. NAA: A1200, L86471

page 9 Australian netball players on their way to the Singapore Festival of Sport, 1969. NAA: A1200, L81951

page 13 A Footscray player leaps high for a spectacular 'mark' against a Melbourne player in an Australian Rules preliminary final at the Melbourne Cricket Ground, 1961. NAA: A1200, L40242

page 25 A trade photograph recording Australia's atomic research, 1968–1978. NAA: B941, RESEARCH/ATOMIC/2

page 47 Scouts on a map-reading exercise, 1964. NAA: A1200, L49511

page 75 A farmer and his son ruefully survey an empty dam during the worst drought and hottest summer on record throughout south-eastern Australia, 1968. NAA: A1200, L84701

page 81 A Pierre Cardin fashion parade at Canberra Theatre Centre, 1967. NAA: A1500, K17370

page 85 A drover musters sheep near an oil rig at Moonie, Australia's first commercial oil field, 1964–1980. NAA: B942, OIL [3]



**NATIONAL ARCHIVES OF AUSTRALIA**

**Our reference: 2018/1612**

Hon Christian Porter MP  
Attorney-General  
Parliament House  
CANBERRA ACT 2600

Dear Attorney-General

We have pleasure in forwarding to you the annual reports on the operations of the National Archives of Australia and the National Archives of Australia Advisory Council for the year ended 30 June 2018.

We certify that information in the attached annual report, and information provided for whole of government reporting, is an honest and accurate account and that all material information on the operations of the National Archives of Australia and the National Archives of Australia Advisory Council has been included for the period of 1 July 2017 to 30 June 2018.

The National Archives of Australia's annual report has been prepared for the purpose of section 46 of the *Public Governance, Performance and Accountability Act 2013* (PGPA Act), and is submitted in accordance with subsections 68(1) and 68(2) of the *Archives Act 1983*, which require the National Archives of Australia and the National Archives of Australia Advisory Council to furnish you with reports of their operations and proceedings during the preceding 12 months, as soon as practicable after 30 June each year.

This report also includes the National Archives of Australia's audited financial statements as required by sections 42, 43 and 46 of the PGPA Act.

This report has been prepared in accordance with section 70 of the *Public Service Act 1999*, which requires that you table the report in Parliament. It reflects the requirements for annual reports for non-corporate Commonwealth entities as published by the Department of Finance in May 2018 (Resource Management Guide No. 135).

As required by section 10 of the PGPA Act we, as the Director-General and Chair, certify that the National Archives of Australia has prepared fraud risk assessments and a fraud control plan; that we have fraud prevention, detection, investigation and reporting mechanisms that meet our needs; and that we have taken all reasonable measures to deal with fraud relating to the National Archives of Australia.

Yours sincerely

David Fricker  
**Director-General**  
12 September 2018

Dr Denver Beanland  
**Chair, Advisory Council**  
12 September 2018



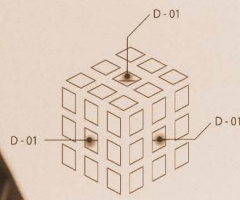


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# DIRECTOR-GENERAL'S REVIEW OF 2017-18

Progressing....

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## ■ Director-General's review



The information received and created by Australian Government entities in the course of their business activities constitutes the evidence of actions taken. Over time, it adds to and enriches the documentary heritage of the nation. As a national resource for knowledge creation and sharing, it underpins the accountability, transparency and integrity of our system of democracy and government. It forms an essential foundation for the cultural identity and prosperity of our nation.

In a time of information abundance, Australian society is at a critical juncture. New opportunities are emerging on the back of developments around big data, artificial intelligence and the 'Internet of Things'. However, we must also confront the trends that may erode our national prospects – such as cyber threats, the influence of 'fake news', and a failing trust in public institutions.

In this globally connected digital world, the National Archives of Australia's role in the integrity and accessibility of government information has never been more important. As the lead national agency for setting standards, guidelines and practices for information governance and records management, the National Archives is embracing the opportunities of the digital age.

Our transformative strategies address critical issues and priorities for securing, protecting, preserving and making accessible the records of government.

These include:

- strengthening information governance and cybersecurity
- prioritising digital preservation of at-risk records
- improving business processes and service delivery across government
- providing new ways for the community to connect with government information and cultural heritage.

### **Information policy that secures the record**

The Digital Continuity 2020 Policy continues to define the Archives' work with government agencies, to ensure information is properly created, stored and preserved – and is available for use and reuse into the future. Since work commenced in this area in 2011 with the Digital Transition Policy, there has been significant progress by government agencies. Most recent evidence demonstrates continuing improvement in digital information management capability and commitment, with the majority of agencies reporting that 'the policy targets are in progress or completed'.

However, much work is needed to ensure that digital records, data and information on legacy platforms are not lost to digital obsolescence. Digital archive infrastructure that is cybersecure and better integrated into government business systems is essential to secure current and future government information. The challenge is real and ever present for the Archives and all government agencies.

In recognition of the fundamental importance of government information as critical national infrastructure and a community resource, the Archives continues to work with agencies on implementing the Information Management Standard launched in 2017. It provides simple and clear principles, and implementation pathways to assist the digital transformation of agencies – towards a digital ‘business as usual’ and strengthened corporate governance frameworks for consistent information management across the Australian Government.

The Archives also strives to be an exemplar in information governance practice. To this end, in the past year, we established the role of Chief Information Governance Officer (CIGO). This position, in the Archives, is championing the importance of effective information management. It is responsible for continuous improvement to agency-wide information governance and for fostering a culture of accountable and business-focused management of information assets.

The importance of information awareness extends beyond government – impacting the lives of Australians in all aspects of daily life. This is why the Archives again embraced the opportunity of Information Awareness Month – a collaborative event held in May, between various bodies within the records, archives, library, knowledge, information and data management communities – to increase awareness of the role and use of information. The Archives also announced the annual winners of our 2018 Digital Excellence Awards which acknowledge excellence and innovation within Australian Government agencies.

More broadly in our region, we continued our close working relationship with archives and records authorities across Pacific nations, through the Pacific Regional Branch of the International Council on Archives (PARBICA). In the past year, five new modules of the renowned Recordkeeping for Good Governance Toolkit were finalised. These covered Disaster Preparedness, Response and Recovery, Assessing Significance, and Identifying Vital Records. They will be officially launched at the annual International Council on Archives (ICA) Conference in Yaoundé, Cameroon in late 2018.

## **Preserving and digitising our documentary heritage**

The Archives’ collection documents Australian history, from dramatic events that shaped the nation to decisions that touch the lives of individuals. There are many records about people, from the ordinary to the famous, and their interactions with the Australian Government.

To ensure these collections remain accessible, the Archives continued to lead on national standards for the arrangement, description, digitisation, preservation and management of the archival collection. In the past year, this has included providing advice, guidance and feedback to agencies and international colleagues on current and emerging issues related to standards and digital formats.

Following the opening of the new National Archives Preservation Facility in June 2017, we have focused on bedding down our policies and procedures in the new facility, as well as continuing to facilitate the transfer of agency records and preservation priorities.

Work continued with our colleagues at the National Film and Sound Archive on the urgent priority of digitising records on magnetic tape, which was used to capture much of our nation’s cultural history during the 20th century. With the continuing deterioration of magnetic tape and the obsolescence of playback machinery, the Deadline 2025 strategy highlights the critical deadline to convert this material to a digital medium – before it becomes inaccessible.

Newly adopted national preservation and digitisation strategies will be crucial to ensuring that we preserve and protect records that are central to our cultural identity – as well as prioritising the digitisation of at-risk records and high-use information, including the audiovisual collections susceptible to obsolescence or deterioration.

## Collaboration and engagement

While the East Block building in Canberra was being refurbished this year, we temporarily paused our onsite education programs, and closed the permanent and temporary galleries. However, this did not prevent many other exciting collaborations and public engagement activities.

Our exhibitions *Without Consent: Australia's past adoption practices, A Place to Call Home? Migrant hostel memories* and *A Ticket to Paradise?* continued to be well patronised as they toured rural and regional galleries. In late May a new exhibition, *SPY: Espionage in Australia*, opened at the Museum of the Riverina in Wagga Wagga. Developed in collaboration with ASIO, the exhibition reveals the personal experiences of intelligence officers and agents and the curious history of espionage and counterespionage in Australia, from Federation through to the present day.

Under our continuing Shared Histories agreement with the Archives Nationales de France a seminar program was held in Paris – *Imagination, Exploration, Memory: French and Australian shared histories*. Distinguished French and Australian historians explored the themes of discovery, economics and politics – drawing on both institutions' archival collections. This program is set to continue with a future seminar in Australia.

In collaboration with the State Library of South Australia, we jointly curated *From Outback to Outer Space: Woomera 1955 – 1980*, an exhibition drawing on the collections of both institutions and many others, which went on display in the South Australian Institute Building in late 2017. The exhibition, together with education and supporting programs, was part of the 68th International Astronautical Congress Cultural Program – the world's largest annual gathering of space professionals – held in Adelaide. Many thousands of conference delegates, members of the public and high school students from across South Australia experienced the exhibition and associated activities.

During the past year, the National Archives of Australia and National Archives of Japan concluded years of work, to see the gifting to Japan of thousands of archival records seized by the Australian Government at the outbreak of World War II. Some 3300 boxes of documents – created by branches of Japanese companies in Australia between 1899 and 1941 – were transferred from the Controller of Enemy Property to the custody of the Archives in the 1950s. In June 2018 Australia's Minister for Trade, Tourism and Investment, the Hon Steven Ciobo, presided over a ceremony in Tokyo to formally acknowledge the largest donation of records of its kind accepted by the National Archives of Japan – recognition of the highly valued, ongoing friendship and collaboration between Australia and Japan.

We also partnered with Canberra Museum and Gallery to present the exhibition *Crafting the House on the Hill: art, design and the building of Australian Parliament House*. For the exhibition our conservators checked and prepared an architectural model of the building and seven original Romaldo Giurgola watercolours.



## Connecting with our cultural heritage

With the Archives' galleries in Canberra temporarily closed, Public Programs staff have been using the time productively with significant research, planning and design work to develop new exhibitions, galleries and public programming for the re-opening of the National Archives in the East Block building in 2019.

During the past year, the Archives' collection has continued to be widely explored online and through a diverse program of public activities in our state and territory offices. In Canberra, the reading room and the Charters of our Nation gallery were moved to Old Parliament House, and continue to provide access to the collection, as well as orientation services.

For Anzac Day 2018, the final school and community learning resources about World War I service records – developed through a four-year partnership with the Department of Veterans' Affairs for the Anzac Centenary Program – were launched on the *Discovering Anzacs* and *Vrroom* websites. They focus on how to examine the repatriation records, exploring the greater complexities and the ongoing mental and physical toll of World War I on individuals, families and the community. Two modules of special note focused on the role of women: *Unsung Healers – women caring for veterans* and *The Aftermath of World War I – women in Australian society*.

For Enlighten 2018 – Canberra's autumn light festival when Australia's national institutions open their doors at night, providing unique public experiences – the Archives hosted a seminar on Australia's second prime minister, Alfred Deakin, an activity of the First Eight Prime Ministers program.

Dr David Headon's engaging presentation shed new light on the contradictions and life of this enigmatic leader. 'Queen Victoria' was also on hand in the Charters of our Nation gallery, to guide and discuss with visitors the importance of the Royal Commission of Assent signed by Her Majesty on 9 July 1900, establishing as law the Bill providing for the creation of the Commonwealth of Australia.

## Australia's First Peoples

This year we launched the Aboriginal and Torres Strait Islander Strategy, reflecting our commitment to broaden and strengthen our capacity to engage and meet the needs of Indigenous Australians.

The Archives' first fully digital interactive exhibition, *Facing Two Fronts: the fight for respect*, went on display in the Northern Territory Archives Centre, Darwin. Through the lens of military service and the stories of those who served, this exhibition explores the Aboriginal and Torres Strait Islander peoples' fight for social justice. It was complemented with original collection material from both the National Archives and Northern Territory Archives Service. It will tour to the Sir John Monash Centre in Villers-Bretonneux, where it will be on display for the Centenary of the World War I Armistice, from September 2018.

In June 2018, at a special ceremony at the Northern Territory Archives Centre, the National Archives Advisory Council Chair, Dr Denver Beanland, acknowledged the significant service to the Archives of four Indigenous women, Rosie Baird, Valerie Day, Kathy Mills and Margaret

Furber. They were awarded National Archives medallions for their work, recognising a combined contribution of more than 55 years of service on the National Archives Aboriginal Advisory Group in the Northern Territory.

During this visit to Darwin by the Advisory Council, to mark the 20th anniversary of the Larrakia Nation Aboriginal Corporation, the Archives donated a full-size facsimile of the 1972 Larrakia petition to the corporation. Signed in 1972 by Indigenous Australians across the nation, it is one of the most important documents of Indigenous Australians' struggle for land rights in the early 1970s. The petition appealed to Queen Elizabeth to help the Aboriginal people of Australia gain land rights and political representation.

## **Transforming the Archives for the future**

While the past year has again been a time of tremendous change, challenges, new opportunities and achievements, the future challenges for the Archives are real and ever present. Cybersecurity threats to the record of government, the digital capability that provides for the secure capture and preservation of government digital information, and the preservation of at-risk records continue to be critical priorities.

In a tight fiscal environment that remains challenging, the Archives has implemented a planned reorganisation in line with gradual downsizing. We have, however, made strategic choices to ensure that we continue to strive towards our vision of being a world leading archive in the digital age. We are embracing an ambitious program of work outlined in our recently launched Strategic Plan 2020 that will transform the Archives.

This program of work, already underway, will be across four areas:

- enabling best practice information management
- applying innovation in our approach to digital archiving, standards, policies and systems design
- securing and preserving nationally significant information
- connecting Australians to the Archives.

At the heart of this transformation is digital capability. In April 2018 the Archives commenced this transformation, establishing a Senior Executive Service-led Digital Archives Taskforce to define the processes, skills and tools that will equip us for a digital future. It will enable us to shape our strategies for the ongoing development of our human capital and technical infrastructure.

Following the International Organization for Standardization's (ISO) standard for an Open Archival Information System, this will also include the design and establishment of a new Enterprise Digital Archive, digital preservation capability and new access platform.

A new digital literacy program will equip our staff with the contemporary skills to work with digital tools and resources to deliver new services to the Australian Government, the Australian public and the global community.

Our efforts will continue to be driven by our primary purpose: to provide access to Australia's documentary heritage. We will implement new strategic and innovative public programs and services, including a digitally focused reference service through our Reference Strategy.

Planning has commenced for the Archives to relocate in late 2018 back to East Block. During 2019, exciting improvements to the public engagement spaces will be unveiled, including new permanent galleries, improved education and public program spaces, research facilities, and a new café and Archives store.

In the year ahead, to complement and enhance these new physical services in Canberra, the Archives will also deliver an updated web presence with new ways to access the collection, education and other resources – regardless of where our users live and work across the country or around the world.

A handwritten signature in black ink, appearing to read 'David Fricker', with a stylized, flowing script.

David Fricker  
Director-General







## OVERVIEW OF THE NATIONAL ARCHIVES

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## ■ Roles and functions

The National Archives of Australia is a non-corporate Commonwealth entity under the *Public Governance, Performance and Accountability Act 2013* (PGPA Act) and an executive agency under the *Public Service Act 1999*. Its role and responsibilities are established under the *Archives Act 1983* and are broadly grouped into the following areas:

- leading Australian Government entities in creating and maintaining authentic, reliable and useable Commonwealth records by providing guidance and setting standards for the management of information and records
- authorising retention and disposal of Commonwealth records, including identification of records of national archival value
- transferring records of national archival value from entities and securing, describing and preserving them
- making publicly available the archival resources of the Commonwealth in accordance with the Archives Act.

## ■ Organisational structure

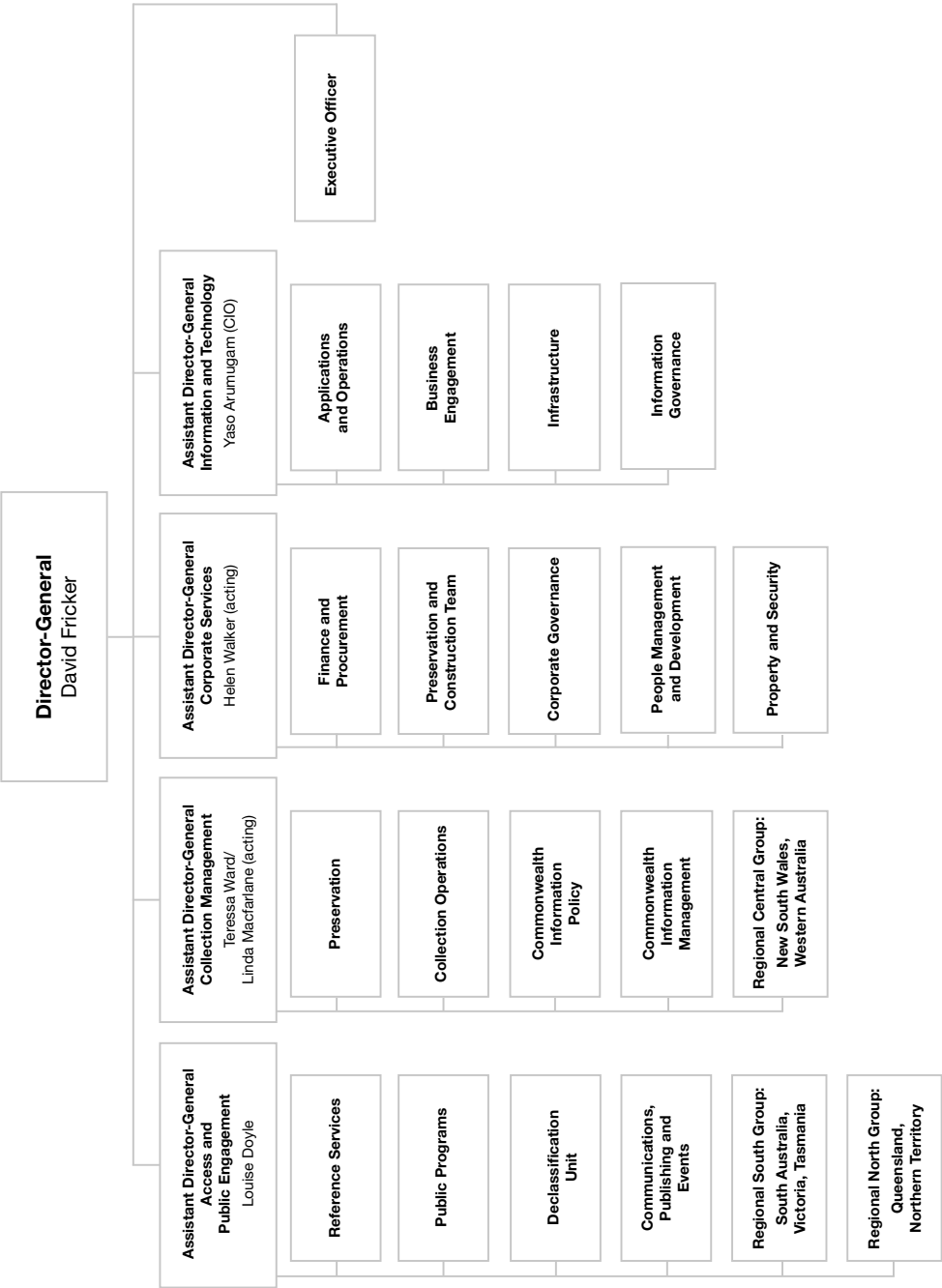
As of 1 July 2017, the Archives implemented a structural change as a result of a functional review and staff consultation that took place during the 2016–17 year. This four-branch structure is as follows, with a brief summary of key roles and functions:

- The Information and Technology branch is integral to the Archives' transformation to a state-of-the-art digital archive and supports the Archives in reaching its strategic goals through services, technology, infrastructure, software and governance of its information assets.
- The Corporate Services branch provides the enabling services of governance, human resources, finance, procurement, property and security management.
- The Access and Public Engagement branch is the public face of the Archives, delivering access to the collection online and through our reading rooms and reference service, education and public programs, exhibitions, publishing, marketing and media activities, and corporate events.
- The Collection Management branch sets whole-of-government information management standards, determines those records that must be retained as essential evidence of government activity, and manages the archival collection to ensure the authenticity, integrity, preservation, useability and availability of the archival resources of the Commonwealth.

In April 2018 a decision was taken to establish a fifth branch, the Digital Archives Taskforce. The taskforce will commence operation from 1 July 2018 for a period of 18 months, and will consist of 15 positions. It will identify and implement new digital archiving processes, identify skill gaps and options for training, procure digital preservation solutions, and identify options and costings for the supply of archival management and access solutions.



**Figure 1** Organisational structure, 30 June 2018



## ■ Outcome and program structure

The 2017–18 Portfolio Budget Statements set out the Archives' outcome and program structure, which is as follows:

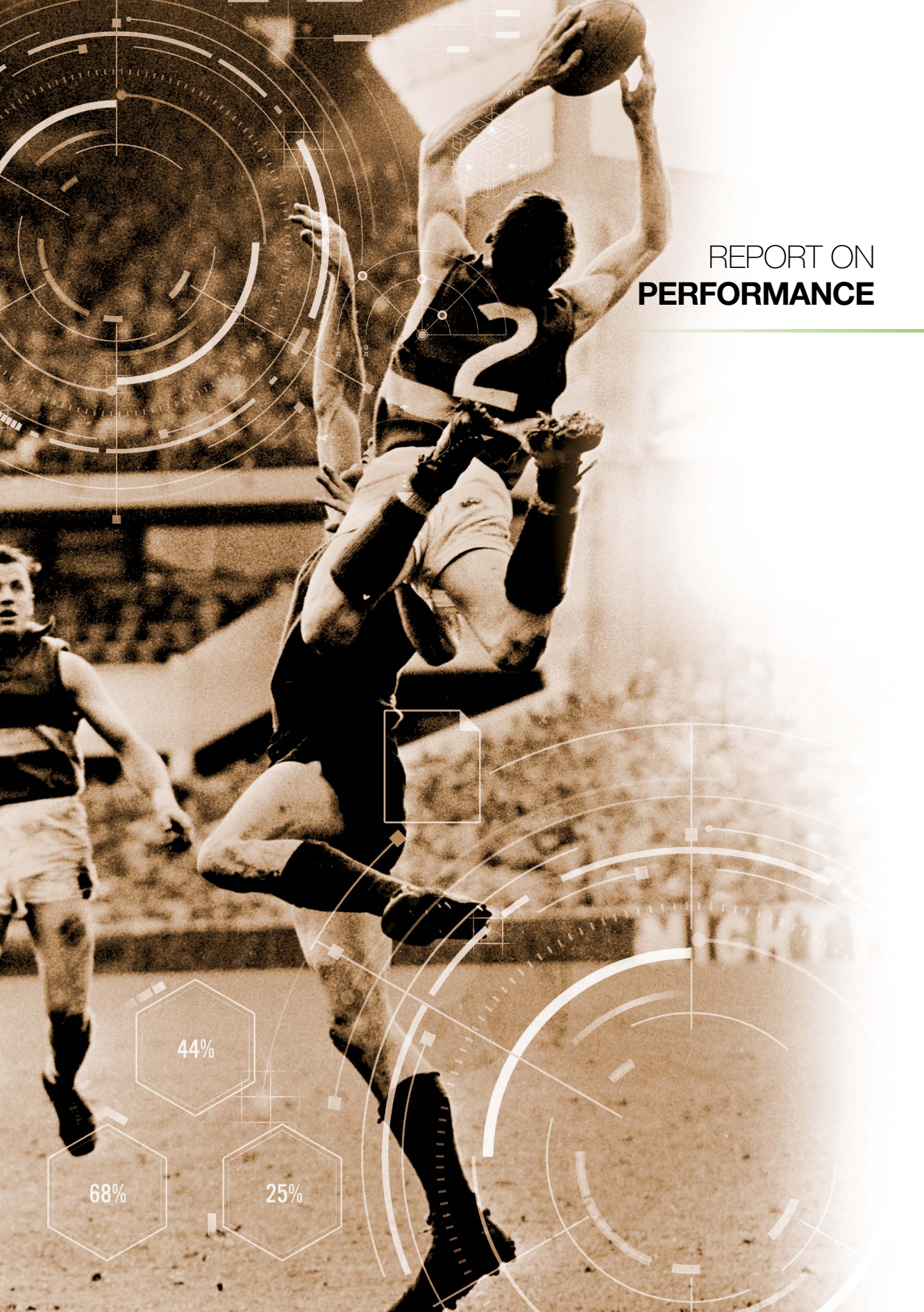
<b>Outcome</b>	To promote the creation, management and preservation of authentic, reliable and useable Commonwealth records and to facilitate Australians' access to the archival resources of the Commonwealth
<b>Program</b>	National Archives of Australia

To achieve its outcome, the Archives will:

- respond to changes in the information environment, including moving and guiding Commonwealth entities towards comprehensive digital information and records management, building capability, meeting whole-of-government requirements, and promoting accountability in information and records management
- monitor and, as appropriate, expand its capability to transfer, preserve, digitise and make records available for public access. The Archives will continue to oversee the delivery of additional preservation and storage capacity, working with entities to improve business efficiency across government by enhancing the ability to retrieve and reuse information and reducing stockpiles of paper records
- foster effective relationships with entities and strategic stakeholders, including the information and communication technology and cultural sectors. The Archives will work closely with other key information and security entities across government to ensure that digital records-management issues are addressed through information strategies, standards and policies
- provide access to, promote, interpret and communicate the collection and foster engagement with Australians in cities and regional areas through its national network of reading rooms, reference services, and education, exhibitions, and community outreach programs. The Archives' websites and the national digitisation service will enhance the accessibility of the collection by increasing the number of record pages and interactive experiences available online.

## ■ Archives' purposes

1. Maintaining the official record of the nation
2. Creating valued connections between the national archival collection and government, researchers and the community.



## REPORT ON PERFORMANCE

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## ■ Statement (of preparation)

I, David Fricker, as the Accountable Authority of the National Archives of Australia, present the Archives' annual performance statement for 2017–18 for the period 1 July 2017 to 30 June 2018, as required under paragraph 39(1)(b) of the *Public Governance, Performance and Accountability Act 2013* (PGPA Act) and section 16F of the PGPA Rule 2014. These results are reported against the performance measures outlined in the National Archives of Australia Corporate Plan 2017–18, and as published in the Archives' 2017–18 Portfolio Budget Statements.

In my opinion, the annual performance statement is based on properly maintained records, accurately reflects the performance of the Archives, and complies with subsection 39(1)(b) of the PGPA Act and section 16F of the PGPA Rule.



David Fricker  
Director-General  
National Archives of Australia

12 September 2018

## ■ Annual Performance Statement

**Purpose 1:** Maintaining the official record of the nation

**PBS performance criterion:** The archival resources of the Commonwealth are identified and secured for the future

**Criterion source:** Program 1.1 deliverables, 2017–18 Portfolio Budget Statements, p.239

### Performance criterion

**Identify and secure information of enduring national significance for the national archival collection**

#### Criterion source

- National Archives of Australia Corporate Plan 2017–18 to 2020–21

#### Result against performance criterion

- During 2017–18 the Archives issued 24 instruments under the *Archives Act 1983*, including records authorities developed in consultation with individual entities. This contributed to total records authority coverage of 85 per cent of Australian Government agencies.



- Transfers of information and data continued to meet national significance criteria and transfer requirements.

### **Analysis of performance**

Records authorities dictate the identification and subsequent transfer to the Archives of information of archival significance. The volume of transfers is dependent on a number of variable factors including ongoing business requirements of agencies and allocation of resources. The year 2017–18 included the transfer of 512 drawings and maps from the Department of Innovation, Industry and Science relating to the 1956–63 British atomic test sites around Maralinga, South Australia and 25.8 terabytes of digital format records. Information about transfers is added to RecordSearch and Mediaflex, the Archives' collection databases, to assist in managing and providing access to records.

## **Performance criterion**

### **Preserve the archival resources of the Commonwealth**

#### **Criterion source**

- National Archives of Australia Corporate Plan 2017–18 to 2020–21

#### **Result against performance criterion**

- The Archives achieved preservation of 139,753 at-risk items against a target of 120,000.
- A new Digital Preservation Policy was published.

### **Analysis of performance**

Preservation treatments continued to focus on records at risk, including digitisation of paper, photographic and audiovisual records through outsourced projects. Digitisation efforts support the objectives of Deadline 2025, a collaborative initiative with the National Film and Sound Archive, to prioritise digitisation of at-risk audiovisual collections.

The procurement of motion picture film and photographic digitisation equipment has increased the Archives' capacity to undertake in-house preservation digitisation of deteriorating records.

Preservation digitisation standards were reviewed to ensure continued compliance with technical preservation standards, in line with national and international cultural institutions. Access to the collection is supported through preservation activities. This includes intensive conservation treatment and digitisation of items for education, exhibition and community outreach programs and for loans to other state and national cultural institutions.

The new Digital Preservation Policy gives shape to the Archives' plans to deliver a state-of-the-art digital archive, to develop our digital capability and skills, and to drive the digital transformation of the Archives' functions and services.



## Performance criterion

**Demonstrate leadership and best practice, to promote the creation, management and preservation of authentic, reliable and usable Commonwealth records**

### Criterion source

- National Archives of Australia Corporate Plan 2017–18 to 2020–21

### Result against performance criterion

- Ninety per cent of Australian Government entities reported that information created in digital formats is stored and managed digitally in accordance with the Digital Continuity 2020 Policy.
- A new survey reporting tool was issued to assess entities' progress towards digital information management.
- Ninety-five per cent of entities participated in annual survey reporting requirements.

### Analysis of performance

There has been a significant increase in the number of agencies reporting they work digitally by default since the introduction of the Digital Transition Policy in 2011. In 2010, agencies reported 30 per cent of their work was undertaken digitally. This increased to over 90 per cent in 2017, with 70 per cent showing an overall improvement in their maturity. There is evidence of continuing improvement in digital information management capability and commitment, with the majority of agencies reporting that the policy targets are in progress or completed.

The Archives streamlined its reporting requirements (and associated target), in response to recommendations of the independent Review of Whole-of-Government Internal Regulation (Belcher Red Tape Review). Entities were required to respond to a short survey assessing progress against the Digital Continuity 2020 Policy targets. This provided a snapshot of whole-of-government information management maturity which was published on the Archives' website. Consequently, reporting to the Minister and Prime Minister was rescheduled to enable more comprehensive reporting and analysis from new survey processes (Check-up PLUS) which will commence from 2018–19.

In 2017–18, 95 per cent of entities participated in the annual survey, a decrease of 5 per cent from the previous reporting period.

Check-up PLUS was developed following extensive consultation with Australian Government agencies and will open for the 2018–19 reporting period in July 2018. Check-up PLUS will drive maturity in information and data management.

The Archives continues to use the data collected in previous surveys to:

- assist agencies to understand and improve their own performance
- inform its own evidence-based policy and product development
- enable the Archives to meet its whole-of-government reporting requirements
- provide leadership on information and data management to the Australian Government.

Strategies for the transfer, long-term preservation, and accessibility of the Archives' digital information, were underpinned by research and policy development based on domestic and international standards and processes. Metadata and descriptive standards were developed to more effectively control the complex relationships that exist within and between digital records.

The Archives continued to develop digital preservation standards and digital archiving capabilities in line with international best practice. A gap analysis of digital archives systems against the international Open Archives Information Standard (OAIS) will guide procurement of best practice preservation solutions in the future. A skills gap analysis against a European digital archiving skills curriculum (DigCurV) will similarly inform future staff training needs and requirements for digital archiving capabilities.

## **Performance criterion**

### **Maintain and enhance Australia's involvement with the national and international archival community**

#### **Criterion source**

- National Archives of Australia Corporate Plan 2017–18 to 2020–21

#### **Result against performance criterion**

- The Archives advocates the benefits of sustainable information management through participation in targeted international forums, and professional exchange and audience engagement through research of collections that document shared histories with Australia.

#### **Analysis of performance**

Through membership of the Pacific Branch of the International Council on Archives (PARBICA), the Archives assisted the National Archives of Fiji to run a biennial professional conference for PARBICA members. Over 100 delegates attended the conference and practical workshops at the Pearl Resort, Pacific Harbour, Fiji in September 2017. Outcomes included substantial work on developing five new disaster preparedness guidelines for the PARBICA Recordkeeping for Good Governance Toolkit funded by the Programme Commission of the International Council on Archives, with these guidelines scheduled for launch in late 2018.

A number of successful international partnership projects in 2017–18 supported close engagement with the international archival community:

- A French–Australian Shared Histories Symposium was held in Paris on 23 April 2018 in partnership with the service interministériel des Archives de France.
- Stage 1 of a joint project with the Nationaal Archief of the Netherlands told the stories of Dutch migrants to Australia using archival records and personal accounts.
- The Archives gifted Japanese company trading records seized in Australia during World War II to the National Archives of Japan, with formal events held at the Japanese Embassy in Canberra and in Tokyo. The formal ceremony was presided over by Minister for Trade, Tourism and Investment the Hon Steven Ciobo MP and Ministers Kono and Kajiyama from the Government of Japan.

- The Archives hosted international delegations from multiple countries including Indonesia, the UAE, Japan and New Zealand, sharing professional expertise and providing tours of the new repository in Canberra.
- Senior representatives from the Archives attended the ALA-ICA Conference in Mexico City in November 2017 and conducted bilateral meetings with the national archives of the UK, Canada, USA, China, Indonesia, Japan, Netherlands, Iran and Norway. The conference also provided a single forum for technical meetings with industry leaders in the fields of digital preservation and information access.

The Archives is also collaborating with other international archival institutions on digital archival strategies. Collaborators include the national archives of the United Kingdom, United States, Singapore and Finland.

**Purpose 2:** Creating valued connections between the national archival collection and government, researchers and the community

**PBS performance criterion:** Public engagement with the national archival collection grows and enhances understanding of individual and collective history.

**Criterion source:** Program 1.1 deliverables, 2017–18 Portfolio Budget Statements, p.239

### Performance criterion

**Promote understanding and appreciation of the national archival collection and its value**

#### Criterion source

- National Archives of Australia Corporate Plan 2017–18 to 2020–21

#### Result against performance criterion

- The Archives promoted and provided access to the collection through multiple channels effectively increasing its interactions with the public.
- The Aboriginal and Torres Strait Islander Strategy was implemented.
- Educational resources, including the integrated Learn capability, were developed in support of the Archives' *Discovering Anzacs* website and the Centenary of Anzac Commemoration program.
- Improved functionality and interactivity of the Archives' website, *Destination: Australia*, supported the outreach immigration program comprising national touring exhibitions *A Place to Call Home?* and *A Ticket to Paradise?*
- Partnerships with external organisations including Google Cultural Institute were established.
- Innovative national touring exhibitions were launched including *SPY: Espionage in Australia* and *Facing Two Fronts: the fight for respect*.
- The Archives hosted the Whitlam Institute's touring exhibition *The Way of the Reformer: Gough Whitlam in his Century*.

## Analysis of performance

The Archives' services were temporarily disrupted by the requirement to relocate the Canberra reading room and the Charters of our Nation gallery to Old Parliament House in October 2017. This move was necessitated by the Commonwealth's sale of its National Office building (East Block) and the associated obligation by the new owner to undertake major maintenance on the building. The Archives continued to provide reading room and orientation services, and public engagement with the nation's founding documents from its new temporary location, with a combined visitation at Old Parliament House of 7907.

The Archives' websites – including *Discovering Anzacs*, *Destination: Australia*, and *Vrroom* (the schools education learning portal) – attracted more than 2.5 million visitors, with 12 million page views recorded. The Archives' online collection database, RecordSearch, saw almost half a million researchers viewing more than 22 million pages. Increased social media activity provided additional channels of interaction with the public.

During 2017–18 the Archives' national reference service responded to 50,201 inquiries, meeting our service standards in 93 per cent of cases. A further 7.3 million images of collection material were made available on the Archives' online collection database RecordSearch, bringing the total number of images online to 59.3 million or approximately 4.6 per cent of the collection.

Public programs and community outreach activities occurred across all Archives offices including public talks about the collection and participation in national events such as Seniors Week, Constitution Day, National Family History Month, NAIDOC Week and the judging of the annual National History Challenge for school students.

The Archives' annual Constitution Day Speakers Forum was held at East Block on 7 July 2017. The forum topic was The Democratic Disruption, with the panel exploring how digital technologies are disrupting and changing democratic institutions. There were 60 attendees at the afternoon event.

The Archives participated in Enlighten 2018, with a series of programs aimed at engaging with the large visitation that occurs at Old Parliament House over the two weekends of the program. In the reading room visitors were able to view original records about the creation of Canberra, the building of Old Parliament House, and records created by Alfred Deakin, while Queen Victoria encouraged visitors to engage with the Charters of our Nation gallery. Over the two weekends of the 2018 Enlighten Festival, 2351 visitors engaged directly with the Archives.

Archives' offices in Victoria, South Australia, Tasmania and the Northern Territory held public program activities with co-location partners. The largest joint event was *From Outback to Outer Space: Woomera 1955–1980*, an exhibition held in partnership with the State Library of South Australia. The exhibition was on display at the library from 23 August to 12 November 2017, attracting more than 57,000 visitors.

The Archives provided access to original archival material in regional and remote communities through innovative national touring exhibitions. In 2017–18 the Archives toured four exhibitions to eight venues across New South Wales, the Northern Territory, Queensland and Western Australia, including:

- *A Ticket to Paradise?* (Darwin NT, Townsville QLD, Kalgoorlie WA – 96,773 visitors)
- *A Place to Call Home? Migrant hostel memories* (Longreach QLD, Grafton NSW – 24,122 visitors)
- *Facing Two Fronts: the fight for respect and Indigenous Australians at War from the Boer War to the Present* (Darwin NT – 98 visitors)
- *Without Consent* (Parramatta NSW, Grafton NSW, Albury NSW, Longreach QLD – 22,656 visitors).

On 31 May 2018, the Archives' new temporary exhibition, *SPY: Espionage in Australia*, was opened at the Museum of the Riverina, Wagga Wagga NSW. Over the month of June, 1253 visitors attended the exhibition. *SPY: Espionage in Australia* will be the first temporary exhibition displayed in the National Office when it reopens to the public in 2019.

During 2017–18 the Archives further implemented the Aboriginal and Torres Strait Islander Strategy. This included the development of protocols describing best-practice management of Aboriginal and Torres Strait Islander-related records, and the provision of services to Indigenous people by the Archives. The Archives hosted visits by Aboriginal groups including the Victorian Aboriginal Child Care Agency, Nunkuwarrin Yunti, and Wellington Aboriginal Corporation Health Service. To celebrate National Reconciliation Week and NAIDOC Week, the Archives presented collection material including patent records of Indigenous inventor David Unaipon, the Larrakia petition and records relating to Indigenous activist William Cooper.

In partnership with the Department of Veterans' Affairs, the Archives developed and delivered three video-based educational resources on the Learn page of the *Discovering Anzacs* website. This year, the focus was on developing resources to demonstrate the richness of, and encourage the use of, repatriation records held by the Archives, documenting the experiences of returned soldiers, nurses and families during World War I.

Improved functionality and interactivity of the *Destination: Australia* website enabled the Archives to present new video content including audiovisual material from *A Ticket to Paradise?* This increases access to the audiovisual material in the national archival collection and supports the Archives' partnership with the Nationaal Archief of the Netherlands, with both archives highlighting the records related to Dutch migration to Australia.

Planning for redevelopment of the permanent exhibition and Federation galleries focused on curatorial and content development. This included scoping the collection, and developing curatorial principles around relationships between people and government and the role of the Archives in documenting and providing evidence of that relationship.

The Archives worked with a range of external organisations to expand the reach and use of the collection during 2017–18. Partnerships were established in support of the national touring program including with the Netherlands' Nationaal Archief and the Royal Embassy of the Kingdom of the Netherlands; the Department of Communications and the Arts; the Department of Social Services; and the Department of Home Affairs. The Archives developed and published content on Google Cultural Institute, and worked with cultural and knowledge institutions to deliver public programs based on the use of



archival material. The Archives also renewed its partnership with the *Australian Dictionary of Biography* and continued support for the development of biographies and projects commemorating military service in particular regions.

The Archives partnered with the Whitlam Institute, providing collection material for the research and presentation of the institute's exhibition, *The Way of the Reformer: Gough Whitlam in his Century*. We hosted the exhibition at our National Office from 28 July to 3 September 2017. The Archives also partnered with the Australian Parliamentary Library, the National Museum of Australia, the Victorian Parliamentary Library and the ANU Australian Studies Institute for the First Eight Prime Ministers program. This significant partnership included a lecture on former prime minister Alfred Deakin by historian David Headon during the Enlighten Festival and the launch of the Deakin monograph at Parliament House.

## **Performance criterion**

**Provide access to the information that we hold in accordance with the *Archives Act 1983***

### **Criterion source**

- National Archives of Australia Corporate Plan 2017–18 to 2020–21

### **Result against performance criterion**

- Access to information in the Archives' collection was improved by the addition of 591,095 new item descriptions to our collection database, RecordSearch.
- The 1994 and 1995 Cabinet records were released on 1 January 2018.
- The Agency Digitisation Service became mandatory from 1 January 2018, contributing to efficient, streamlined services for entities to access records.

### **Analysis of performance**

The Archives Act provides a general right of access to records in the open access period unless they are exempt from access under one or more of the 16 exemption categories defined in section 33 of the Act. Before a record is released, records are examined by Archives staff for any information that should be exempt. Records are released in response to applications for access from the public or as part of the Archives' program of proactive release.

As at 30 June 2017 there was a backlog of 23,287 applications for access to records from the public. During 2017–18, the Archives received 43,325 new applications for access to records and released 36,653 records subject to application from the public. There is often more than one applicant for a record and there may also be more than one record requested in a single application. Therefore, the examination of a single item may result in the completion of a number of applications. The Archives also released 238,755 records as part of its program of proactive release. Proactive releases included records relating to child endowment, the Mabo High Court case, the 1967 Referendum, entries to the Parliament House design competition and key 1994–95 Cabinet records.

As at 30 June 2018, there was a backlog of 25,942 applications for access to records from the public pending examination. The Archives continues to manage the backlog in addition to responding to new requests and maintaining its program of proactive release.

**Table 1** Number of records access examined

Decisions on access (number of items)	2017–18
Items examined in response to public access applications	36,653
Items examined for proactive release program	238,755
<b>Total</b>	<b>275,408</b>

**Table 2** Decisions on access

Decisions resulting from access examination (number of items)	2017–18
Wholly released	271,498
Partially released	3,335
Wholly exempt	575
<b>Total</b>	<b>275,408</b>

**Table 3** Time for simple access examination

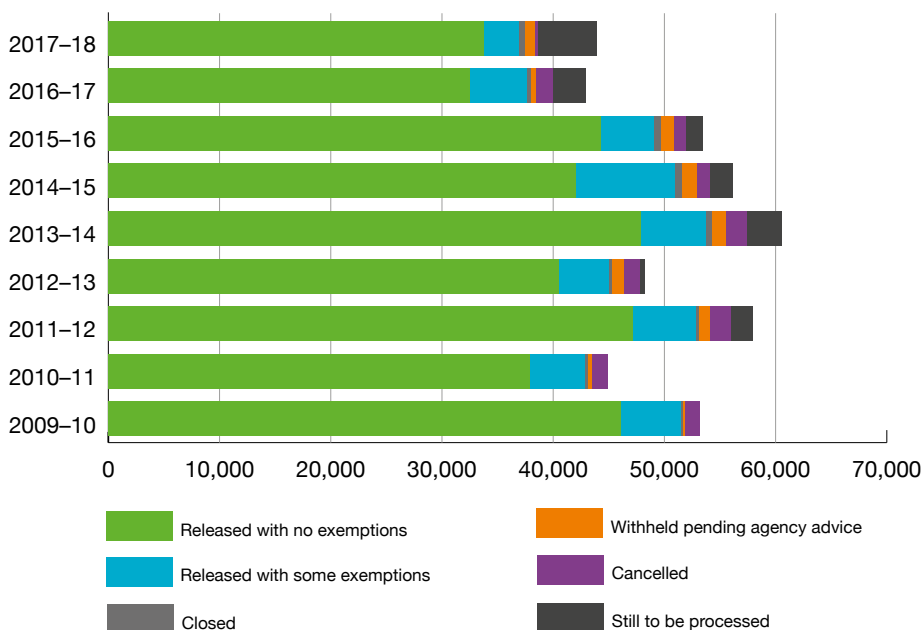
Time taken to make decisions on applications from the public – simple access examination	2017–18
Within 90 days	31,419
More than 90 days	1,370
<b>Total</b>	<b>32,789</b>

**Table 4** Time for complex access examination

Time taken to make decisions on applications from the public – complex access examination	2017–18
Within 90 days	2,620
More than 90 days	1,244
<b>Total</b>	<b>3,864</b>

**Note:** Records requiring complex access examination generally contain sensitivities relating to national security, defence or international relations. These records may require referral to other entities for expert advice.

**Figure 2** Application progress, by financial year



The embargoed release of the 1994 and 1995 Keating Cabinet records, held at the National Press Club on 5 December 2017, was attended by 95 invited guests, including diplomats, departmental staff and media representatives. Event highlights included an ‘in conversation’ discussion between the Hon Kim Beazley AO and senior journalist and President of the National Press Club, Chris Uhlmann. *The Whitlam Years*, a selection of historians’ Cabinet-focused essays written from 2002 to 2005, was launched at the event. The Archives presented media representatives with a media guide and copies of selected Cabinet records to assist with the preparation of news stories for publication on 1 January 2018.

The Agency Digitisation Service became mandatory from 1 January 2018. This is a national program that provides agencies with digitised copies of unclassified records in the Archives’ custody on a cost-recovery basis. The Agency Digitisation Service is part of the Archives’ ongoing transformation to a digital framework and is consistent with the Digital Continuity 2020 Policy. The service protects paper records, reduces the administrative burden and supports the re-use of digitised images. In 2017–18, the Archives digitised 3469 files, a total 159,334 images, and raised \$200,501 in invoices.

## Financial performance

The Archives recorded a deficit of \$12 million for 2017–18, compared with a deficit of \$4.4 million in 2016–17. This deficit is the result of lower income compared to total expenses in 2017–18. Excluding depreciation and amortisation, which is no longer funded by the government, the Archives made a surplus of \$3.2 million for 2017–18.

## Statement of comprehensive income

### Income

In 2017–18 the Archives received total income of \$71.5 million compared with \$85.2 million in 2016–17. The decrease in income of \$13.7 million was mainly due to a decrease in revenue from government of \$7.2 million in 2017–18 as a result of the ceasing of one-off funding received in 2016–17 for the relocation of records and staff to the National Archives Preservation Facility (NAPF), and a decrease in other revenue recognised of \$6.6 million from the intake of records from Australian Government entities.

### Expenses

The Archives expenses totalled \$83.5 million in 2017–18, compared with \$89.6 million in 2016–17. The decrease of \$6.1 million was primarily due to a decrease in employee expenses of \$2.5 million as a result of a lower average staffing level in 2017–18 compared to 2016–17, a decrease in depreciation expenses of \$2 million for Infrastructure, Plant and Equipment (IPE) assets as a result of a number of IPE asset disposals in May 2017 and December 2018 after the expiration of leases for three properties and a reduction in write down and impairment of assets of \$1.2 million due to the write-off of two software projects where work on these projects ceased in 2016–17.

## Balance sheet

### Assets

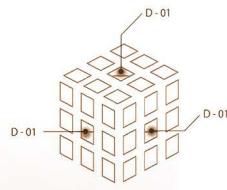
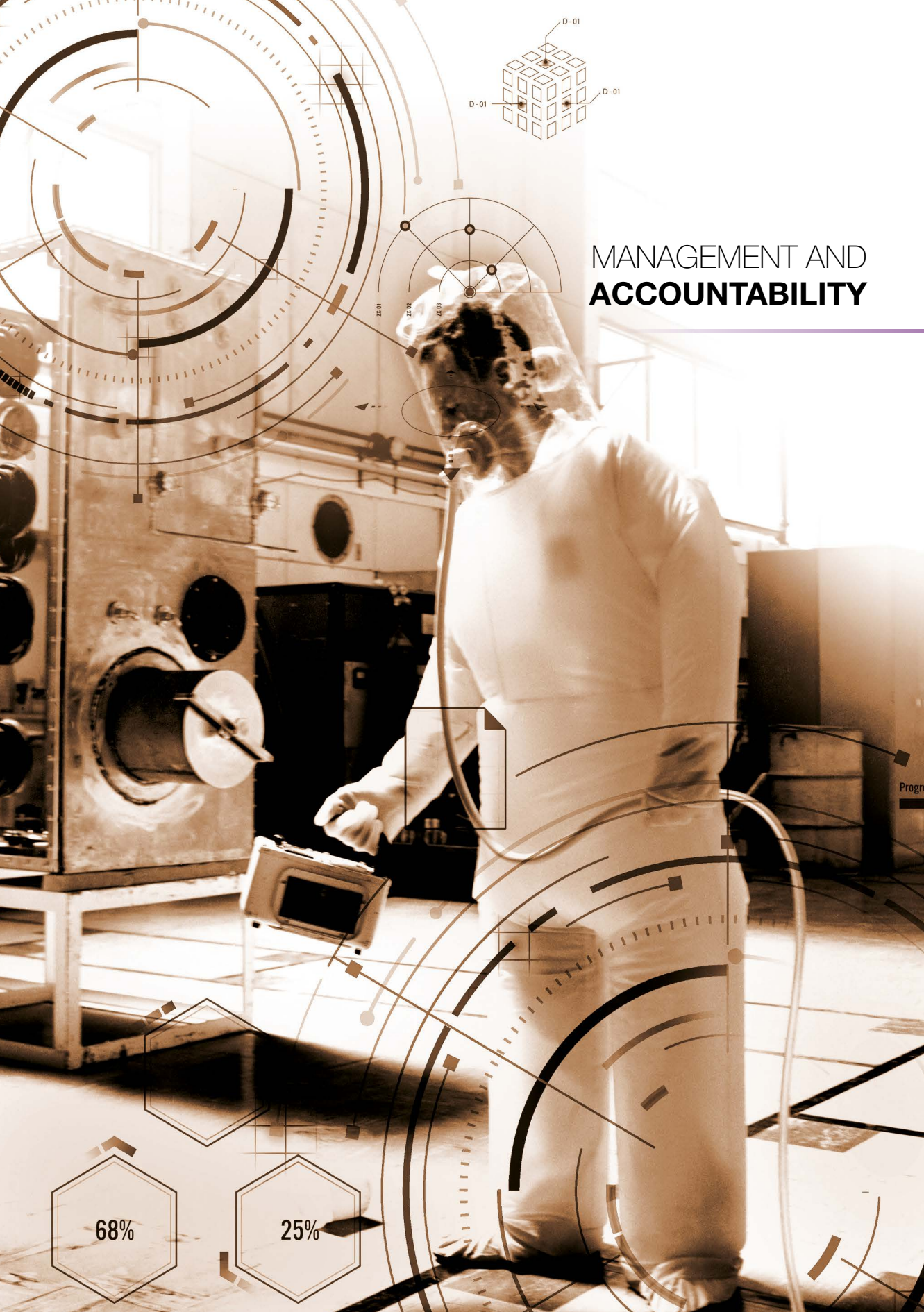
At 30 June 2018 the Archives' assets totalled \$1.535 billion compared with \$1.512 billion at 30 June 2017. The increase of \$23 million was mainly due to an increased value of Heritage and Cultural assets as a result of the independent revaluation during the year.

### Liabilities

The Archives had total liabilities of \$26.9 million at 30 June 2018, compared with \$24.2 million at 30 June 2017. The increase was mainly due to an increase in supplier payables of \$3.4 million, primarily as a result of the straight-lining accounting treatment for the NAPF lease offset by a decrease in other payables and a decline in other provisions due to de-recognition of a portion of the make good provision as the lease for the Archives building, East Block in Parkes ACT ceased during the year.

### Equity

The total equity of the Archives at 30 June 2018 was \$1.508 billion, compared with \$1.488 billion at 30 June 2017. The increase of \$20.3 million comprises an increase of \$27.7 million in reserves primarily as a result of the valuation of Heritage and Cultural assets offset by the appropriate withdrawal of collection items and the derecognition of make good provisions for the East Block building in Parkes ACT, an increase of \$4.6 million in contributed equity (Departmental Capital Budget), offset by a decrease of \$12 million reflecting the deficit recorded in 2017–18.



# MANAGEMENT AND **ACCOUNTABILITY**



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The Archives' management and accountability practices are supported by a robust governance framework that enables the successful delivery of programs and activities. The Archives is accountable to the government and the Australian people in a number of ways. As a public service agency, the Archives upholds accountability and transparency in decision-making, rigour in project management and policy decisions, and accuracy in performance reporting.

## ■ Corporate governance

During 2017–18 the Archives strengthened its key governance structures and processes to better manage its compliance obligations within a complex and dynamic legal and policy environment. The Corporate Services branch focused on reforming corporate processes to provide efficient and meaningful engagement in compliance activities by business areas. Compliance is everyone's responsibility. Simple and fit-for-purpose governance structures enable greater efficiency and minimal disruption to business areas as they deliver the Archives' strategic priorities. These measures also assure the Director-General, the government and the community that the Archives is compliant with all relevant requirements for a Commonwealth entity.

### Corporate planning and reporting

The Archives' governance arrangements and practices around performance ensure all branches and sections provide meaningful contributions to the development of performance information and the internal mechanisms used to collect and maintain data, and monitor, document and analyse results against planned performance.

The core elements of the Archives' performance framework set out the Archives' strategies for achieving its purposes and how success will be measured and reported. The Corporate Plan is the Archives' primary planning document. It describes the environment in which the Archives operates, its planned performance measures, risk profile and capabilities.

The Archives features in the Attorney-General's Department's Portfolio Budget Statement (PBS). The PBS describes, at a strategic level, what is intended to be achieved with the appropriation received by the Archives. The performance criteria included in the PBS are mapped to the purposes in the Corporate Plan. To ensure a clear link between the PBS and Corporate Plan, they are drafted in concert at the same stage of the performance cycle.

The Annual Performance Statement, contained in the Annual Report, outlines the Archives' achievement of its planned performance and reporting intentions identified in the Corporate Plan and PBS at the beginning of the reporting period. Using a combination of qualitative and quantitative measures, the Annual Performance Statement provides a performance story of the extent to which the Archives succeeded in achieving its purposes.

### Risk management

The Archives recognises managing risk is necessary to improving performance and achieving strategic priorities. Staff are encouraged to actively engage with risk in a positive and transparent way to facilitate innovation, improve business processes and continue to increase

productivity across the Archives. The Archives accepts a moderate to high level of risk for projects and activities which present opportunities for better outcomes for our stakeholders. The Archives is aware that some risk is unavoidable, however it can also create opportunities for delivering positive results, particularly in our rapidly changing digital environment.

In an environment of tightening resources, the Archives is focused on actively managing higher-risk activities and embedding risk management into everyday business processes. During 2017–18, the Archives' risk-management framework was significantly revised to provide simpler and more effective tools and processes to manage and engage with risk in a meaningful way. In 2017–18 the Archives continued to strengthen staff awareness of, and participation in, risk management through:

- reporting to senior management and the Audit and Risk Committee on high-risk activities and mitigation strategies
- reviewing the Archives' risk registers
- embedding risk management into the Archives' project management methodology and processes
- facilitating risk-management workshops for project teams and business areas
- providing and presenting information on risk management through the Archives' induction program
- completing the annual Comcover benchmarking program to assess the Archives' risk-management practices, maturity and target areas for growth
- delivering timely advice and support on risk management and Comcover insurance matters across the Archives
- actively managing risks to business operations through the development of business disruption responses including business continuity, incident management and emergency management.

## **Internal audit**

The Archives' audit program provides a value-added service to management through improved compliance, risk management and business improvement. The objective of the program is to assist the organisation to meet its key roles and responsibilities by:

- identifying potential problems and risk exposures
- determining and reporting the extent to which the Archives complies with all mandatory requirements and instructions
- determining and reporting the adequacy, reliability and effectiveness of managerial controls operating within the Archives
- suggesting improvements to business processes and controls
- reporting to managers about whether the resources under their control are being effectively and efficiently managed to achieve Archives' objectives
- monitoring fraud control and prevention mechanisms.

Monitoring of the audit program is set out in the Audit and Risk Committee Charter.

The Archives adopts an internal audit plan which is drafted by contracted professional auditors in consultation with the Archives executive. Each financial year the audit program aims to examine a different section of the Archives' business per quarter. The internal audit plan is presented to the Audit and Risk Committee and then the Executive Board for approval.

Key drivers for business activities within the Archives which are identified and included in the annual internal audit plan include:

- the Archives' strategic priorities and outcomes
- effective governance and control
- risk management, including the Archives' strategic risks and emerging issues
- areas for consideration as described in better-practice guides from the Australian National Audit Office (ANAO).

In 2017–18 internal audits were conducted on:


- ICT security
- management of complaints handling
- the fraud control framework.

## Fraud measures

### Certificate of fraud measures

I certify that the Archives complies with section 10 of PGPA Rule 2014 by ensuring:

- a fraud risk assessment and fraud control plan have been prepared
- appropriate fraud prevention, detection, investigation, reporting and data collection procedures and processes are in place
- all reasonable measures are taken to appropriately deal with fraud and to investigate and recover the proceeds of fraud.



David Fricker  
Director-General

12 September 2018

The Archives is committed to managing the risk of fraud and corruption to protect its:

- staff, working environment, quality of service and culture
- record holdings, intellectual property, information and data
- other publicly funded assets and resources
- contractual and statutory obligations
- image and reputation.

During 2017–18, the Archives proactively engaged internal auditors to review the currency and strength of its fraud control framework. The Archives recognised the changes to its fraud-related risks resulting from the significant changes to the Archives' internal structure, revenue collection and digital transition, and from the increase in procurement and IT-related recruitment. The revised fraud risk register, policy and plan, developed in accordance with the Archives' current risk-management framework, will strengthen the Archives' fraud-prevention strategy. Fraud detection, investigation and reporting strategies continue to effectively manage the low number of reported incidents of fraud at the Archives.

In 2017–18 there were eight instances of fraud reported via the Archives' fraud-reporting telephone and email hotlines, or through written correspondence to the Fraud Control Officer. None of these allegations of fraud related to the business of the National Archives of Australia or its staff. Instead, they related to a commercial business Archives.com.

## **Information governance**

During 2017–18 the Archives continued updating and improving its information governance strategies, policies and processes. The position of the Chief Information Governance Officer (CIGO) was created in July 2017, a new role that the Archives' Digital Continuity 2020 Policy required all agencies to have in place as one of the policy's targets. The CIGO role is responsible for continuous improvement of agency-wide information governance processes and fostering a culture of accountable and business-focused management of the Archives' information assets.

In 2017–18 the Archives successfully achieved the Digital Continuity 2020 Policy requirements for 2017, including transforming most paper-based processes to digital; establishing digital authorisations and workflows for decision making; and ensuring that all business systems which contain high-value and long-term information assets meet minimum metadata standards.

## **Executive Board**

The Director-General and assistant directors-general form the Executive Board, which has oversight of the Archives' performance, accountability, and strategic and policy framework. Each assistant director-general is responsible for a branch of the Archives. The members of the Executive Board and their responsibilities at 30 June 2018 were:

- David Fricker, Director-General – responsible for the overall management of the Archives and the proper governance of its operations, programs and strategic directions
- Yaso Arumugam, Chief Information Officer, Information and Technology – primarily responsible for the Archives' transformation to a contemporary digital archive; supports the Archives in reaching its strategic goals through services, technology, infrastructure, software and governance of its information assets
- Teresa Ward, Assistant Director-General (until 15 May 2018), and Linda Macfarlane, A/g Assistant Director-General, Collection Management – primarily responsible for arranging the transfer of nationally significant records from Commonwealth entities into the Archives; controlling, storing, and preserving the Archives' collection; servicing internal and external requests to access the collection; providing digitisation services to the public and agencies; researching and implementing best-practice digital archiving; and setting



the standards for Australian Government entities' digital information management and assisting agencies by developing tools and guidance to support Digital Continuity 2020 Policy implementation

- Louise Doyle, Assistant Director-General, Access and Public Engagement – primarily responsible for enabling and delivering access to the collection online and through reading rooms, reference services, education and public programs, exhibitions, events, publishing, marketing and media activities, and corporate events. Other activities include access examination, communications, media liaison and partnership development
- Helen Walker, A/g Assistant Director-General, Corporate Services – primarily responsible for oversight of the efficient, effective and ethical management of the Archives' resources in accordance with the Commonwealth's financial, procurement, employment, security and property legislative and policy frameworks. Also supports the Archives to obtain the workforce, facilities and capability it requires to deliver its outcomes, strategic priorities and to remain sustainable.

## **Committees**

The Archives' key governance activities are supported by six committees that contribute to effective and accountable governance across the Archives:

- Audit and Risk Committee
- Finance Committee (part of Executive Board)
- Information Governance Committee (part of Executive Board)
- Human Resources Management Committee
- Project Management Committee
- Workplace Relations Committee.

## **Audit and Risk Committee**

The Archives' Audit and Risk Committee includes internal and external members and observers. The committee aims to:

- enhance the Archives' control framework
- improve the objectivity and reliability of externally published financial information
- assist the Archives to comply with all legislation and other obligations
- monitor the risk-management framework and associated procedures for effective identification and management of the Archives' strategic and financial risks (including fraud)
- provide assurance to the Director-General that the Archives' responsibilities under the PGPA Act are met, risks are being identified and mitigating action is taken.

At 30 June 2018, committee membership comprised the Assistant Director-General, Collection Management and two external members – Mr Geoff Knuckey (Chair) and Dr Margo Wade (Deputy Chair).

The committee meets four times a year and a fifth time to discuss the annual financial statements.

## **Finance Committee**

The Archives' Finance Committee oversees the financial performance of the Archives, including financial sustainability over the forward estimates, the capital budget, new policy proposals, new initiatives/grants/sponsorship (both internal and external) and the management of the property portfolio.

It reports to the Executive Board. The committee membership comprises the Director-General and four assistant directors-general and nominally meets on a monthly basis.

The committee met 11 times during 2017–18.

## **Information Governance Committee**

The Executive Board has formal responsibility for oversight of information governance in the Archives, and performs the role of the Information Governance Committee. The committee provides a mechanism for developing and maintaining a consistent and systematic approach to managing information at the Archives to ensure that our policy, corporate and information governance framework adequately guides decision-making and supports the values and culture of the Archives.

In 2017–18 the committee met quarterly and considered reports submitted by the Chief Information Governance Officer on progress towards achieving the targets of the Digital Continuity 2020 Policy, introduction of digital authorisations and workflows, conversion of paper-based business processes to digital, and updates to information governance frameworks, policies and systems.

## **Human Resources Management Committee**

The Human Resources Management Committee is the primary people-governance committee in the Archives. The committee's terms of reference are to oversee the organisational delivery of the strategic people management activities of the Archives and to advise the Director-General.

The committee met monthly throughout the year to consider submissions including, but not limited to, the staffing establishment, professional development, the progress of Enterprise Agreement negotiations, workforce planning, diversity and a range of monthly and quarterly staffing reports. The committee oversees the implementation of outcomes from changes and Australian Public Service people management initiatives.

As at 30 June 2018 committee membership comprised the Director-General (Chair), Assistant Director-General, Corporate Services, Assistant Director-General, Access and Public Engagement and the Director, People Management and Development. The Chief Financial Officer is also in attendance acting in an advisory capacity.

## **Project Management Committee**

The Project Management Committee oversees, and reports to the Executive Board on, the management of significant or complex projects being undertaken by the Archives.

Projects are referred to the Project Management Committee by the Executive Board based on the assessment of project complexity. Each project put forward to the Executive Board will have completed a projected complexity rating. Typically projects referred to the committee may have one or more of the following attributes:

- a high interdependency across branches, or with external agencies or companies
- a significant financial and reputational risk
- a high level of complexity.

As at 30 June 2018 the committee membership comprised the Chief Information Officer, Regional Manager Central, and an external SES representative, Assistant Secretary, Department of Health. An advisor from the Archives Corporate Governance section also attended. During 2017–18 the committee met monthly.

## **Workplace Relations Committee**

The Workplace Relations Committee (WRC) is the Archives' peak consultative body consisting of management, union and elected employee representatives. The WRC supports, but does not replace, existing management and union decision-making processes. The WRC also functions as the National Workplace Health and Safety Committee for the Archives as outlined in the Archives Work Health and Safety Management Arrangements for the purposes of the *Work Health and Safety Act 2011*. The WRC is required to meet a minimum of four times per year.

Consultation between employees and management occurs at the organisational level through the WRC. This committee considers national workplace matters of significance to employees and the views of employees on workplace matters that affect them, and monitors the operation of the Enterprise Agreement.

Standing items on the WRC agenda are:

- workplace health and safety reporting
- workplace diversity and harassment reporting
- individual flexibility agreements reporting
- property management – office relocations/restructures
- shared and common services
- review and endorsement of employment-related policies
- items raised by committee members and/or employees.

The end of 2017 saw the end of a two-year term for the WRC which triggered a committee nomination process. A new committee was established comprising three employee-elected representatives (two based in Canberra and one in a state office, with one state office representative still to be appointed), two management-appointed representatives and a representative from the Community and Public Sector Union.

The committee met four times during 2017–18.

## Ethical standards

In the 2017 APS Employee Census, 88 per cent of employees indicated that colleagues in their immediate workgroup acted in accordance with the APS Values in their everyday work and 90 per cent indicated that their supervisors did as well. This data reflects the Archives' commitment to creating and promoting a workplace with high ethical standards. During 2017–18, the Archives made the following ethical-based training mandatory for all employees: Respectful Workplaces and Protective Security. The Archives also has a comprehensive risk-management and fraud-control plan that mitigates potential unethical behaviour.

There were five Public Interest Disclosures that were internally allocated in 2017–18 and seven privacy breaches were reported. Regular training and information on obligations under the *Public Service Act* are provided to staff.

During 2017–18 one confirmed breach of the Australian Public Service Code of Conduct was determined. There were no requests to review a human resource decision and no appeal to external authorities was made.

## Senior Executive Service remuneration

The Archives determines SES remuneration with regard to the annual APS Remuneration Survey. Base salaries are negotiated between the Director-General and individual SES employees under subsection 24(1) determinations. Each SES employee develops an individual work plan with the Director-General and is assessed against a five-scale rating system. No bonuses are payable to SES employees.

A range of non-salary benefits is available to SES employees, subject to the nature of work undertaken and approval arrangements. Benefits may include provision of laptop computers, tablets, mobile devices, airline lounge membership and support for professional development.

## External scrutiny

The Archives is subject to scrutiny by the Administrative Appeals Tribunal, the Federal Court of Australia, the Auditor-General, the Commonwealth Ombudsman, the Privacy Commissioner, the Australian Information Commissioner and parliamentary committees.

### Administrative Appeals Tribunal

The Archives makes decisions on access to Commonwealth records under the Archives Act. People who are dissatisfied with a decision of the Archives can, in certain circumstances, seek a review from the Administrative Appeals Tribunal (AAT). The process involves an applicant lodging an application for review with the AAT in connection with applications made under the Archives Act for access to Commonwealth records.

In 2017–18, the AAT received four appeals from members of the public who were dissatisfied with the decision of the Archives. One application on a deemed refusal was withdrawn once the applicant was granted access. Twenty-four appeals were carried over from the previous financial year. As at 30 June 2018, 27 appeals remained before the AAT.

## Federal Court of Australia

There was one case on matters relating to the Archives before the Federal Court of Australia in 2017–18: *Jennifer Hocking v Director-General, National Archives of Australia*. The case is ongoing.

## Australian National Audit Office

In 2017–18, the Archives was the subject of the Australian National Audit Office (ANAO) Performance Audit on Cyber Resilience along with the Department of the Treasury and Geoscience Australia. The audit examined the Archives' arrangements for managing cyber risks, reporting against cybersecurity deliverables, and the Archives' culture of cyber resilience. The ANAO concluded that the Archives, although internally resilient, was not fully compliant with the cybersecurity strategies as issued by the Australian Signals Directorate. The Archives has committed to establishing a plan and timeframe to achieve ongoing compliance. The audit report was tabled in parliament on 28 June 2018 and is published on the ANAO website.

## Commonwealth Ombudsman

During 2017–18 the Commonwealth Ombudsman investigated one complaint about the Archives' services. At the end of the financial year, the complaint was still under consideration.

## Privacy Commissioner

The Privacy Commissioner made no reports under section 30 of the *Privacy Act 1988* concerning actions taken by, or practices of, the Archives during 2017–18.

## Parliamentary committees

The Archives made three submissions to parliamentary committees in 2017–18. These were to: the Joint Standing Committee on the National Capital and External Territories Inquiry into Canberra's National Institutions; the Joint Committee of Public Accounts and Audit on the matters raised in the ANAO Report No. 19 (2017–18) Australian Government Procurement Contract Reporting; and the Foreign Affairs, Defence and Trade References Committee Inquiry into the United Nations Sustainable Development Goals.

## Freedom of information

In 2017–18 the Archives received five freedom of information (FOI) requests, with four decisions finalised within required timeframes.

## Information Publication Scheme

Entities subject to the *Freedom of Information Act 1982* (FOI Act) are required to publish information to the public as part of the Information Publication Scheme (IPS). This requirement is in Part II of the FOI Act and has replaced the former requirement to publish a section 8 statement in an annual report. Each entity must display on its website a plan showing what information it publishes in accordance with the IPS requirements.



The Archives complies with the requirement in Part II of the *Freedom of Information Act 1982* (FOI Act) to publish information to the public as part of the Information Publication Scheme (IPS). A plan outlining what information is published in accordance with the IPS requirements is on the Archives website [naa.gov.au/about-us/organisation/accountability/foi/ips.aspx](http://naa.gov.au/about-us/organisation/accountability/foi/ips.aspx).

## Office of the Australian Information Commissioner

The Archives was not the subject of any investigations by the Australian Information Commissioner during 2017–18.

## Legal Services and expenditure

The Legal Services Directions 2017, issued by the Attorney-General under the *Judiciary Act 1903*, requires Australian Government agencies to ensure that legal services expenditure is appropriately recorded and monitored. The Archives' total expenditure on external legal services for 2017–18 was \$907,982.43 (GST exclusive).

# Human resource management

Human resource management continues to play a key role in enabling the Archives to deliver its strategic and business objectives. This is governed largely through the oversight of the Human Resource Management Committee and advice from the Workplace Relations Committee.

The 2017–18 year represented Year 1 of the Strategic Workforce Plan 2016–20 roadmap and significant progress has been made in rebalancing and reshaping the capacity and capability of the workforce. The major work undertaken was an assessment of the agency's culture (current and future), the development of a culture principles statement (The Archives Way), and the development of a Culture Action Plan. These aim to slowly move the organisation toward achieving more innovative ways of working, improving leadership and management at all levels, and directing effort towards being the information management leader in the APS.

The 2017–18 year also saw a digital literacy project begin. Phase 1 delivered a framework which will enable assessment of the digital skills, competency and proficiencies required across a range of roles in the Archives. Phase 2 of the project will commence in 2018–19.

The Archives 2017 APS Employee Census results indicate a number of areas of workforce strength including high employment engagement, satisfaction with work–life balance and general belief that employees are qualified, experienced and committed to undertake their work.

## Workforce planning, staff turnover and retention

The Archives continues to trend down in core workforce size in response to financial constraints and a continual review of the efficiency and effectiveness of business processes. Overall staffing levels contracted during 2017–18, however, workforce productivity and output benefit from the continued employment of non-ongoing and casual staff to provide flexibility and agility during times of peak workload or the significant absence of core staff.

A disciplined approach to resource management has meant that, to date, reductions in staffing have been met largely through retirements and other elements of natural attrition.

The key Archives' workforce demographic data as of 30 June 2018 is provided at tables 5–9. In summary, the Archives workforce:

- is predominantly female (59.2 per cent)
- uses flexibility to achieve its objectives with both part-time (18.8 per cent) and temporary (18.6 per cent) workers
- is largely Canberra-based (68.6 per cent) with a geographic footprint in every capital city (refer Table 7)
- has a classification profile that sits within the parameters of the optimal APS management structures.

The separation rate for ongoing employees in 2017–18 for the Archives was 6.8 per cent. This represents approximately half the 2016–17 rate of 12.4 per cent. This includes all separations, such as terminations, redundancies, resignations, retirements and movements to other Australian Government entities. Most separations in 2017–18 were the result of resignation, retirement or permanent transfer to another Australian Government entity. The rate was higher in 2016–17, due mostly to the small program of voluntary redundancies completed during that year.

The 2017–18 Portfolio Budget Statement provided an estimated Average Staffing Level (ASL) of 375 at the beginning of the financial year. Owing to the timing of recruitment processes, the actual ASL for the Archives in 2017–18 was 338.5.

**Table 5** Classification of ongoing staff by gender and attendance type, 30 June 2018

Classification	Ongoing headcount									
	Full-time		Part-time		Male		Female		Total	
	2016–17	2017–18	2016–17	2017–18	2016–17	2017–18	2016–17	2017–18	2016–17	2017–18
APS 1	7	6	0	0	6	6	1	0	7	6
APS 2	10	14	0	0	7	6	3	8	10	14
APS 3	20	12	2	5	11	9	11	8	22	17
APS 4	38	49	14	13	19	24	33	38	52	62
APS 5	51	45	11	15	24	23	38	37	62	60
APS 6	54	53	16	17	31	28	39	42	70	70
EL 1	49	52	10	14	19	25	40	41	59	66
EL 2	24	23	1	2	8	8	17	17	25	25
Public Affairs 2	1	1	0	0	0	0	1	1	1	1
Public Affairs 3	1	0	0	0	0	0	1	0	1	0
SES	4	7	0	0	0	0	4	7	4	7
Director-General	1	1	0	0	1	1	0	0	1	1
<b>Sub-total</b>	<b>260</b>	<b>263</b>	<b>54</b>	<b>66</b>	<b>126</b>	<b>130</b>	<b>188</b>	<b>199</b>	<b>314</b>	<b>329</b>

**Table 6** Classification of non-ongoing staff by gender and attendance type, 30 June 2018

Classification	Non-ongoing headcount									
	Full-time		Part-time		Male		Female		Total	
	2016-17	2017-18	2016-17	2017-18	2016-17	2017-18	2016-17	2017-18	2016-17	2017-18
APS 1	12	16	10	11	9	19	13	8	22	27
APS 2	7	2	13	10	4	3	16	9	20	12
APS 3	10	8	4	1	4	2	10	7	14	9
APS 4	13	10	5	3	9	7	9	6	18	13
APS 5	7	4	2	2	1	1	8	5	9	6
APS 6	7	2	2	5	3	3	6	4	9	7
EL 1	2	0	1	0	1	0	2	0	3	0
EL 2	1	0	0	1	1	0	0	1	1	1
Public Affairs 2	0	0	0	0	0	0	0	0	0	0
Public Affairs 3	0	0	0	0	0	0	0	0	0	0
SES	0	0	0	0	0	0	0	0	0	0
Director-General	0	0	0	0	0	0	0	0	0	0
<b>Sub-total</b>	<b>59</b>	<b>42</b>	<b>37</b>	<b>33</b>	<b>32</b>	<b>35</b>	<b>64</b>	<b>40</b>	<b>96</b>	<b>75</b>
<b>Total</b>	<b>319</b>	<b>305</b>	<b>91</b>	<b>99</b>	<b>158</b>	<b>165</b>	<b>252</b>	<b>239</b>	<b>410</b>	<b>404</b>

**Table 7** Staff distribution by office and employment status, 30 June 2018

Office	Ongoing		Non-ongoing		Total	
	2016-17	2017-18	2016-17	2017-18	2016-17	2017-18
Canberra	216	232	62	45	278	277
Sydney	48	45	20	13	68	58
Melbourne	25	25	3	3	28	28
Perth	9	9	7	11	16	20
Brisbane	7	8	2	0	9	8
Adelaide	3	4	1	2	4	6
Hobart	3	3	1	1	4	4
Darwin	3	3	0	0	3	3
<b>Total</b>	<b>314</b>	<b>329</b>	<b>96</b>	<b>75</b>	<b>410</b>	<b>404</b>

**Table 8** Classification of Aboriginal and Torres Strait Islander staff by employment status

Diversity grouping	Ongoing		Non-ongoing		Total	
	2016–17	2017–18	2016–17	2017–18	2016–17	2017–18
Aboriginal or Torres Strait Islander	3	2	1	1	4	3
<b>Total</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>1</b>	<b>4</b>	<b>3</b>

## Instruments of employment

During 2017–18 the National Archives of Australia Enterprise Agreement 2017–20 was the main employment instrument. A total of 398 employees were covered by the agreement and, of these, four Executive Level employees and one APS level employee had individual flexibility arrangements, covering remuneration, in place under clauses 10–15 of the new agreement. Five Senior Executive Service (SES) employees were covered by determinations under subsection 24(1) of the *Public Service Act 1999*, including one on a long-term absence. No employees in the Archives have the provision for performance pay.

**Table 9** Number of staff by classification and salary range, 30 June 2018

Classification	Salary range		Total
	Minimum (\$)	Maximum (\$)	
APS 1	45,422	49,974	33
APS 2	51,922	56,638	26
APS 3	58,340	63,215	26
APS 4	65,006	70,049	75
APS 5	71,672	78,132	66
APS 6	80,842	93,899	77
EL 1	100,009	117,008	66
EL 2	120,010	149,000	26
Public Affairs 2	83,217	92,421	1
Public Affairs 3	110,019	120,734	0
SES	-	-	7
Director-General	-	-	1
<b>Total</b>	-	-	<b>404</b>

## Learning and development

During 2017–18, the Archives provided a comprehensive suite of professional development programs aimed at building both individual and organisational capability. The corporate professional development calendar provided all staff with the opportunity to participate in

45 individual courses/seminars, with 624 training attendances recorded. Corporate training requirements and requests were determined through Individual Work Plan discussions, or identified within the Culture Action Plan, expertise development, or capability frameworks.

At the Executive Level, a subset of programs was included to focus on building leadership, management, and transitional change capabilities. These programs were identified to provide credit toward postgraduate qualifications. A total of six programs were offered in 2017–18, with nine attendances.

In 2017–18, professional development moved further into the digital age with a stronger focus on e-learning packages. A subscription to a more extensive training platform, Lynda, provided flexible development opportunities to the Archives' staff alongside the existing platform. The Archives' induction and five annual refresher courses are completed by all staff on the e-learning platform, and 220 staff members are using Lynda either in lieu of, or complementing, face-to-face training.

The Internal Development Education Awareness Seminars – IDEAS – are provided to support professional development by giving external speakers an opportunity to present on topical issues within, or relevant to, the Archives. A total of five presentations were delivered, ranging from digital transformation to delivering better services. The forums create a platform for discussion with industry leaders and offer staff an insight into new developments that are of mutual professional interest.

Professional development supported a total of 15 employees in 2017–18 through financial and/or study leave as part of the Studies Assistance Program. Studies assistance has built organisational capabilities, as well as providing an incentive for staff to further their outside education.

## **Health and wellbeing**

The 2017–18 health and wellbeing calendar included several in-house and external programs to engage staff in healthier work practices. The calendar incorporated charity drives and awareness campaigns, physical health activities, mental health seminars and training programs, flu vaccinations, and inspirational speakers. Each state office received a subsidy in 2017–18 to spend on healthier work practices. The Archives was issued with an ACT Government Silver Status award in recognition of its health and wellbeing program.

## **Diversity**

### **External programs contributing to diversity**

The Archives continues to develop and deliver programs that contribute to diversity including:

- a national touring exhibition program with exhibitions such as *Facing Two Fronts: the fight for respect*; *From the Outback to Outer Space: Woomera 1955-1980*; *Indigenous Australians at War from the Boer War to the Present*; *Without Consent*; *A Place to Call Home? Migrant hostel memories* and *A Ticket to Paradise?*
- public programs such as the 1972 Larrakia petition program delivered during Reconciliation Week.



## **Presentations**

In April 2018, the Archives held an information session for students undertaking Certificate IV in Stolen Generation Family Research and Case Management. The Archives presented at a National Link-Up Leadership meeting coordinated by the Australian Institute of Aboriginal and Torres Strait Islander Studies (AIATSIS) and held at University House ANU. The presentation included information about the Archives, Indigenous records and service records, and how to search using NameSearch.

## **Indigenous activities**

In June 2018 the Archives donated a facsimile of the Larrakia petition to the Larrakia Nation Aboriginal Corporation. The Larrakia petition was signed in 1972 by Aboriginal people from all states and territories of mainland Australia calling for land rights and political representation. Descendants of Dolly Garinyi Batcho, who signed the petition, were present at the ceremony.

The Archives provided support to a veterans' organisation on Thursday Island to locate records relating to the Torres Strait Light Infantry Battalion. It was the only Indigenous Battalion ever formed in Australia's military history. The Queensland Office holds records that have been used to identify people and families who took part in military service.

As usual, the Aboriginal Advisory Group met twice during the year, once in Darwin and once in Alice Springs. The group advises and assists the Archives in implementing, managing and reviewing the Memorandum of Understanding for access to open-period Commonwealth records by Northern Territory Aboriginal people.

Taking advantage of the relocation to Old Parliament House (OPH), Public Programs staff ran a 2018 Reconciliation Week program for other OPH tenants on the 1972 Larrakia petition facsimile and correspondence relating to the Australian Aborigines' League petition of 1937. Staff from the Australian Indigenous Doctors' Association, Reconciliation Australia and AIATSIS were invited to participate in a guided viewing of the documents and discussion regarding their significance and role in the land rights movement. A similar program was offered to Archives staff at OPH and the National Archives Preservation Facility.

## **Visits**

In March 2018, a group of seven women participating in the Yinaar Healing camp – organised by the Wellington Aboriginal Corporation Health Service – visited the Canberra reading room to view World War I service records and learn about the services the Archives provides. The group ranged in age from their early 20s through to their 90s, with one member viewing her father's World War I service record.

## **Aboriginal and Torres Strait Islander Strategy/Reconciliation Action Plan**

The Aboriginal and Torres Strait Islander Strategy represents the Archives' commitment to:

- welcoming, engaging and collaborating with Aboriginal and Torres Strait Islander people
- providing culturally appropriate services and programs
- demonstrating best practice in the management of collection material about Aboriginal and Torres Strait Islander people.

The Aboriginal and Torres Strait Islander Strategy is relevant to many of the functions, policies and activities of the Archives.

The Reconciliation Action Plan (RAP) Working Group has actively engaged in the promotion and implementation of RAP targets aimed at building greater understanding of Aboriginal and Torres Strait Islander peoples, culture and histories. Connections made through the Archives' collection bring a unique offering in building our nation's reconciliation story. The Working Group consists of dedicated representatives from across different work areas and geographical locations within Australia and Aboriginal and Torres Strait Islander staff and stakeholders. During 2017–18, the RAP Working Group supported specific activities during NAIDOC Week and National Reconciliation Week. NAIDOC Week events included a daily bulletin-style email sent to all staff with a range of information and resources relating to Aboriginal and Torres Strait Islander languages, and tours of the galleries in the National Office.

## **Diversity program and statistics**

Diversity of thought, background, experience and contribution is valued at the Archives. Our goal is to reflect the diverse community we serve, and to embrace our employees' diverse skills, perspectives and experiences to improve service delivery to the community. In 2017–18, we launched the Archives Workplace Diversity Program 2017–20.

The objectives are to:

- raise awareness of workplace diversity in the Archives
- attract, recruit and retain employees from diverse backgrounds
- provide a workplace that is free from discrimination, promotes health and wellbeing at work, and recognises and values diversity
- embed workplace diversity principles into management and work team practices
- ensure the Archives' collection, which is reflective of Australia's cultural diversity, is accessible to all
- comply with government and legislative requirements.

The program sets an Indigenous employment target of 3 per cent. At 30 June 2018, less than 1 per cent of Archives employees identified as Indigenous (see Table 10). All employees are continuing to build cultural capability through mandatory training and extended online learning through the Core Indigenous Awareness training developed by AIATSIS as well as continuing to look for innovative ways to increase the overall Indigenous workforce participation in the Archives.

As at 30 June 2018, female employees represented 59.2 per cent of the Archives workforce. Unlike other agencies where a female majority may be confined to a particular function or classification, higher female representation remains consistent across all classifications at the Archives. Further, as seniority increases so does representation of females. For example, all assistant directors-general were female as at 30 June 2018.

The 2017 APS Employee Census responses indicate that approximately 90 per cent of all employees have a favourable view of the Archives embracing inclusive work practices to support diversity in the workplace. Training programs such as Managing Mental Health Risks at Work, Diversity and Discrimination, and Building Disability Confidence are available to employees online.

The Archives' progress in improving the representation of people living with a disability has risen slightly in terms of headcount over the last two years as highlighted in Table 10 below. Substantial progress continues to be stifled through limited entry pathways, non-self disclosure and difficulties in accommodating long-term reasonable adjustments.

The Workplace Diversity Program 2017–20 sets internal strategies and targets, some of which will take time to mature and realise benefits. This is particularly so in the area of recruitment, attraction and on-boarding. However, some success has been realised and it is hoped that better results will occur in 2018–19.

All Archives' employment policies, procedures and practices comply with the requirements of the *Disability Discrimination Act 1992*.

**Table 10** Diversity groupings 2016–18

Diversity grouping	Headcount		
	30 June 2016	30 June 2017	30 June 2018
Aboriginal or Torres Strait Islander	4	4	3
Person with a disability	11	13	13
Culturally and linguistically diverse	73	83	75
<b>Total</b>	<b>88</b>	<b>100</b>	<b>91</b>

### Changes to disability reporting in annual reports

Since 1994, non-corporate Commonwealth entities have reported on their performance as policy adviser, purchaser, employer, regulator and provider under the Commonwealth Disability Strategy. In 2007–08, reporting on the employer role was transferred to the Australian Public Service Commission's State of the Service reports and the *APS Statistical Bulletin*. These reports are available at [apsc.gov.au](http://apsc.gov.au). From 2010–11, entities have no longer been required to report on these functions.

The Commonwealth Disability Strategy has been overtaken by the National Disability Strategy 2010–20, which sets out a 10-year national policy framework to improve the lives of people with disability, promote participation and create a more inclusive society. A high-level, two-yearly report will track progress against each of the six outcome areas of the strategy and present a picture of how people with disability are faring. The first of these progress reports was published in 2014, and can be found at [dss.gov.au](http://dss.gov.au).

## ■ Asset management

The Archives manages diverse and complex assets including:

- the national archival collection
- intangible assets such as digital copies of collection items
- fit-out of office, storage, preservation and exhibition spaces

- building plant supporting critical infrastructure such as low-temperature storage vaults
- preservation equipment
- high-quality digital imaging equipment and cameras
- exhibition infrastructure
- information technology infrastructure supporting corporate and archival systems.

The Archives' asset acquisitions and replacements are managed through the five-year Capital Asset Plan. The Executive Board provides governance in relation to capital expenditure based on this plan.

## **Asset management policy**

The Archives applies best-practice asset management principles to its facilities and associated assets. It continues to progressively review and refine its asset management policies and practices.

## **Heritage assets**

The heritage and cultural assets held by the Archives form the national archival collection.

The Archives is responsible for caring for the most significant records of the Australian Government. Most of these records were received, created or kept by government agencies. The national archival collection consists of tens of millions of items, and includes records about immigration, military service, transport, Indigenous Australians, science and the environment, and much more.

Curatorial and preservation policies for heritage and cultural assets can be accessed at: [naa.gov.au/about-us/organisation/accountability/operations-and-preservation/index.aspx](http://naa.gov.au/about-us/organisation/accountability/operations-and-preservation/index.aspx).

## **Capital works**

In 2017–18, the Archives commenced significant capital works projects to accommodate the organisation's future operational needs.

This work included:

- planning for relocation from East Victoria Park, Western Australia, into a new purpose-built repository facility in the suburb of Belmont accommodating 17 kilometres of storage shelving. New front-of-house public engagement accommodation in the Perth Central Business District will complement the East Victoria Park relocation – due for completion in late 2018
- the construction of an Information Communications and Technology (ICT) Data Recovery Centre at the Archives office and repository at Chester Hill in New South Wales
- the Mitchell (Sandford Street) storage facility refurbishment in the ACT. This significant refurbishment project will provide 75 kilometres of storage shelving and is due for completion in June 2019.

# Purchasing

## **Procurement**

The Archives' approach to procurement of goods and services, including consultancies, is consistent with the requirements of the Commonwealth Procurement Rules. These rules are applied to the Archives' procurement activities through accountable authority instructions, and supporting guidelines and templates. The Archives continually reviews and improves its procurement processes to ensure value for money is achieved in accordance with the Commonwealth Procurement Framework.

## **Consultants**

During 2017–18, 24 new consultancy contracts were entered into, involving a total actual expenditure of \$756,587 (including GST). In addition, six ongoing consultancy contracts were active during 2017–18. The total actual expenditure on ongoing consultancies was \$279,385 (including GST).

Typical reasons for engaging consultancy services include a requirement for specialist or professional skills or where independent research or assessment is required. Consultants are engaged in accordance with the Commonwealth Procurement Rules and the selection process may have involved an open tender, including the use of an existing Australian Government panel arrangement, a prequalified tender from the legal services multi-use list or via a limited tender process.

Annual reports contain information about actual expenditure on contracts for consultancies. Information on the value of contracts and consultancies is available on the AusTender website, [tenders.gov.au](http://tenders.gov.au).

## **Australian National Audit Office access clauses**

No contracts of \$100,000 or more (including GST) were let during 2017–18 that did not provide for the Auditor-General to have access to the contractor's premises.

## **Exempt contracts**

During 2017–18 the Archives had no exempt contracts.

## **Procurement initiatives to support small business**

The Archives supports small business participation in the Commonwealth Government procurement market and exceeds the Australian Government's target of sourcing at least 10 per cent of its purchases, by value, from small and medium enterprises (SMEs). The Archives' statistics for procuring goods and services from SMEs are published on the Department of Finance's website at [finance.gov.au/procurement/statistics-on-commonwealth-purchasing-contracts/](http://finance.gov.au/procurement/statistics-on-commonwealth-purchasing-contracts/).



The Archives recognises the importance of ensuring that small businesses are paid on time. The results of the survey of Australian Government payments to small business are available on the Treasury's website [treasury.gov.au](https://treasury.gov.au).

The Archives' support for small business includes:

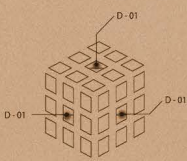
- using the Commonwealth Contracting Suite for low-risk procurements
- communicating in clear, simple language and presenting information in an accessible format
- using electronic payment systems, including the use of credit cards, to ensure small and medium enterprises are paid on time.

The Archives has incorporated the requirements of the Indigenous Procurement Policy into its procurement practice and contributes to the Attorney-General's portfolio targets for purchasing from Indigenous enterprises.





FINANCIAL  
STATEMENTS



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68%

25%



## ■ Financial statements and supporting notes for the year ending 30 June 2018

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## INDEPENDENT AUDITOR'S REPORT

### To the Attorney-General

#### Opinion

In my opinion, the financial statements of the National Archives of Australia for the year ended 30 June 2018:

- (a) comply with Australian Accounting Standards – Reduced Disclosure Requirements and the *Public Governance, Performance and Accountability (Financial Reporting) Rule 2015*; and
- (b) present fairly the financial position of the National Archives of Australia as at 30 June 2018 and its financial performance and cash flows for the year then ended.

The financial statements of the National Archives of Australia, which I have audited, comprise the following statements as at 30 June 2018 and for the year then ended:

- Statement by the Director-General and Chief Financial Officer;
- Statement of Comprehensive Income;
- Statement of Financial Position;
- Statement of Changes in Equity;
- Cash Flow Statement;
- Notes to the financial statements, comprising a summary of significant accounting policies and other explanatory information.

#### Basis for Opinion

I conducted my audit in accordance with the Australian National Audit Office Auditing Standards, which incorporate the Australian Auditing Standards. My responsibilities under those standards are further described in the *Auditor's Responsibilities for the Audit of the Financial Statements* section of my report. I am independent of the National Archives of Australia in accordance with the relevant ethical requirements for financial statement audits conducted by the Auditor-General and his delegates. These include the relevant independence requirements of the Accounting Professional and Ethical Standards Board's APES 110 *Code of Ethics for Professional Accountants* (the Code) to the extent that they are not in conflict with the *Auditor-General Act 1997*. I have also fulfilled my other responsibilities in accordance with the Code. I believe that the audit evidence I have obtained is sufficient and appropriate to provide a basis for my opinion.

#### Accountable Authority's Responsibility for the Financial Statements

As the Accountable Authority of the National Archives of Australia the Director-General is responsible under the *Public Governance, Performance and Accountability Act 2013* for the preparation and fair presentation of annual financial statements that comply with Australian Accounting Standards – Reduced Disclosure Requirements and the rules made under that Act. The Director-General is also responsible for such internal control as the Director-General determines is necessary to enable the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

In preparing the financial statements, the Director-General is responsible for assessing the National Archives of Australia's ability to continue as a going concern, taking into account whether the entity's operations will cease as a result of an administrative restructure or for any other reason. The Director-General is also responsible for disclosing, as applicable, matters related to going concern and using the going concern basis of accounting unless the assessment indicates that it is not appropriate.

GPO Box 707 CANBERRA ACT 2601  
19 National Circuit BARTON ACT  
Phone (02) 6203 7300 Fax (02) 6203 7777



## **Auditor's Responsibilities for the Audit of the Financial Statements**

My objective is to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditor's report that includes my opinion. Reasonable assurance is a high level of assurance, but is not a guarantee that an audit conducted in accordance with the Australian National Audit Office Auditing Standards will always detect a material misstatement when it exists. Misstatements can arise from fraud or error and are considered material if, individually or in the aggregate, they could reasonably be expected to influence the economic decisions of users taken on the basis of the financial statements.

As part of an audit in accordance with the Australian National Audit Office Auditing Standards, I exercise professional judgement and maintain professional scepticism throughout the audit. I also:

- identify and assess the risks of material misstatement of the financial statements, whether due to fraud or error, design and perform audit procedures responsive to those risks, and obtain audit evidence that is sufficient and appropriate to provide a basis for my opinion. The risk of not detecting a material misstatement resulting from fraud is higher than for one resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations, or the override of internal control;
- obtain an understanding of internal control relevant to the audit in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control;
- evaluate the appropriateness of accounting policies used and the reasonableness of accounting estimates and related disclosures made by the Accountable Authority;
- conclude on the appropriateness of the Accountable Authority's use of the going concern basis of accounting and, based on the audit evidence obtained, whether a material uncertainty exists related to events or conditions that may cast significant doubt on the entity's ability to continue as a going concern. If I conclude that a material uncertainty exists, I am required to draw attention in my auditor's report to the related disclosures in the financial statements or, if such disclosures are inadequate, to modify my opinion. My conclusions are based on the audit evidence obtained up to the date of my auditor's report. However, future events or conditions may cause the entity to cease to continue as a going concern; and
- evaluate the overall presentation, structure and content of the financial statements, including the disclosures, and whether the financial statements represent the underlying transactions and events in a manner that achieves fair presentation.

I communicate with those charged with governance regarding, among other matters, the planned scope and timing of the audit and significant audit findings, including any significant deficiencies in internal control that I identify during my audit.

Australian National Audit Office



Serena Buchanan  
Senior Executive Director

Delegate of the Auditor-General


Canberra  
31 August 2018

## National Archives of Australia

### STATEMENT BY THE DIRECTOR-GENERAL AND CHIEF FINANCIAL OFFICER


In our opinion, the attached financial statements for the period ended 30 June 2018 comply with subsection 42(2) of the *Public Governance, Performance and Accountability Act 2013* (PGPA Act), and are based on properly maintained financial records as per subsection 41(2) of the PGPA Act.

In our opinion, at the date of this statement, there are reasonable grounds to believe that the National Archives of Australia will be able to pay its debts as and when they fall due.



David Fricker  
Director-General

31 August 2018



Jason McGuire  
Chief Financial Officer

31 August 2018

**Statement of Comprehensive Income**  
for the period ended 30 June 2018

		2018 \$'000	2017 \$'000	Original Budget 2018 \$'000
	<b>Notes</b>			
<b>NET COST OF SERVICES</b>				
<b>Expenses</b>				
Employee benefits	1.1A	33 400	35 867	34 488
Supplier	1.1B	34 358	34 604	35 792
Depreciation and amortisation	2.2	15 240	17 266	12 183
Grants		20	20	-
Finance costs		186	235	37
Write-down and impairment of assets	1.1C	318	1 523	-
Losses from asset sales		-	-	500
Other expenses		-	86	-
<b>Total expenses</b>		<b>83 522</b>	<b>89 601</b>	<b>83 000</b>
<b>Own-source income</b>				
<b>Own-source revenue</b>				
Sale of goods and rendering of services	1.2A	2 581	2 370	1 720
Rental income	1.2B	120	206	90
Other revenue	1.2C	4 967	11 572	10 000
<b>Total own-source revenue</b>		<b>7 668</b>	<b>14 148</b>	<b>11 810</b>
<b>Gains</b>				
Other gains		-	1	75
Gains from asset sales		-	29	-
<b>Total gains</b>		<b>-</b>	<b>30</b>	<b>75</b>
<b>Total own-source income</b>		<b>7 668</b>	<b>14 178</b>	<b>11 885</b>
<b>Net cost of services</b>		<b>75 854</b>	<b>75 423</b>	<b>71 115</b>
Revenue from Government Appropriations	3.1A	63 819	71 023	63 819
<b>Surplus/(Deficit)</b>		<b>(12 035)</b>	<b>(4 400)</b>	<b>(7 296)</b>
<b>OTHER COMPREHENSIVE INCOME</b>				
<b>Items not subject to subsequent reclassification to net cost of services</b>				
Revaluation increment/(decrement)		27 690	(8 168)	-
<b>Total other comprehensive income</b>		<b>27 690</b>	<b>(8 168)</b>	<b>-</b>
<b>Total comprehensive income/(loss)</b>		<b>15 655</b>	<b>(12 568)</b>	<b>(7 296)</b>
<b>Total comprehensive income/(loss) attributable to the Australian Government</b>		<b>15 655</b>	<b>(12 568)</b>	<b>(7 296)</b>

The above statement should be read in conjunction with the accompanying notes.

This statement also represents the results for Outcome 1 as the Archives only has one outcome. Outcome 1 is described at the Overview note.

## Statement of Comprehensive Income

for the period ended 30 June 2018

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### Budget Variances Commentary

The original budget is as presented in the 2017-18 Portfolio Budget Statements and provided for comparison against the final financial outcome in accordance with Australian Accounting Standards. The budget is not audited and does not reflect changes to the budget announced by the Commonwealth Government in the Mid-Year Economic and Fiscal Outlook.

Explanation of major variances are provided below. Variances are considered major where the variance between budget and actual is greater than 10% and/or \$500,000. An item below this threshold may also be included where an explanation is considered important for the reader's understanding.

### Statement of Comprehensive Income

#### Employee benefits

The variance to the original budget is due to positions being vacant during the year as a result of staff separating from the Archives and the delay in filling vacant positions throughout the year. The average staffing level in 2017-18 was 339 compared to 375 estimated in the original budget.

#### Depreciation and amortisation

The variance to the budget is due to the revaluation of Infrastructure, Plant and Equipment Assets in 2015-16 which increased the value of the assets by \$3.6 million which was not reflected in the original budget.

#### Finance cost

The variance to the budget is due to an increase to the make good provision for properties leased by the Archives at the end of June 2016 as a result of an independent assessment, which was not anticipated in the original budget.

#### Loss from asset sales

Loss from asset sales is primarily a result of changes in the status of Heritage and Cultural assets from Retain National Archives (RNA) to temporary records. Where assets become classified as temporary they are removed from the collection value and disposed. Though this strategy was taken into account in the original budget, it did not occur in 2017-18.

#### Sale of goods and rendering of services

The variance to the original budget is due to an increase in demand of digitisation services which was greater than that anticipated in the original budget.

#### Other Revenue

The variance to the original budget is mainly due to a reduced volume of physical records and a change in the valuation rate of Digital Audio Visual items.

## Statement of Financial Position

as at 30 June 2018

	Notes	2018 \$'000	2017 \$'000	Original Budget 2018 \$'000
<b>ASSETS</b>				
<b>Financial assets</b>				
Cash and cash equivalents	2.1A	277	166	199
Trade and other receivables	2.1B	24 608	22 830	19 240
Other financial assets		-	-	20
<b>Total financial assets</b>		<b>24 885</b>	<b>22 996</b>	<b>19 459</b>
<b>Non-financial assets</b>				
Property, plant and equipment	2.2	1 492 345	1 470 332	1 485 895
Intangibles	2.2	16 146	16 281	16 911
Inventories		140	92	142
Other non-financial assets - Prepayments		1 418	2 296	1 442
<b>Total non-financial assets</b>		<b>1 510 049</b>	<b>1 489 001</b>	<b>1 504 390</b>
<b>Total assets</b>		<b>1 534 934</b>	<b>1 511 997</b>	<b>1 523 849</b>
<b>LIABILITIES</b>				
<b>Payables</b>				
Suppliers	2.3A	7 548	4 151	6 371
Other payables	2.3B	977	1 405	1 111
<b>Total payables</b>		<b>8 525</b>	<b>5 556</b>	<b>7 482</b>
<b>Provisions</b>				
Employee provisions	4.1	11 326	11 146	12 355
Other provisions	2.4	7 033	7 532	9 680
<b>Total provisions</b>		<b>18 359</b>	<b>18 678</b>	<b>22 035</b>
<b>Total liabilities</b>		<b>26 884</b>	<b>24 234</b>	<b>29 517</b>
<b>Net assets</b>		<b>1 508 050</b>	<b>1 487 763</b>	<b>1 494 332</b>
<b>EQUITY</b>				
Contributed equity		46 701	42 070	46 701
Reserves		365 858	338 168	346 337
Retained surplus		1 095 491	1 107 525	1 101 294
<b>Total equity</b>		<b>1 508 050</b>	<b>1 487 763</b>	<b>1 494 332</b>

The above statement should be read in conjunction with the accompanying notes.

This statement also represents the results for Outcome 1 as the Archives only has one outcome. Outcome 1 is described at the Overview note.

### Budget Variances Commentary

The original budget is as presented in the 2017-18 Portfolio Budget Statements and provided for comparison against the final financial outcome in accordance with Australian Accounting Standards. The budget is not audited and does not reflect changes to the budget announced by the Commonwealth Government in the Mid-Year Economic and Fiscal Outlook.

Explanation of major variances are provided below. Variances are considered major where the variance between budget and actual is greater than 10% and/or \$500,000. An item below this threshold may also be included where an explanation is considered important for the reader's understanding.

#### Statement of Financial Position

##### Trade and other receivables

The value of trade and other receivables was greater than budget primarily due to lower Appropriation drawdown as a result of less than anticipated employee and supplier expenditure.

##### Property, plant and equipment

The value of property, plant and equipment was greater than budget due to an increased value of the Heritage and Cultural assets as a result of the revaluation in April 2018 offset by a reduction of collection intake value and appropriate withdrawals of collection items.

**Budget Variances Commentary (continued)****Suppliers**

The value of suppliers was higher than budget as a result of the straight-lining accounting treatment for the National Archives Preservation Facility (NAPF) lease, which was not fully reflected in the original budget.

**Employee provisions**

The value of employee provisions was less than budget due to positions being vacant during the year as a result of staff separating from the Archives and the delay in filling these positions throughout the year. The average staffing level in 2017-18 was 339 compared to 375 in the original budget.

**Provision for restoration**

The provision for restoration was less than budget due to a write-off of the balance provided for the East Block building, Queen Victoria Terrace, Parkes in Canberra as a result of its sale from the Government to a private owner and the cessation of the Archives' lease. A new lease will be entered into between the Archives and the new owner.



## Statement of Changes in Equity

for the period ended 30 June 2018

	Notes	2018 \$'000	2017 \$'000	Original Budget 2018 \$'000
<b>CONTRIBUTED EQUITY</b>				
<b>Opening balance</b>				
Balance carried forward from previous period		42 070	37 267	42 070
<b>Contributions by owners</b>				
Equity injection - appropriation		-	150	-
Departmental capital budget		4 631	4 653	4 631
<b>Closing balance as at 30 June</b>		<b>46 701</b>	<b>42 070</b>	<b>46 701</b>
<b>RETAINED EARNINGS</b>				
<b>Opening balance</b>				
Balance carried forward from previous period		1 107 524	1 111 924	1 108 590
<b>Comprehensive income</b>				
(Deficit) for the period		(12 035)	(4 400)	(7 296)
<b>Closing balance as at 30 June</b>		<b>1 095 491</b>	<b>1 107 524</b>	<b>1 101 294</b>
<b>ASSET REVALUATION RESERVE</b>				
<b>Opening balance</b>				
Balance carried forward from previous period		338 170	346 337	346 337
<b>Comprehensive income</b>				
Revaluation increment/(decrement)		27 690	(8 168)	-
<b>Closing balance as at 30 June</b>		<b>365 859</b>	<b>338 170</b>	<b>346 337</b>
<b>TOTAL EQUITY</b>				
<b>Opening balance</b>				
Balance carried forward from previous period		1 487 764	1 495 528	1 496 997
<b>Comprehensive income</b>				
Surplus/(Deficit) for the period		(12 035)	(4 400)	(7 296)
Revaluation increment/(decrement)		27 690	(8 168)	-
<b>Total comprehensive income</b>		<b>15 655</b>	<b>(12 568)</b>	<b>(7 296)</b>
<b>Transactions with owners</b>				
<b>Contributions by owners</b>				
Equity injection - appropriation			150	-
Departmental capital budget		4 631	4 653	4 631
<b>Total transactions with owners</b>		<b>4 631</b>	<b>4 803</b>	<b>4 631</b>
<b>Closing balance as at 30 June</b>		<b>1 508 050</b>	<b>1 487 764</b>	<b>1 494 332</b>

The above statement should be read in conjunction with the accompanying notes.

This statement also represents the results for Outcome 1 as the Archives only has one outcome. Outcome 1 is described at the Overview note.

### Significant Accounting Policy

#### Equity Injections

Amounts appropriated which are designated as 'equity injections' for a year (less any formal reductions) and Departmental Capital Budgets (DCBs) are recognised directly in contributed equity in that year.

### Budget Variances Commentary

The original budget is as presented in the 2017-18 Portfolio Budget Statements and provided for comparison against the final financial outcome in accordance with Australian Accounting Standards. The budget is not audited and does not reflect changes to the budget announced by the Commonwealth Government in the Mid-Year Economic and Fiscal Outlook.

Explanation of major variances are provided below. Variances are considered major where the variance between budget and actual is greater than 10% and/or \$500,000. An item below this threshold may also be included where an explanation is considered important for the reader's understanding.

#### Statement of Changes in Equity

##### Revaluation increment/(decrement)

The revaluation reserve movement was different to budget as it is difficult for the Archives to anticipate any collection impairment or movements due to revaluation of assets at the time the original budget was prepared.

##### Deficit for the period

The deficit for the period was greater than budget primarily due to lower than expected revenue from collection intake.

## Cash Flow Statement

for the period ended 30 June 2018

	Notes	2018 \$'000	2017 \$'000	Original Budget 2018 \$'000
<b>OPERATING ACTIVITIES</b>				
<b>Cash received</b>				
Appropriations		65 154	70 459	63 228
Sales of goods and rendering of services		2 429	3 325	1 810
Net GST received		3 144	3 490	3 142
Other		-	4	-
<b>Total cash received</b>		<b>70 727</b>	<b>77 278</b>	<b>68 180</b>
<b>Cash used</b>				
Employees		33 191	36 761	34 488
Suppliers		33 459	37 324	33 692
Grants		20	20	-
Section 74 receipts transferred to OPA		3 029	3 579	-
Other		10	95	-
<b>Total cash used</b>		<b>69 709</b>	<b>77 779</b>	<b>68 180</b>
<b>Net cash from / (used by) operating activities</b>		<b>1 018</b>	<b>( 501)</b>	<b>-</b>
<b>INVESTING ACTIVITIES</b>				
<b>Cash received</b>				
Proceeds from sales of property, plant and equipment		-	29	-
<b>Total cash received</b>		<b>-</b>	<b>29</b>	<b>-</b>
<b>Cash used</b>				
Purchase of property, plant and equipment		4 411	2 667	3 200
Purchase of intangibles		1 127	1 698	1 431
<b>Total cash used</b>		<b>5 538</b>	<b>4 365</b>	<b>4 631</b>
<b>Net cash used by investing activities</b>		<b>(5 538)</b>	<b>(4 336)</b>	<b>(4 631)</b>
<b>FINANCING ACTIVITIES</b>				
<b>Cash received</b>				
Contributed equity		4 631	4 803	4 631
<b>Total cash received</b>		<b>4 631</b>	<b>4 803</b>	<b>4 631</b>
<b>Net cash from financing activities</b>		<b>4 631</b>	<b>4 803</b>	<b>4 631</b>
<b>Net decrease in cash held</b>		<b>111</b>	<b>(33)</b>	<b>-</b>
Cash and cash equivalents at the beginning of the reporting period		166	199	199
<b>Cash and cash equivalents at the end of the reporting period</b>	2.1A	<b>277</b>	<b>166</b>	<b>199</b>

The above statement should be read in conjunction with the accompanying notes.

This statement also represents the results for Outcome 1 as the Archives only has one outcome. Outcome 1 is described at the Overview note.

### Budget Variances Commentary

The original budget is as presented in the 2017-18 Portfolio Budget Statements and provided for comparison against the final financial outcome in accordance with Australian Accounting Standards. The budget is not audited and does not reflect changes to the budget announced by the Commonwealth Government in the Mid-Year Economic and Fiscal Outlook.

Explanation of major variances are provided below. Variances are considered major where the variance between budget and actual is greater than 10% and/or \$500,000. An item below this threshold may also be included where an explanation is considered important for the reader's understanding.

## **Budget Variances Commentary (Continued)**

### **Cash Flow Statement**

#### Appropriations

The variance for appropriations received is due to the actuals including amounts relating to revenue from Section 74 of the PGPA Act which was not included in the budgeted amount.

#### Sales of goods and rendering of services

Sales of goods and rendering of services is more than budget due to new charges applied to Commonwealth agencies for digitisation services from October 2017.

#### Employees

Employees is less than budget due to positions being vacant during the year as a result of staff separating from the Archives and the delay in filling vacant positions throughout the year.

#### Purchase of property, plant and equipment

Cash used for purchase of property, plant and equipment is greater than budget due to earlier than expected commencement of the Digital Archive Storage project.

## Overview

### Objectives of the National Archives of Australia

The National Archives of Australia (the Archives) is an Australian Government controlled not-for-profit entity. The Archives' role is to preserve Australia's most valuable government records, encourage their use by the public and to promote good records management by Australian Government agencies.

The Archives is structured to meet the single outcome as follows:

Outcome 1: To promote the creation, management and preservation of authentic, reliable and useable Commonwealth records and to facilitate Australians' access to the archival resources of the Commonwealth.

The Archives Statement of Comprehensive Income and Statement of Financial Position represents the outcome statement as all Income, Expenditure, Assets and Liabilities related to Outcome 1 above.

The continued existence of the Archives in its present form and with its present program is dependent on Government policy and on continuing funding by Parliament for the Archives' administration and program.

### The Basis of Preparation

The financial statements are general purpose financial statements and are required by section 42 of the *Public Governance, Performance, and Accountability Act 2013*.

The financial statements have been prepared in accordance with:

- a) *Public Governance, Performance and Accountability (Financial Reporting) Rule 2015* (FRR) for reporting periods ending on or after 1 July 2017; and
- b) Australian Accounting Standards and Interpretations - Reduced Disclosure Requirements issued by the Australian Accounting Standards Board (AASB) that apply for the reporting period.

The financial statements have been prepared on an accrual basis and in accordance with the historical cost convention, except for certain assets and liabilities at fair value. Except where stated, no allowance is made for the effect of changing prices on the results or the financial position.

The financial statements are presented in Australian dollars and values are rounded to the nearest thousand dollars unless otherwise specified.

Unless an alternative treatment is specifically required by an accounting standard or the FRR, assets and liabilities are recognised in the statement of financial position, when and only when, it is probable that future economic benefits will flow to the entity or a future sacrifice of economic benefits will be required and the amounts of the assets or liabilities can be reliably measured. However, assets and liabilities arising under executory contracts are not recognised unless required by an accounting standard.

Unless alternative treatment is specifically required by an accounting standard, income and expenses are recognised in the Statement of Comprehensive Income, when and only when, the flow, consumption or loss of economic benefits has occurred and can be reliably measured.

### New Accounting Standards

All new/revised/amending standards and/or interpretations that were issued prior to the sign-off date and are applicable to the current reporting period did not have a material effect on the entity's financial statements.

#### Adoption of New Australian Accounting Standard Requirements

No accounting standard has been adopted earlier than the application date as stated in the standard.

#### Future Australian Accounting Standard Requirements

The following new standard was issued by the Australian Accounting Standards Board prior to the signing of the statement by the accountable authority and chief financial officer, which is expected to have a material impact on the Archives' financial statements for future reporting period(s):

Standard/ Interpretation	Application date for the Archives	Nature of impending change/s in accounting policy and likely impact on initial application
AASB 16: Leases	1 July 2019	<p>AASB 16 requires lessees to account for all leases under a single on-balance sheet model in a similar way to finance leases under AASB 117 Leases. The standard includes two recognition exemptions for lessees – leases of 'low-value' assets (e.g., personal computers) and short-term leases (i.e., leases with a lease term of 12 months or less).</p> <p>At the commencement date of a lease, a lessee will recognise a liability to make lease payments (i.e., the lease liability) and an asset representing the right to use the underlying asset during the lease term (i.e., the right-of-use asset). Lessees will be required to separately recognise the interest expense on the lease liability and the depreciation expense on the right-of-use asset.</p> <p>Lessees will be required to remeasure the lease liability upon the occurrence of certain events (e.g., a change in the lease term, a change in future lease payments resulting from a change in an index or rate used to determine those payments). The lessee will generally recognise the amount of the remeasurement of the lease liability as an adjustment to the right-of-use asset.</p> <p>Lessor accounting is substantially unchanged from today's accounting under AASB 117. Lessors will continue to classify all leases using the same classification principle as in AASB 117 and distinguish between two types of leases: operating and finance leases.</p> <p>The Archives is yet to fully assess the impact of this new accounting standard however the likely impact will be that most current operating leases of the Archives will be recorded on the balance sheet as a liability with a corresponding right of use asset.</p>

### Taxation

The Archives is exempt from all forms of taxation except Fringe Benefits Tax (FBT) and the Goods and Services Tax (GST).

Revenues, expenses and assets are recognised net of GST except:

- a) where the amount of GST incurred is not recoverable from the Australian Taxation Office; and
- b) for receivables and payables.

### Events After the Reporting Period

There was no subsequent event that had the potential to significantly affect the ongoing structure or financial activities of the Archives.

## Financial Performance

This section analyses the financial performance of the Archives for the year ended 30 June 2018.

### 1.1: Expenses

	2018 \$'000	2017 \$'000
<b>1.1A: Employee Benefits</b>		
Wages and salaries	23 578	24 982
Superannuation		
Defined contribution plans	1 899	1 846
Defined benefit plans	3 100	3 384
Leave and other entitlements	4 558	4 329
Separation and redundancies	100	1 170
Other	165	156
<b>Total employee benefits</b>	<b>33 400</b>	<b>35 866</b>
<b>1.1B: Suppliers</b>		
<b>Goods and services supplied or rendered</b>		
Office equipment and supplies	1 864	4 153
Communications	618	663
Professional services	3 696	6 078
Travel	891	815
Exhibitions and advertising	226	264
Employee related expenses	1 143	1 248
Utilities	690	1 164
Other property operating expenses	3 276	4 338
Other	948	407
<b>Total goods and services supplied or rendered</b>	<b>13 351</b>	<b>19 129</b>
Goods supplied	1 164	1 016
Services rendered	12 187	18 112
<b>Total goods and services supplied or rendered</b>	<b>13 351</b>	<b>19 129</b>
<b>Other suppliers</b>		
Operating lease rentals in connection with		
Minimum lease payments	17 819	11 998
Contingent rentals	3 036	3 098
Workers compensation expenses	152	379
<b>Total other suppliers</b>	<b>21 007</b>	<b>15 475</b>
<b>Total suppliers</b>	<b>34 358</b>	<b>34 604</b>

### Leasing commitments payable

The Archives in its capacity as lessee has agreements for office accommodation, which are effectively non-cancellable. Contingent rental payments are determined by market reviews and changes in the Consumer Price Index (CPI). Several of these agreements include options to extend the existing lease term.

### Commitments for lease payments in relation to non-cancellable

#### Operating leases are payable as follows:

Within 1 year	12 289	16 204
Between 1 to 5 years	36 468	38 942
More than 5 years	9 645	9 332
<b>Total operating lease commitments</b>	<b>58 402</b>	<b>64 478</b>

## 1.1: Expenses

### Significant Accounting Policy

Operating lease payments for leases with fixed increases are expensed on a straight-line basis which is representative of the pattern of benefits derived from the leased assets.

	2018	2017
	\$'000	\$'000
<b>1.1C: Write-Down and Impairment of Assets</b>		
Impairment of property, plant and equipment	318	301
Impairment of intangible assets	-	1 224
Bad and Doubtful Debts	-	( 2)
<b>Total write-down and impairment of assets</b>	<b>318</b>	<b>1 523</b>



## 1.2: Own-Source Revenue and gains

	2018 \$'000	2017 \$'000
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### Own-Source Revenue

#### 1.2A: Sale of Goods and Rendering of Services

Sale of goods	999	755
Rendering of services	1 582	1 615
<b>Total sale of goods and rendering of services</b>	<b>2 581</b>	<b>2 370</b>

#### Significant Accounting Policy

##### Sale of goods

Revenue from the sale of goods is recognised when:

- the risks and rewards of ownership have been transferred to the buyer;
- the entity retains no managerial involvement or effective control over the goods.

##### Rendering of services

Revenue from the rendering of services is recognised by reference to the stage of completion of contracts at the reporting date, which is determined by the proportion that costs incurred to date bear to the estimated total costs of the transaction.

#### 1.2B: Rental Income

Operating lease		
Rental income from sub-leases	120	206
<b>Total other revenue</b>	<b>120</b>	<b>206</b>

#### Subleasing rental income commitments receivable

The Archives in its capacity as lessor has sublease agreements for rental properties for fixed terms and amounts.

#### Commitments for sublease rental income receivables are as follows:

Within 1 year	63	200
Between 1 to 5 years	-	63
More than 5 years	-	-
<b>Total sublease rental income commitments</b>	<b>63</b>	<b>263</b>

#### 1.2C: Other Revenue

Resources received free of charge		
Acquisition of heritage and cultural assets at no cost	4 892	11 493
Remuneration of auditors	75	75
Other	-	4
<b>Total other revenue</b>	<b>4 967</b>	<b>11 572</b>

The National Archives collects official Commonwealth government records, and the personal records of governors-general, prime ministers, ministers, federal and High Court judges and some senior Commonwealth public servants. Our collection grows through the transfer of records from the custody of government agencies and Commonwealth persons into the Archives. Once the records have been transferred into the Archives' custody, they are recognised as revenue received free of charge at fair value as assessed by an independent valuer.

#### Significant Accounting Policy

##### Resources Received Free of Charge

Resources received free of charge are recognised as revenue when, and only when, a fair value can be reliably determined and the services would have been purchased if they had not been donated. Use of those resources is recognised as an expense. Resources received free of charge are recorded as either revenue or gains depending on their nature.

Contributions of assets at no cost of acquisition or for nominal consideration are recognised as revenue at their fair value when the asset qualifies for recognition, unless received from another Government agency or authority as a consequence of a restructuring of administrative arrangements.

## Financial Position

This section analyses the Archives' assets used to conduct its operations and the operating liabilities incurred as a result. Employee related information is disclosed in the People and Relationships section.

### 2.1 Financial Assets

	2018 \$'000	2017 \$'000
<b>2.1A: Cash and Cash Equivalents</b>		
Cash on hand or on deposit	277	166
<b>Total cash and cash equivalents</b>	<b>277</b>	<b>166</b>

#### Accounting Policy

Cash is recognised at its nominal amount. Cash and cash equivalents includes:

- a) cash on hand;
- b) demand deposits in bank accounts with an original maturity of 3 months or less that are readily convertible to known amounts of cash and subject to insignificant risk of changes in value.

### 2.1B: Trade and Other Receivables

Appropriations receivable	23 841	22 146
Trade receivables	80	164
GST receivable from the Australian Taxation Office	685	526
Accrued income	-	1
Other	1	(7)
<b>Total trade and other receivables</b>	<b>24 608</b>	<b>22 830</b>

The Archives' trade and other receivables included \$38,000 of past due amounts and \$17,000 impairment as at 30 June 2018 (2017: \$26,000; \$17,000 respectively).

#### Accounting Policy

The Archives' financial assets are cash, and trade and other receivables, and are classified as 'loans and receivables'.

Receivables are recognised upon trade date.

Receivables for goods and services have 30 day terms.

#### Loans and Receivables

Loans and receivables are measured at fair value and subsequently at amortised cost using the effective interest method less impairment.

#### Effective Interest Rate Method

The effective interest method is a method of calculating the amortised cost of a financial asset or liability and of allocating interest expense/income over the relevant period. The effective interest rate is the rate that exactly discounts estimated future cash receipts/payments through the expected life of the financial asset/liability, or, where appropriate, a shorter period.

#### Impairment of Financial Assets

Financial assets are assessed for impairment at the end of each reporting period. Allowances are made when collectability of the debt is no longer possible.

If there is objective evidence that impairment loss has been incurred, the amount of the loss is measured as the difference between the asset's carrying amount and the present value of estimated future cash flows discounted at the asset's original effective interest rate. The carrying amount is reduced by way of an allowance account. The loss is recognised in the Statement of Comprehensive Income.

## 2.2 Non-Financial Assets

### 2.2: Reconciliation of the Opening and Closing Balances of Heritage and cultural, Plant and equipment and Intangibles

	Heritage and cultural <sup>(1)</sup> \$'000	Property, plant and equipment \$'000	Computer Software <sup>(2)</sup> \$'000	Other Intangibles \$'000	Total \$'000
<b>As at 1 July 2017</b>					
Gross book value	1 479 846	25 074	21 525	14 979	1 541 425
Accumulated depreciation and impairment	(24 889)	(9 698)	(15 640)	(4 584)	(54 812)
<b>Total as at 1 July 2017</b>	<b>1 454 957</b>	<b>15 375</b>	<b>5 885</b>	<b>10 396</b>	<b>1 486 613</b>
Additions:					
Purchase	-	4 411	203	924	5 538
Donation/gift	4 892	-	-	-	4 892
Revaluations and impairments recognised in other comprehensive income <sup>(4)</sup>	27,006	-	-	-	27 006
Depreciation and amortisation	(6 181)	(7 797)	(1 262)	-	(15,240)
Disposals <sup>(3)</sup>	(310)	(8)	-	-	(318)
<b>Total as at 30 June 2018</b>	<b>1 480 365</b>	<b>11 980</b>	<b>4 826</b>	<b>11 320</b>	<b>1 508 491</b>
<b>Total as at 30 June 2018 represented by</b>					
Gross book value	1 481 690	28 389	21 151	15 903	1 547 133
Accumulated depreciation and impairment	(1 326)	(16,409)	(16 325)	(4 584)	(38 643)
<b>Total as at 30 June 2018 represented by</b>	<b>1 480 365</b>	<b>11 980</b>	<b>4 826</b>	<b>11 320</b>	<b>1 508 491</b>

1. Other property, plant and equipment that met the definition of a heritage and cultural item were disclosed in the heritage and cultural asset class.

2. The carrying amount of computer software included \$1,531,712 purchased software and \$3,294,323 internally generated software.

3. Disposals are primarily related to the appropriate destruction of assets in the heritage and cultural assets class.

4. Revaluations and impairments of heritage and cultural assets included a \$31.2 m revaluation increment (2017 \$nil) partially offset by \$4.1M impairment (2017: \$9.4M).

No indicators of impairment were found for plant and equipment and intangibles assets. Indicators of impairment were found for Heritage and cultural assets due to the transfer of records back to agencies during 2017-18. An annual assessment was undertaken internally to determine whether there is any indicators of impairment for Heritage and cultural, plant and equipment and intangibles assets.

No intangibles assets are expected to be sold or disposed of within the next 12 months.

#### Revaluations of non-financial assets

On 30 April 2018, an independent valuer conducted a valuation of the heritage and cultural asset class.

A revaluation increment of \$31,161,000 for heritage and cultural assets (2017: nil), was credited to the asset revaluation surplus by asset class and included in the equity section of the Statement of Financial Position. No decrements or increments were expensed (2017: nil).

No revaluation has been undertaken for property, plant and equipment asset, therefore the increment for property, plant and equipment asset was nil in 2018 (2017: nil). All revaluations were conducted in accordance with the revaluation policy.

#### Contractual commitments for the acquisition of property, plant, equipment and intangible assets

As at 30 June 2018, the Archives has contractual commitments for acquisition of software assets of \$66,000, and acquisition of property, plant, equipment assets of \$2,539,000.

## 2.2 Non- Financial Assets

### Accounting Policy

#### Asset Recognition Threshold

Asset purchases are recognised initially at cost in the statement of financial position with an asset recognition threshold for Information Technology (IT) equipment of \$1,000 (exc. GST) and a threshold of \$2,000 (exc. GST) for all other assets. Where the cost of purchasing IT equipment and other assets is below the respective threshold, the amount is expensed in the year of acquisition (other than where they form part of a group of similar items which are significant in total).

The initial cost of an asset includes an estimate of the cost of dismantling and removing the item and restoring the site on which it is located. This is particularly relevant to 'make good' provisions in property leases taken up by the Archives where there exists an obligation to restore the premises to its original condition. These costs are included in the value of the Archives' plant and equipment with a corresponding provision for the 'make good' recognised. (Refer to the provision for restoration obligations in note 2.4).

#### Revaluations

Following initial recognition at cost, heritage and cultural and plant and equipment assets are carried at fair value. Valuations are conducted with sufficient frequency to ensure that the carrying amounts of assets do not differ materially from the assets' fair values as at the reporting date. The regularity of independent valuations depends upon the volatility of movements in market values for the relevant assets.

Revaluation adjustments are made on a class basis. Any revaluation increment is credited to equity under the heading of asset revaluation reserve except to the extent that it reverses a previous revaluation decrement of the same asset class that was previously recognised in the surplus/deficit. Revaluation decrements for a class of assets are recognised directly in the surplus/deficit except to the extent that they reverse a previous increment for that class.

Any accumulated depreciation as at the revaluation date is eliminated against the gross carrying amount of the asset and the asset is restated to the revalued amount.

#### Depreciation and Amortisation

Depreciable property, plant and equipment assets and intangibles (excluding the digital collection in other intangibles assets) are written-off to their estimated residual values over their estimated useful lives to the Archives using, in all cases, the straight-line method of depreciation.

Depreciation and amortisation rates (useful lives), residual values and methods are reviewed at each reporting date and necessary adjustments are recognised in the current, or current and future reporting periods, as appropriate.

Depreciation and amortisation rates applying to each class of depreciable asset are based on the following useful lives:

Assets class	Useful life
Plant and equipment	2 - 26 years
Heritage and cultural	29 - 349 years
Intangibles (exclude digital collection)	2 - 20 years

#### Impairment

All assets were assessed for impairment at 30 June 2018. Where indications of impairment exist, the asset's recoverable amount is estimated and an impairment loss recognised if the asset's recoverable amount is less than its carrying amount.

The recoverable amount of an asset is the higher of its fair value less costs to sell and its value in use. Value in use is the present value of the future cash flows expected to be derived from the asset. Where the future economic benefit of an asset is not primarily dependent on the asset's ability to generate future cash flows, and the asset would be replaced if the Archives were deprived of the asset, its value in use is taken to be its depreciated replacement cost.

#### Derecognition

Non-financial assets are derecognised upon disposal or when no further future economic benefits are expected from its use or disposal.

#### Heritage and Cultural Assets

The national archival collection includes records in a wide variety of media including files and card records, account books and ledgers, architectural models, photographs, films and video tapes, optical disks and computer tapes. High value records are stored in specially designed temperature and humidity controlled environments (where required).

Curatorial and preservation policies for heritage and cultural assets can be accessed at:

<http://www.naa.gov.au/about-us/organisation/op-policies.aspx>

#### Intangibles

The Archives' intangibles comprise internally developed software for internal use, purchases of licensed software and a digitised collection that is both internally and externally digitised.

#### Significant accounting estimates and judgements

The fair value of plant and equipment has been taken to be the depreciated replacement cost or market value of similar assets as assessed by an independent valuer every three years.

The fair value of heritage and cultural assets is based on market observations as assessed by an independent valuer every three years. The Archival Collection is diverse with many objects being iconic with limited markets for comparison. Values for the sample are determined by reference to the archival materials markets. The Archives has made significant estimates in measuring the impact of providence to the value of collection objects. A sampling methodology is adopted for some collection categories whereby a sample of objects is selected from each collection category and an average value applied to the entire collection category. Furthermore some collection categories are valued with reference to the value by shelf metre or file size.

Effective 1 July 2012 the intangible digital collections are not amortised as their useful lives have been determined as indefinite. The useful lives of these collections are reviewed annually to determine whether events and circumstances continue to support an indefinite useful life assessment for that collection.

## 2.3: Payables

	2018 \$'000	2017 \$'000
<b>2.3A: Suppliers</b>		
Trade creditors and accruals	362	2 149
Operating lease rentals	7 186	2 002
<b>Total suppliers</b>	<b>7 548</b>	<b>4 151</b>
<b>Suppliers expected to be settled</b>		
No more than 12 months	378	2 171
More than 12 months	7 170	1 980
<b>Total suppliers</b>	<b>7 548</b>	<b>4 151</b>
<b>2.3B: Other Payables</b>		
Wages and salaries	304	276
Superannuation	40	40
Prepayments received/unearned income	633	1 089
<b>Total other payables</b>	<b>977</b>	<b>1 405</b>
<b>Other payables to be settled</b>		
No more than 12 months	977	1 130
More than 12 months	-	275
<b>Total other payables</b>	<b>977</b>	<b>1 405</b>

### Accounting Policy

Suppliers and other payables are initially measured at fair value net of transaction costs and subsequently at amortised cost by using the Effective Interest Rate Method.

## 2.4: Other Provisions

	2018 \$'000	2017 \$'000
<b>2.4: Other Provisions</b>		
Provision for restoration	7 033	7 532
<b>Total other provisions</b>	<b>7 033</b>	<b>7 532</b>
<b>Other provisions expected to be settled in:</b>		
No more than 12 months	6 145	1 405
More than 12 months	888	6 127
<b>Total other provisions</b>	<b>7 033</b>	<b>7 532</b>

	Provision for restoration \$'000
<b>As at 1 July 2017</b>	<b>7 532</b>
Amounts written-off following lease expiration negotiations	( 685)
Unwinding of discount or change in discount rate	186
<b>Total as at 30 June 2018</b>	<b>7 033</b>

### Accounting Policy

Restoration provisions are recognised when the Archives has a present obligation (legal or constructive) as a result of a past event, it is probable that an outflow of resources embodying economic benefits will be incurred to settle the obligation and a reliable estimate can be made of the amount of the obligation.

Restoration provisions are discounted using the government bond rate that reflects the risks specific to the liability. The increase in the provisions due to the passage of time (unwinding the discount) is recognised as a finance cost.

As the restoration provisions relate to assets at fair value, any increment/decrement from changes in the estimate of costs required to remediate is recognised in other comprehensive income except to the extent that it reverses an increment/decrement previously recognised in profit or loss.

The Archives currently has 11 (2017: 9) agreements for the leasing of premises which have provisions requiring the Archives to restore the premises to their original condition at the conclusion of the lease. The Archives has made a provision to reflect the present value of this obligation.

### Accounting Judgements and Estimates

The Archives has made a significant estimate of the cost to make good or remediate its storage and accommodation premises to bring them back to the condition and orientation they were prior to occupancy by the Archives. The make good provision is informed by independent valuation and was assessed on 30 June 2017 by a qualified independent valuer (Australian Valuation Solutions).



## Funding

This section identifies the Archives' funding structure.

### 3.1: Appropriations

#### 3.1A: Annual Appropriations ('Recoverable GST exclusive')

##### Annual Appropriations for 2018

	Appropriation Act		PGPA Act		Appropriation Applied in 2018 (current and prior years)		Variance <sup>2</sup> \$'000
	Annual Appropriation <sup>1</sup> \$'000	Advance to the Finance Minister \$'000	Section 74 Receipts \$'000	Section 75 \$'000	Total Appropriation \$'000		
<b>Departmental</b>							
Ordinary annual services (Revenue from Government)	63 819	-	3 029	-	66 848	61 155	5 693
Capital Budget <sup>3</sup>	4 631	-	-	-	4 631	5 538	( 907)
Equity Injection	-	-	-	-	-	-	-
<b>Total departmental</b>	<b>68 450</b>	<b>-</b>	<b>3 029</b>	<b>-</b>	<b>71 479</b>	<b>66 693</b>	<b>4 786</b>

#### Significant Accounting Policy

##### Revenue from Government

Amounts appropriated for departmental appropriations for the year (adjusted for any formal additions and reductions) are recognised as Revenue from Government when the entity gains control of the appropriation, except for certain amounts that relate to activities that are reciprocal in nature, in which case revenue is recognised only when it has been earned. Appropriations receivable are recognised at their nominal amounts.

1. In 2017-18, \$211,000 of appropriation (Appropriation Act No. 1) have been withheld under Section 51 of the PGPA Act.

2. Variance in 2017-18 is mainly due to the increase in supplier payables during the year resulting in the Appropriation being applied that related to expenditure recognised in 2016-17.

3. Departmental Capital Budgets are appropriated through Appropriation Act (No. 1) and Supply Act (No. 1). They form part of ordinary annual services, and are not separately identified in the Appropriation Acts.

##### Annual Appropriations for 2017

	Appropriation Act		PGPA Act		Appropriation Applied in 2017 (current and prior years)		Variance <sup>2</sup> \$'000
	Annual Appropriation <sup>1</sup> \$'000	Advance to the Finance Minister \$'000	Section 74 Receipts \$'000	Section 75 \$'000	Total Appropriation \$'000		
<b>Departmental</b>							
Ordinary annual services (Revenue from Government)	71 023	-	3 579	-	74 602	67 885	6 717
Capital Budget <sup>3</sup>	4 653	-	-	-	4 653	4 365	288
Equity	150	-	-	-	150	-	150
<b>Total departmental</b>	<b>75 826</b>	<b>-</b>	<b>3 579</b>	<b>-</b>	<b>79 405</b>	<b>72 250</b>	<b>7 155</b>

1. In 2016-17, there was no appropriation withheld under Section 51 of the PGPA Act.

2. Variance in 2016-17 is mainly due to the increase in supplier payables during the year resulting in the Appropriation being applied that related to expenditure recognised in 2015-16.

3. Departmental Capital Budgets are appropriated through Appropriation Acts (No. 1). They form part of ordinary annual services, and are not separately identified in the Appropriation Acts.

### 3.1: Appropriations

#### 3.1B: Unspent Annual Appropriations ('Recoverable GST exclusive')

Authority	2018 \$'000	2017 \$'000
<b>Departmental</b>		
Act 2 - Non Operating - Equity Injection	150	150
Appropriation Bill (No. 1) 2016-2017	-	19 492
Appropriation Bill (No. 1) 2016-2017 - DCB	-	548
Supply Act (No. 1) 2016-17 - DCB	-	1 939
Appropriation Act (No.1) Temporary Quarantined prior to 2016-17	17	
Appropriation Bill (No. 1) 2017-18	20 976	
Appropriation Bill (No. 1) 2017-18 - DCB	2 487	
Appropriation Act (No.1) 2017-18 Temporary Quarantined	211	
<b>Total</b>	<b>23 841</b>	<b>22 129</b>

## People and relationships

This section describes a range of employment and post employment benefits provided to our people and our relationships with other key people.

### 4.1: Employee Provisions

	2018 \$'000	2017 \$'000
<b>Note 4.1: Employee Provisions</b>		
Annual leave	3 217	3 214
Long service leave	8 109	7 932
<b>Total employee provisions</b>	<b>11 326</b>	<b>11 146</b>
<b>Employee provisions expected to be settled in:</b>		
No more than 12 months	3 164	3 227
More than 12 months	8 162	7 919
<b>Total employee provisions</b>	<b>11 326</b>	<b>11 146</b>

#### Accounting policy

Liabilities for annual leave and long service leave expected to be settled within twelve months are measured at their nominal amounts.

Leave liabilities expected to be settled after twelve months are measured at the present value of the estimated future cash outflow.

#### Leave

The leave liabilities are calculated on the basis of employees' remuneration at the estimated salary rates that will be applied at the time the leave is taken, including the Archive's employer superannuation contribution rates to the extent that the leave is likely to be taken during service rather than paid out on termination.

The liability for long service leave has been determined using present value techniques in accordance with the shorthand method as per FRR 24.1(a) as at 30 June 2018. The estimate of the present value of the liability takes into account attrition rates and pay increases through promotion and inflation.

#### Superannuation

The Archives' staff are members of the Commonwealth Superannuation Scheme (CSS), the Public Sector Superannuation Scheme (PSS), or the PSS accumulation plan (PSSap), or other complying superannuation funds held outside the Australian Government.

The CSS and PSS are defined benefit schemes for the Australian Government. The PSSap is a defined contribution scheme.

The liability for defined benefits is recognised in the financial statements of the Australian Government and is settled by the Australian Government in due course. This liability is reported in the Department of Finance's administered schedules and notes.

The Archives makes employer contributions to the employees' defined benefit superannuation scheme at rates determined by an actuary to be sufficient to meet the current cost to the Government. The Archives accounts for the contributions as if they were contributions to defined contribution plans.

The liability for superannuation recognised as at 30 June 2018 represents outstanding contributions and is recognised in other payables.

#### Note 4.2: Key Management Personnel Remuneration

	2018 \$'000	2017 \$'000
<b>Short-term employee benefits</b>		
Salary	1 008	1 036
<b>Total short-term employee benefits</b>	<b>1 008</b>	<b>1 036</b>
<b>Post-employment benefits</b>		
Superannuation	202	196
<b>Total post-employment benefits</b>	<b>202</b>	<b>196</b>
<b>Other long-term employee benefits</b>		
Annual leave	89	85
Long-service leave	36	82
<b>Total other long-term employee benefits</b>	<b>125</b>	<b>167</b>
<b>Total key management personnel remuneration expenses</b>	<b>1 335</b>	<b>1 399</b>

The total number of key management personnel that are included in the above table are 6 (2017: 5).

##### Key Management Personnel

Key management personnel are those persons who have authority and responsibilities for planning, directing and controlling the activities of the Archives directly or indirectly. The Archives has determined the key management personnel to be the Executive Leadership Team and Portfolio Minister. Key management personnel remuneration is reported in the table above.

The above key management personnel remuneration excludes the remuneration and other benefits of the Portfolio Minister. The Portfolio Minister's remuneration and other benefits are set by the Remuneration Tribunal and are not paid by the entity.

### 4.3 Related Party Disclosures

**Related party relationships:**

The National Archives of Australia is an Australian Government controlled entity. Related parties to the Archives are Key Management Personnel reported at 4.2, and also the Portfolio Minister and other Australian Government Entities.

**Transactions with related parties:**

Given the breadth of Government activities, related parties may transact with the government sector in the same capacity as ordinary citizens. Such transactions include exhibition entry fees, Archival record services and donations. These transactions have not been separately disclosed in this note.

Significant transactions with related parties can include:

- the payments of grants or loans;
- purchases of goods and services;
- asset purchases, sales transfers or leases;
- debts forgiven; and
- guarantees.

Giving consideration to relationships with related entities, and transactions entered into during the reporting period by the Archives, it has been determined that there are no related party transactions to be separately disclosed.

## ■ Grants

Information on grants awarded by the Archives during 2017–18 is available at [naa.gov.au](http://naa.gov.au).









## APPENDIXES



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## Appendix A: Resources allocated to the National Archives of Australia

**Table 11** Resources allocated – aggregate figures, 2017–18

	Actual available appropriation for 2017-18 (\$'000) (a)	Payments made (\$'000) (b)	Balance remaining (\$'000) (a)–(b)
<b>Ordinary annual services</b>			
Balance brought forward <sup>1</sup>	22,838	22,838	0
Departmental appropriation <sup>2</sup>	68,450	43,696	24,754
Total ordinary annual services	91,288	66,534	24,754
<b>Total net resourcing</b>	<b>91,288</b>	<b>66,534</b>	<b>24,754</b>

**Note:** 1) Prior year departmental appropriations; 2) Includes Appropriation Act No. 1 (2017-18) with an amount of \$4.631 million for the Departmental Capital budget.

**Table 12** Resources allocated to Outcome 1, 2017–18

<b>Outcome 1:</b>			
To promote the creation, management and preservation of authentic, reliable and usable Commonwealth records and to facilitate Australians' access to the archival resources of the Commonwealth.	<b>Budget 2017–18 (\$'000) (a)</b>	<b>Actual expenses 2017–18 (\$'000) (b)</b>	<b>Variation 2017–18 (\$'000) (a)–(b)</b>
<b>Program 1.1: National Archives of Australia</b>			
<b>Departmental expenses</b>			
Ordinary annual services	63,819	57,504	6,315
Revenue from independent sources	1,810	3,029	-1,219
Expenses not requiring appropriation in the budget year	17,371	22,989	-5,618
Total for Program 1.1	83,000	83,522	-522
<b>Total expenses for Outcome 1</b>	<b>83,000</b>	<b>83,522</b>	<b>-522</b>
Average staffing level (number)	375	339	36

## Appendix B: Statutory provisions

### Work health and safety

The Archives continued to demonstrate a commitment to providing and maintaining a safe and healthy working environment through workplace audits, support for injured and ill workers, and a range of training courses, activities and initiatives under the Health and Wellbeing program for all employees. The Health and Wellbeing program is designed to have a positive impact on the general health and wellbeing of employees both physically and psychologically.

During 2017–18 the Archives updated policies and procedures in accordance with the *Work Health and Safety Act 2011* and applicable codes of practice including the Work Health and Safety Management Arrangements and the Rehabilitation Management System. In 2017–18, the Archives also finalised all activities in the corrective action plan arising from a Comcare audit of our Rehabilitation Management System.

Throughout the year, the Archives engaged the services of approved rehabilitation providers to supplement the support provided by Archives' case managers. This had a focus on preventing workplace injuries and illness while maintaining early intervention, injury management and rehabilitation to support a safe and durable return to work for employees with injuries and illness. Proactive practices included conducting workstation assessments for all staff following building relocations. Through its health and safety practices, the Archives has embraced a safe working environment aimed at reducing the risk of workplace injuries and illness and making positive impacts on the general health and wellbeing of employees. There were no accepted compensation claims for workplace injuries or illnesses that arose during the course of employment with the Archives in 2017–18.

Through contracted services with an external provider, the Employee Assistance Program has been maintained to provide professional counselling for employees and their immediate family members experiencing personal or work-related problems. The services available included face-to-face counselling during working hours or phone counselling 24 hours a day.

Internal support for the health and wellbeing of staff has also been maintained through a network of first aid officers, mental health first aid officers, and health and safety representatives.

**Table 13** Work health and safety performance, 2015–18

	2015–16	2016–17	2017–18
Investigations conducted that relate to businesses or undertakings by the Archives, including any notices received under part 10 of the <i>Work Health and Safety Act 2011</i>	0	0	0
Incidents reported to Comcare under part 3, section 35 of the <i>Work Health and Safety Act 2011</i>	1	0	0

	2015–16	2016–17	2017–18
Investigations carried out, or notices given, under part 10 of the <i>Work Health and Safety Act 2011</i>	0	0	0
Work-related incidents notifiable as per the Archives' work health and safety incident reporting and hazard management policy	7	14	19
Number of staff who received the influenza vaccination	196	145	192
Number of accepted compensation claims	1	1	0

## Advertising and market research

During 2017–18, the Archives conducted the following media advertising:

**Table 14** Advertising amounts of \$13,200 or more paid (including GST), 2017–18

Organisation	Purpose	Cost (\$)
Dentsu X	Media advertising for exhibitions and events	68,015.97
Meltwater Australia	Media Monitoring Service	20,675.00
<b>Total</b>		<b>88,690.97</b>

The Archives did not conduct any advertising campaigns in 2017–18.

## Ecologically sustainable development and environmental performance

The following information is provided in accordance with section 516A of the *Environment Protection and Biodiversity Conservation Act 1999* (the EPBC Act).

The Archives is committed to ecologically sustainable development and to improving its environmental performance in the areas of energy, waste and water consumption for all existing accommodation occupancy, and for all future projects. While currently reporting annual sustainable environmental performance, the Archives is developing a Strategic Property Framework to ensure its future corporate accommodation, storage repositories and all public interface accommodation is operating efficiently. At the same time it is analysing and contributing to the reduction of the carbon footprint across the Archives' portfolio.

The implementation of the framework will capture the management of energy consumption, packaging, paper usage and general waste generation that targets elements such as LED lighting programs, viable procurement processes, reducing paper through digital productivity, recycling systems and solar energy efficiencies.

## **Energy use**

The Archives uses energy 24 hours a day, seven days a week, to ensure the range of room temperatures and relative humidity levels required for the long-term preservation of the collection.

The Archives works closely with landlords of its repositories and office accommodation to maximise the efficiency of its base building plant and control systems by replacing aging plant and equipment with updated technologies to deliver the necessary conditions to reduce energy use.

During 2017–18 the Archives' electricity consumption decreased by 38 per cent, and gas consumption decreased by 54 per cent.

The Archives' solar energy installation at Cannon Hill, Queensland generated 62,784 kilowatt hours of energy. This contributed to a reduction of CO<sup>2</sup> emissions of approximately 36,141 kilograms.

## **Water and paper use**

The Archives continues to monitor water usage in its leased premises and to seek opportunities to minimise it. Water use across the Archives' sites increased by 25 per cent over 2017–18.

All printing paper used by the Archives has a post-consumer recycled content of 100 per cent in accordance with the Australian Government ICT Sustainability Plan. Where efficiencies can be achieved and are practicable, the Archives continues to move its day-to-day operations into the digital environment. As a result, paper use across the Archives decreased by 59 per cent over the previous year.

## **Waste disposal**

All of the Archives' contracts for cleaning and/or waste removal include the requirement for the contractor to measure and report on the quantities and types of waste removed as well as quantities of material collected for recycling.

In 2017–18 the quantity of waste sent to landfill decreased by 47 per cent. Paper and co-mingled recycling quantities have increased by 43 per cent.

## **Vehicles**

During 2017–18 the Archives maintained a fleet of seven leased vehicles. They were managed to ensure operational requirements were effectively met while minimising any potential environmental impacts.

**Table 15** Ecologically sustainable development and environmental performance, 2015–16 to 2017–18

	2015–16	2016–17	2017–18
Electricity consumption (kilowatt hours)	6,455,549	5,993,090	3,693,390
Natural gas consumption (megajoules)	8,435,287	9,708,721	4,481,812*
Solar energy generated – Cannon Hill, QLD and Parkes, ACT (kilowatt hours)	66,140	64,151	62,784*
Reduction in CO <sub>2</sub> emissions – Cannon Hill, QLD and Parkes, ACT (kilograms)	59,587	59,020	36,141
Paper used (reams)	3,140	2,278	945
Water consumption (kilolitres)	11,503	13,471	16,844
Waste produced by ACT sites (kilograms)	23,038	22,266	3,297*
Waste produced by non-ACT sites (kilograms)	Not reported	17,579	17,904
Recycling all sites (kilograms)	11,363	9,060	12,981

**\*Note:** The Archives' temporary relocation from East Block (Parkes) to Old Parliament House during part of 2017–18 has resulted in lower natural gas consumption and a reduction in the amount of solar energy generated. Complete figures on waste production at ACT sites during the Parkes relocation are not available for reporting as Old Parliament House is unable to capture the relevant data.





# NATIONAL ARCHIVES OF AUSTRALIA **ADVISORY COUNCIL**



## ■ Establishment and functions

The National Archives of Australia Advisory Council (the Council) is established under subsection 10(1) of the *Archives Act 1983*. The main purpose of the Council is to provide advice to the Minister responsible for the National Archives of Australia and the Director-General on matters that relate to the National Archives.

Under section 11 of the Archives Act, the Council is an advisory body with the following functions:

- (1) The Council shall furnish advice to the Minister and the Director-General with respect to matters to which the functions of the Archives relate.
- (2) The Minister or the Director-General may refer any matter of the kind referred to in subsection (1) (above) to the Council for advice and the Council may, if it thinks fit, consider and advise the Minister or the Director-General on a matter of that kind of its own motion.

### **Council membership**

The Archives Act provides for a Council consisting of:

- one senator chosen by the Senate
- one member of the House of Representatives chosen by the House
- 11 other members appointed by the Minister.

Members serve for terms not exceeding three years, and may serve an additional term.

Council membership during 2017–18 comprised:

- Dr Denver Beanland (Chair)
- Mr Christopher Puplick AM (Deputy Chair)
- Professor John Williams
- Mr David Irvine AO
- Ms Jade Balfour
- Ms Anne Henderson AM
- Dr Phil Robertson FTSE
- The Hon Neil Brown QC (to 12 September 2017)
- Dr Rosemary Laing (from 12 October 2017)
- Professor (Emeritus) Peter Boyce AO (from 12 October 2017)
- Mr Adam Creighton (from 12 October 2017)
- Professor (Emeritus) Sally Walker AM (from 15 December 2017)

### **Parliamentary representation**

- The Hon Jane Prentice MP
- Senator Claire Moore

## Summary of activities

The Council met four times in 2017–18.

## ■ Statements required under the Archives Act

### Record disposal practices

Section 25 of the Archives Act requires the Director-General to provide the Council with a statement setting out the practices relating to the disposal of Commonwealth records.

At each Council meeting the National Archives also provides information on records authorities issued to Australian Government entities. During 2017–18 the National Archives issued 24 instruments under the *Archives Act 1983*, including records authorities developed in consultation with individual entities.

### Special access to official records

Section 56(2) of the Archives Act provides that an individual may be granted access to Commonwealth records not available for public access. This includes records not yet in the open period and records assessed as being exempt from public access. Applications to access closed period or exempt records are made directly to the agencies responsible for controlling them. Decisions on whether to grant access are the responsibility of these agencies. Special access arrangements have been in place since 1988 to help agencies make decisions about records that are subject to an application for special access.

In accordance with the requirements of section 56(5) of the Archives Act, at each meeting of the Council the National Archives tables a statement detailing requests for, and decisions relating to, access under section 56(2).

The National Archives was notified that 12 applications for special access to records under section 56(2) were received during 2017–18. Access was granted in 11 cases; no records were found in response to the remaining application. An application lodged in January 2016 remains under consideration.

In early 2018, an agency notified the National Archives of three applications submitted and approved between November 2015 and April 2017 that had not previously been reported to the National Archives or Council. The National Archives reminded agencies in May 2018 through its e-newsletter and agency forums of their obligation to promptly report all special access applications received so the National Archives can meet statutory reporting requirements.

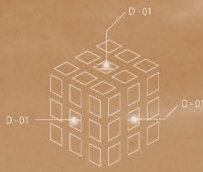
### Financial information and secretariat services

The Council's operation is funded from the National Archives' budget appropriation (Table 16). Major expenditure items consisted of members' remuneration, travel allowances and airfares to attend Council and other associated meetings. In addition to direct financial support, the National Archives also provides secretariat and administrative services to the Council.

**Table 16** National Archives of Australia Advisory Council expenditure, 2017–18

Item	Cost (\$)
Remuneration	33,466
Travel allowance	23,408
Fares	26,088
Other travel expenses	5,793
Hospitality and catering expenses	12,698
<b>Total</b>	<b>101,453</b>





## GLOSSARY AND INDEXES

44%

68%

25%

Progressing

## Glossary

Access	The right, opportunity or means of finding, using or retrieving information, usually subject to rules and conditions.
Access examination	The process of examining records to identify any information that falls within the definition of exempt as prescribed by the <i>Archives Act 1983</i> .
Big data	A data set so large and complex that it becomes difficult to process using on-hand data management tools or traditional data processing applications.
Check-up PLUS	The Archives' online survey tool to collect data from Australian Government entities on their information management capabilities. Check-up PLUS replaced Check-up Digital, which has been decommissioned.
Custody	The responsibility for the care of records and archives, usually based on their physical possession. It does not necessarily include legal ownership.
Deadline 2025	A target deadline, reflective of the general consensus among international audiovisual archivists, that magnetic media tape, not digitised by 2025, will in most cases be lost forever.
Digital Continuity 2020	Digital Continuity 2020 is a whole-of-government approach to digital information governance developed by the Archives that aims to integrate robust digital information management into all government business processes.
Open access period	The time when Commonwealth records are eligible for release under the <i>Archives Act 1983</i> . The public has a general right of access to Commonwealth records in the open access period subject to certain exemptions.
Preservation	The processes and operations involved in ensuring the technical and intellectual survival of authentic records through time; encompasses environmental control, security, creation, storage, handling and disaster planning for records in all formats – maintaining accessibility and usability.
Record	Any information created, sent or received in the course of carrying out the business of an agency. Records have many formats, including paper documents, photographs, audiovisual items and digital material.

Records authority	The legal instrument issued by the National Archives of Australia that defines the permissible disposal of records. Records authorities define how long records are to be kept, and identifies those records that must be transferred to the Archives for permanent retention.
RecordSearch	The Archives' public online database to help find records in its collection.
Retain as national archives	The disposal action for Commonwealth records appraised as having archival value. This means that the records should be transferred to the Archives as soon as they are no longer required for business use.
The Archives Way	The Archives' set of cultural principles.

## ■ Shortened forms

AAT	Administrative Appeals Tribunal
AIATSIS	Australian Institute of Aboriginal and Torres Strait Islander Studies
ANU	Australian National University
APS	Australian Public Service; Annual Performance Statement
APSC	Australian Public Service Commission
ARC	Australian Research Council
EL	Executive Level
FOI	Freedom of information
GAIN Australia	Government Agencies Information Network Australia
GST	Goods and services tax
IAM	Information Awareness Month
ICA	International Council on Archives
ICT	Information and communications technology
IDEAS	Internal Development Education Awareness Seminars
MYEFO	Mid-Year Economic and Fiscal Outlook
NDIA	National Disability Insurance Agency
RAP	Reconciliation Action Plan
SES	Senior Executive Service
SMEs	Small and Medium Enterprises



## List of requirements

PGPA Rule Reference	Part of Report	Description	Requirement	Page
<b>17AD(g)</b>	<b>Letter of transmittal</b>			
17AI		A copy of the letter of transmittal signed and dated by accountable authority on date final text approved, with statement that the report has been prepared in accordance with section 46 of the Act and any enabling legislation that specifies additional requirements in relation to the annual report.	Mandatory	iii
<b>17AD(h)</b>	<b>Aids to access</b>			
17AJ(a)		Table of contents.	Mandatory	v
17AJ(b)		Alphabetical index.	Mandatory	97
17AJ(c)		Glossary of abbreviations and acronyms.	Mandatory	86
17AJ(d)		List of requirements.	Mandatory	88
17AJ(e)		Details of contact officer.	Mandatory	ii
17AJ(f)		Entity's website address.	Mandatory	ii
17AJ(g)		Electronic address of report.	Mandatory	ii
<b>17AD(a)</b>	<b>Review by accountable authority</b>			
17AD(a)		A review by the accountable authority of the entity.	Mandatory	1
<b>17AD(b)</b>	<b>Overview of the entity</b>			
17AE(1)(a)(i)		A description of the role and functions of the entity.	Mandatory	10
17AE(1)(a)(ii)		A description of the organisational structure of the entity.	Mandatory	10
17AE(1)(a)(iii)		A description of the outcomes and programs administered by the entity.	Mandatory	12
17AE(1)(a)(iv)		A description of the purposes of the entity as included in the corporate plan.	Mandatory	12
17AE(1)(b)		An outline of the structure of the portfolio of the entity.	Portfolio departments – mandatory	n.a

PGPA Rule Reference	Part of Report	Description	Requirement	Page
17AE(2)		Where the outcomes and programs administered by the entity differ from any Portfolio Budget Statement, Portfolio Additional Estimates Statement or other portfolio estimates statement that was prepared for the entity for the period, include details of variation and reasons for change.	If applicable – Mandatory	n.a
<b>17AD(c)</b>	<b>Report on the performance of the entity</b>			
	<i>Annual performance statements</i>			
17AD(c)(i); 16F		Annual performance statement in accordance with paragraph 39(1)(b) of the Act and section 16F of the Rule.	Mandatory	14
<b>17AD(c)(ii)</b>	<b>Report on financial performance</b>			
17AF(1)(a)		A discussion and analysis of the entity's financial performance.	Mandatory	23
17AF(1)(b)		A table summarising the total resources and total payments of the entity.	Mandatory	76
17AF(2)		If there may be significant changes in the financial results during or after the previous or current reporting period, information on those changes, including: the cause of any operating loss of the entity; how the entity has responded to the loss and the actions that have been taken in relation to the loss; and any matter or circumstances that it can reasonably be anticipated will have a significant impact on the entity's future operation or financial results.	If applicable, Mandatory	n.a
<b>17AD(d)</b>	<b>Management and accountability</b>			
	<i>Corporate governance</i>			
17AG(2)(a)		Information on compliance with section 10 (fraud systems).	Mandatory	28
17AG(2)(b)(i)		A certification by accountable authority that fraud risk assessments and fraud control plans have been prepared.	Mandatory	28

PGPA Rule Reference	Part of Report	Description	Requirement	Page
17AG(2)(b)(ii)		A certification by accountable authority that appropriate mechanisms for preventing, detecting incidents of, investigating or otherwise dealing with, and recording or reporting fraud that meet the specific needs of the entity are in place.	Mandatory	28
17AG(2)(b)(iii)		A certification by accountable authority that all reasonable measures have been taken to deal appropriately with fraud relating to the entity.	Mandatory	28
17AG(2)(c)		An outline of structures and processes in place for the entity to implement principles and objectives of corporate governance.	Mandatory	26
17AG(2)(d)(e)		A statement of significant issues reported to Minister under paragraph 19(1)(e) of the Act that relates to noncompliance with Finance law and action taken to remedy noncompliance.	If applicable, Mandatory	n.a
<b><i>External scrutiny</i></b>				
17AG(3)		Information on the most significant developments in external scrutiny and the entity's response to the scrutiny.	Mandatory	33
17AG(3)(a)		Information on judicial decisions and decisions of administrative tribunals and by the Australian Information Commissioner that may have a significant effect on the operations of the entity.	If applicable, Mandatory	33
17AG(3)(b)		Information on any reports on operations of the entity by the AuditorGeneral (other than report under section 43 of the Act), a Parliamentary Committee, or the Commonwealth Ombudsman.	If applicable, Mandatory	34
17AG(3)(c)		Information on any capability reviews on the entity that were released during the period.	If applicable, Mandatory	n.a

PGPA Rule Reference	Part of Report	Description	Requirement	Page
<b><i>Management of human resources</i></b>				
17AG(4)(a)		An assessment of the entity's effectiveness in managing and developing employees to achieve entity objectives.	Mandatory	35
17AG(4)(b)		<p>Statistics on the entity's APS employees on an ongoing and non-ongoing basis; including the following:</p> <ul style="list-style-type: none"> <li>• Statistics on staffing classification level;</li> <li>• Statistics on full-time employees;</li> <li>• Statistics on part-time employees;</li> <li>• Statistics on gender;</li> <li>• Statistics on staff location;</li> <li>• Statistics on employees who identify as Indigenous.</li> </ul>	Mandatory	36, 37, 38
17AG(4)(c)		Information on any enterprise agreements, individual flexibility arrangements, Australian workplace agreements, common law contracts and determinations under subsection 24(1) of the <i>Public Service Act 1999</i> .	Mandatory	38
17AG(4)(c)(i)		Information on the number of SES and non-SES employees covered by agreements etc identified in paragraph 17AD(4)(c).	Mandatory	38
17AG(4)(c)(ii)		The salary ranges available for APS employees by classification level.	Mandatory	38
17AG(4)(c)(iii)		A description of non-salary benefits provided to employees.	Mandatory	33, 38
17AG(4)(d)(i)		Information on the number of employees at each classification level who received performance pay.	If applicable, Mandatory	n.a
17AG(4)(d)(ii)		Information on aggregate amounts of performance pay at each classification level.	If applicable, Mandatory	n.a

PGPA Rule Reference	Part of Report	Description	Requirement	Page
17AG(4)(d)(iii)		Information on the average amount of performance payment, and range of such payments, at each classification level.	If applicable, Mandatory	n.a
17AG(4)(d)(iv)		Information on aggregate amount of performance payments.	If applicable, Mandatory	n.a
<b>Assets management</b>				
17AG(5)		An assessment of effectiveness of assets management where asset management is a significant part of the entity's activities.	If applicable, Mandatory	42
<b>Purchasing</b>				
17AG(6)		An assessment of entity performance against the <i>Commonwealth Procurement Rules</i> .	Mandatory	44
<b>Consultants</b>				
17AG(7)(a)		A summary statement detailing the number of new contracts engaging consultants entered into during the period; the total actual expenditure on all new consultancy contracts entered into during the period (inclusive of GST); the number of ongoing consultancy contracts that were entered into during a previous reporting period; and the total actual expenditure in the reporting year on the ongoing consultancy contracts (inclusive of GST).	Mandatory	44
17AG(7)(b)		A statement that “During [reporting period], [specified number] new consultancy contracts were entered into involving total actual expenditure of \$[specified million]. In addition, [specified number] ongoing consultancy contracts were active during the period, involving total actual expenditure of \$[specified million]”.	Mandatory	44
17AG(7)(c)		A summary of the policies and procedures for selecting and engaging consultants and the main categories of purposes for which consultants were selected and engaged.	Mandatory	44

PGPA Rule Reference	Part of Report	Description	Requirement	Page
17AG(7)(d)		A statement that “ <i>Annual reports contain information about actual expenditure on contracts for consultancies. Information on the value of contracts and consultancies is available on the AusTender website</i> ”.	Mandatory	44
<b>Australian National Audit Office access clauses</b>				
17AG(8)		If an entity entered into a contract with a value of more than \$100 000 (inclusive of GST) and the contract did not provide the AuditorGeneral with access to the contractor’s premises, the report must include the name of the contractor, purpose and value of the contract, and the reason why a clause allowing access was not included in the contract.	If applicable, Mandatory	44
<b>Exempt contracts</b>				
17AG(9)		If an entity entered into a contract or there is a standing offer with a value greater than \$10 000 (inclusive of GST) which has been exempted from being published in AusTender because it would disclose exempt matters under the FOI Act, the annual report must include a statement that the contract or standing offer has been exempted, and the value of the contract or standing offer, to the extent that doing so does not disclose the exempt matters.	If applicable, Mandatory	44
<b>Small business</b>				
17AG(10)(a)		A statement that “[ <i>Name of entity</i> ] supports small business participation in the Commonwealth Government procurement market. Small and Medium Enterprises (SME) and Small Enterprise participation statistics are available on the Department of Finance’s website”.	Mandatory	44
17AG(10)(b)		An outline of the ways in which the procurement practices of the entity support small and medium enterprises.	Mandatory	45

PGPA Rule Reference	Part of Report	Description	Requirement	Page
17AG(10)(c)		If the entity is considered by the Department administered by the Finance Minister as material in nature – a statement that “[Name of entity] recognises the importance of ensuring that small businesses are paid on time. The results of the Survey of Australian Government Payments to Small Business are available on the Treasury’s website”.	If applicable, Mandatory	n.a
<b>Financial statements</b>				
17AD(e)		Inclusion of the annual financial statements in accordance with subsection 43(4) of the Act.	Mandatory	47
<b>17AD(f)</b>	<b>Other mandatory information</b>			
17AH(1)(a)(i)		If the entity conducted advertising campaigns, a statement that “During [reporting period], the [name of entity] conducted the following advertising campaigns: [name of advertising campaigns undertaken]. Further information on those advertising campaigns is available at [address of entity’s website] and in the reports on Australian Government advertising is prepared by the Department of Finance. Those reports are available on the Department of Finance’s website”.	If applicable, Mandatory	n.a
17AH(1)(a)(ii)		If the entity did not conduct advertising campaigns, a statement to that effect.	If applicable, Mandatory	78
17AH(1)(b)		A statement that “Information on grants awarded to [name of entity] during [reporting period] is available at [address of entity’s website]”.	If applicable, Mandatory	73
17AH(1)(c)		Outline of mechanisms of disability reporting, including reference to website for further information.	Mandatory	42



PGPA Rule Reference	Part of Report	Description	Requirement	Page
17AH(1)(d)		Website reference to where entity's Information Publication Scheme statement pursuant to Part II of FOI Act can be found.	Mandatory	34
17AH(1)(e)		Correction of material errors in previous annual report.	If applicable, Mandatory	n.a
17AH(2)		Information required by other legislation.	Mandatory	iii

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