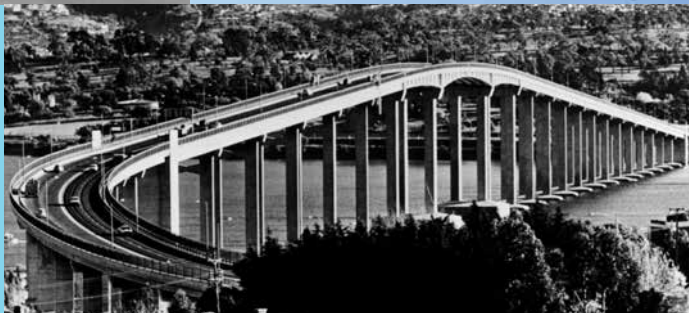




NATIONAL ARCHIVES OF AUSTRALIA



National Archives of Australia

National Archives of Australia Advisory Council

Annual Report 2018–19







National Archives of Australia

National Archives of Australia
Advisory Council



Annual Report 2018–19

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Table 1 | Aids to access details current report period (2018–19)

Annual Report coordinator	Director, Corporate Governance and Risk
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Entity website (URL)	naa.gov.au

Images

The images featured throughout this report illustrate the richness of the National Archives’ photographic collection.
Inside cover: Balloons over Canberra, 1988. NAA: A6135, K22/3/88/4



Our reference: 2019/1015

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

13 September 2019

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 2019.

The 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 prepare and provide you with reports of their operations and proceedings for the 2018–19 year for presentation to the Parliament.

This report includes the National Archives' audited financial statements as required by sections 42, 43 and 46 of the PGPA Act. It also includes the National Archives' performance statements as required under paragraph 39(1)(a) of the PGPA Act. In our opinion, these annual performance statements accurately reflect the performance of the entity, and comply with subsection 39 (2) of the PGPA Act.

As required by section 10 of the PGPA Act we, as the Director-General and Chair, certify that we are satisfied that the National Archives has prepared fraud risk assessments and a fraud control plan; that the National Archives has 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. No instances of fraud have been identified during the period.

Yours sincerely

David Fricker
Director-General

Dr Denver Beanland
Chair, Advisory Council



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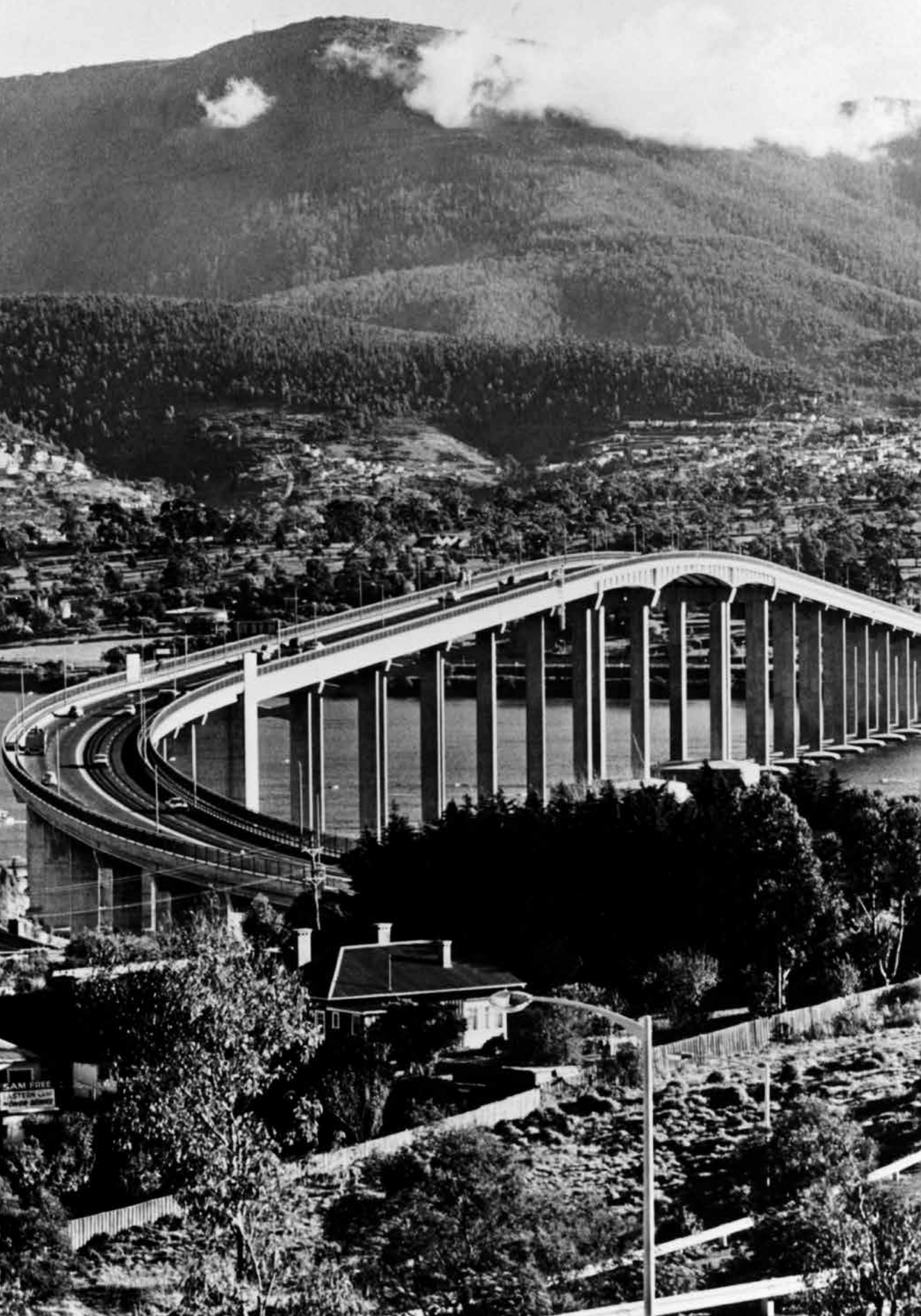
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Director-General's review



The Tasman Bridge over the Derwent River, 1968.
NAA: B941, states/Tasmania/Hobart/bridges/3



The National Archives of Australia is a national institution with a clear purpose and responsibility: to ensure that the essential evidence of government activity is securely and permanently maintained and made publicly available. While this purpose has not changed since the organisation was first established, almost every aspect of the way in which we fulfil that purpose continues to evolve at a rapid rate.

Right now, 'data' seems to be at the centre of all government initiatives. The Australian Government has set itself the goal of being among the world's top three e-governments by 2025, improving the efficiency and integrity of public administration, and improving public services through the uptake of digital delivery channels. More and more, government data is being recognised as a national resource that can fuel Australia's economic growth. This rapid evolution of the government information landscape is not without risk, however; ongoing and emerging cybersecurity threats necessitate the continual strengthening of protections for security, privacy and confidentiality.

It is no surprise, therefore, to look back at 2018–19 and see a period of significant change for the National Archives, as we pursue our central mission to connect Australians with their identity and history through our stewardship of Australian Government records.

Information governance for the digital age

Over the past decade, the National Archives has taken the lead across government in the publication and promulgation of standards and resources enabling Commonwealth entities to transition to mature digital information management. Our 2011 Digital Transition Policy mandated that high-value government information created in digital form be digitally maintained and accessible for as long as required. Subsequently, in 2015, we launched the Digital Continuity 2020 Policy as a whole-of-government approach to information governance through the principles of data asset management, digital work processes and information interoperability.

Throughout 2018–19, we continued to work with Commonwealth entities and monitor overall progress through the milestones of Digital Continuity 2020. We have now started work on the next phase, looking beyond 2020 towards a more stable, whole-of-government information management policy framework. Key to this framework is the recognition that information management has many aspects, including privacy, security, cyber resilience, data sharing, preservation and access. The National Archives does not have primary responsibility for all of these; oversight of government information management is shared across several Commonwealth entities. Our work in promoting a collaborative approach to a single, common policy framework will contribute to a truly national system of government data management.

This policy work has been complemented by the production of Commonwealth information management standards – most notably, mandatory instructions for: digital standards; the retention of ministers' and ministerial offices' records; and the retention of records relating to child sexual abuse incidents and allegations.

Preserving Australia's memory: an ongoing process

In an archival context, 'preservation' means much more than simply keeping information in its original form, frozen in time. Preservation of an archive means keeping the record in a state that is at once authentic and accessible. This means that the process of preservation never stops; it is a continuous activity that has to keep pace with the context in which archival records are described, accessed and used.

During the past year, preservation of analogue collections has primarily focused on those records at risk of deterioration and loss. Consistent with my report on the 2017–18 year, we allocated as many resources as possible to the ongoing digitisation of audiovisual archives held on magnetic tape in obsolete formats. Also at risk are our photographic collections; consequently, resources have been dedicated to their digitisation and preservation.

This year saw the successful move of our collection in Western Australia from outdated premises in Perth's East Victoria Park to a state-of-the-art facility in the suburb of Belmont. Work on a further 75 shelf kilometres of storage capacity in Canberra has continued on schedule and is expected to be ready for occupation early in 2019–20. On the digital front, we have successfully installed a new enterprise-grade storage system, spread across our Canberra and Sydney sites for business continuity and enhanced resilience. Data migration onto the new platform has begun and will continue in 2019–20.

In September 2018, the National Archives' preservation facility in Mitchell, Australian Capital Territory, was named the Peter Durack Building. Peter Durack introduced the bill that became the *Archives Act 1983* and led to the establishment of the National Archives; the building's name pays homage to his advocacy for freedom of information and public access to Commonwealth records.

Revealing Aboriginal and Torres Strait Islander histories

A bold and innovative exhibition curated by the National Archives, *Facing Two Fronts*, was installed at the newly opened Sir John Monash Centre near Villers-Bretonneux in France. Drawing on records of military service and the stories of those who served, the exhibition shone a light on Aboriginal and Torres Strait Islander people at war and their fight for social justice when they returned to Australia. The temporary exhibition's tour to the centre was assisted by the Department of Veterans' Affairs and made a significant contribution to the commemoration of the centenary of Anzac.

Providing public access to the archival collection

The 2018–19 year saw initiatives to improve the accessibility of the archival collection and promote the value of this precious national asset. In Western Australia, we moved our public office and research centre to more modern, fit-for-purpose premises in the heart of Perth's cultural precinct. Located in William Square, Northbridge, the new premises were opened by the Attorney-General in March 2019, and house a research centre, seminar facilities and exhibition spaces. The move has proven successful, appreciated by researchers and casual visitors alike.

In the Australian Capital Territory, we started a refurbishment of the public spaces on the ground floor of our premises at East Block, Parkes. We expect to open to the public in late 2019, revealing new galleries, event spaces, a cafe and shop. For now, we continue to operate our research centre from temporary premises in Old Parliament House; it will return to East Block in late 2019.

As in previous years, there have been many requests for the declassification of sensitive government records, with around 40,000 applications received. The high volume of requests, and the limited resources available for processing them, mean that we continue to experience processing backlogs averaging just under 25,000. Notwithstanding the prolonged time that can be taken to finalise a complex request, our commitment to opening records for public access remains solid, as evidenced by the statistics: 96 per cent of records are open without exception; around 3 per cent are released with some redactions; and less than 1 per cent are withheld.

Reviewing the functions and efficiency of the National Archives – the Tune Review

The advances and accomplishments of 2018–19 notwithstanding, the National Archives faces significant challenges if it is to realise its vision of being a world leading archive in this digital age. We must address a shortfall in our digital capability if we are to ingest and preserve the increasing volume of digital Commonwealth records of archival value. We must act quickly and decisively to identify and preserve those items in the collection that are at most risk of loss through deterioration or obsolescence. We need to maintain the momentum of our leadership in setting standards for Commonwealth records management and ensure our products and services remain relevant and fit for purpose. Our presence in every state and territory, as required by the Archives Act, means we must deal with rising rent and property expenses that now account for almost half our overall budget.

In response to these and other challenges, in April 2019 the Attorney-General initiated an independent Functional and Efficiency Review of the organisation. The review, conducted by Mr David Tune, is now under way and will consider the enduring role of the National Archives in the protection, preservation and use of official government information, how the National

Archives might best perform this role, and what powers, functions, resources and legislative and governance frameworks the National Archives needs to effectively undertake this role in the digital age. It is expected that the review will be completed in the first half of 2019–20.

Looking ahead

This year has been successful on many fronts. However, at the conclusion of the reporting period, the National Archives is at a pivotal point as we carefully consider our priorities and strategies for the future. The outcomes of the Tune Review will be of great importance in this regard. They will inform the resetting of our functions and priorities to ensure the integrity of Australia's Commonwealth public administration and elevate our services to a level that Australians expect of their National Archives.

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

David Fricker
Director-General





Part 1: Overview of the National Archives



Mr and Mrs Mortensen holiday at the Great Barrier Reef, 1956.
NAA: A1500, K1302

Purpose, role and functions

The National Archives provides leadership in best practice management of the official record of the Commonwealth and ensures that Australian Government information of enduring significance is secured, preserved and available to government agencies, researchers and the community.

The National Archives was established under the *Archives Act 1983* (the Act) and is a non-corporate Commonwealth Entity (a Listed Entity) under the *Public Governance, Performance and Accountability Act 2013* (PGPA Act) and an Executive Agency under the *Public Service Act 1999*.

The National Archives:

- sets the information management standards that must be met by Australian Government agencies
- authorises the appropriate destruction of Australian Government information of no enduring significance
- manages Australian Government information of enduring significance as part of the national archival collection
- preserves and secures the national archival collection
- ensures that public access to the national archival collection is provided in accordance with the Act to the fullest extent, while taking proper account of privacy, security, confidentiality and public interest.

Guiding principles

Our vision

To be a world leading archive in this digital age.

Our mission

To connect Australians with their identity and history through our stewardship of Australian Government records.

Our values

- Service excellence – deliver quality and responsive services that meet the needs and expectations of our clients and partners.
- Leadership – strive to be national and international leaders in information management policy, digital transformation, archival collection management and creative public engagement.

- Innovation – look for new and better ways to do business and deliver digital services that are user centred and embrace the future.
- Responsibility – take responsibility for delivering the goals and priorities comprising a transformational program of work.
- Collaboration – work with the public, private and civil society sectors to achieve shared goals and outcomes.

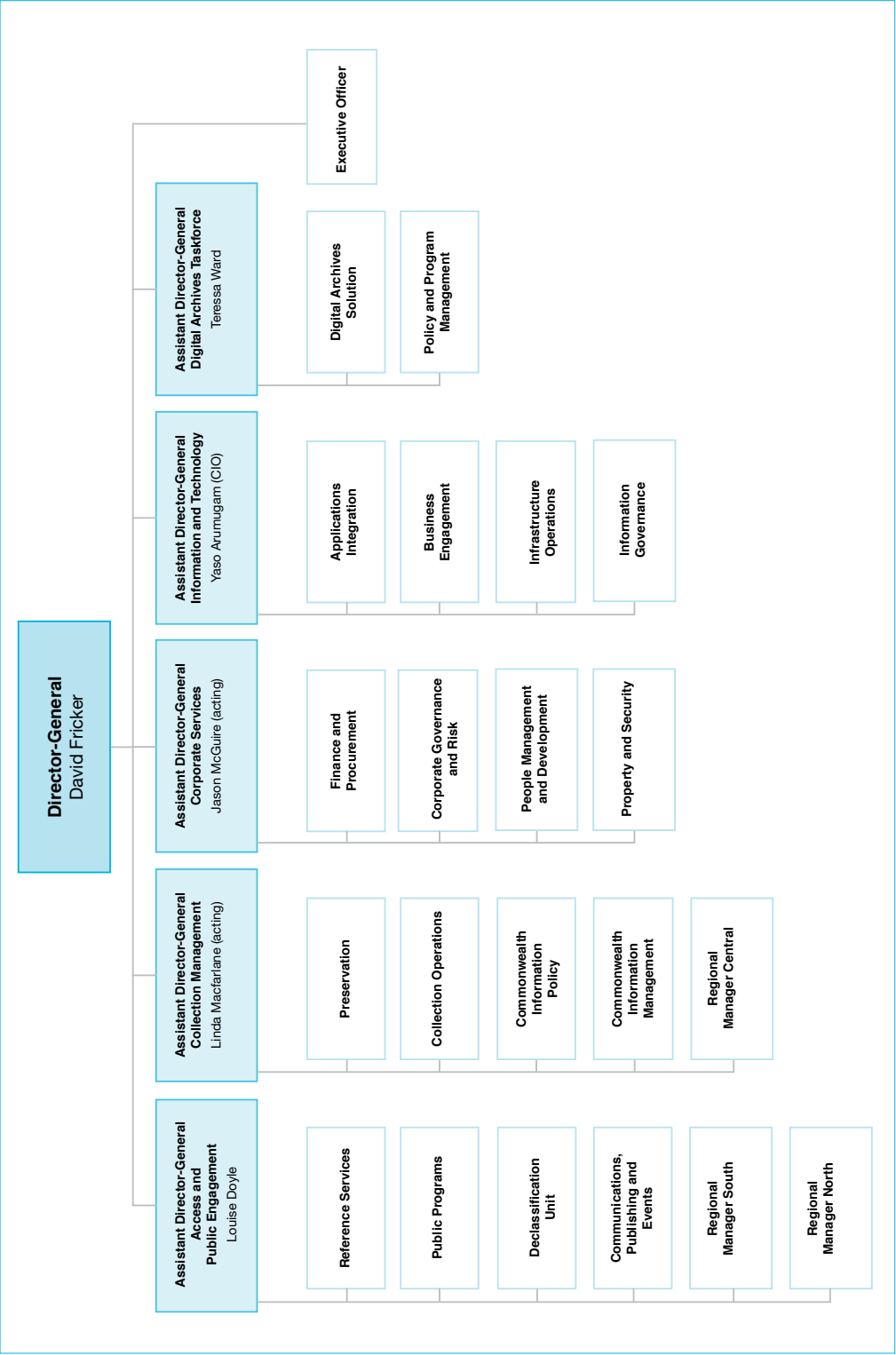
Organisational structure

At 30 June 2019, the National Archives operated under a five-branch structure.

On 1 July 2018, a fifth temporary branch – the Digital Archives Taskforce – was added to the existing four-branch structure. Brief summaries of branch roles and functions are provided below:

- The Information and Technology branch is integral to the National Archives' transformation to a state-of-the-art digital archive, supporting the achievement of strategic goals through services, technology, infrastructure, software and governance of 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 National Archives, delivering access to the collection onsite, offsite and online through our digital platforms, research centres, reference services, research centres, education and public programs, exhibitions, publishing, marketing, media engagement 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 its authenticity, integrity, preservation, usability and availability.
- The Digital Archives Taskforce was established to accelerate the National Archives' next generation digital transformation by developing digital preservation policies and standards, identifying new digital preservation and archival management solutions, designing new digital archiving processes, mapping digital archival capability requirements and supporting upskilling through a broader capability framework and training regime.

Figure 1 | Organisational structure, 30 June 2019



Outcome and program structure

The 2018–19 Portfolio Budget Statements set out the National Archives’ outcome and program structure, as follows:

Outcome	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.
Program	National Archives of Australia

To achieve its outcome, the National Archives will:

- respond to changes in the information environment, including moving and guiding Commonwealth entities towards comprehensive digital information management
- continually build its capability to take custody of Australian Government information and to preserve and make records available for public access
- work with entities to improve business efficiency across government by enhancing capability to retrieve and re-use information and reduce stockpiles of paper records
- foster effective relationships with entities and strategic stakeholders, including the information and communications technology and cultural sectors
- work closely with other key information and security entities across government to ensure that digital information management is improved through strategies, standards and policies
- promote and provide widespread access to the national archival collection through a national network of research centres, reference services, and education and public programs, taking advantage of the opportunities provided by known and emerging technology.

Accountable authority

The National Archives’ accountable authority for the whole of 2018–19 was Mr David Fricker as Director-General. Mr Fricker was appointed on 1 January 2012 and reappointed on 1 January 2017 for a further five-year term.

Table 2 | Details of accountable authority during 2018–19

Name	Position held	Period as the accountable authority or member	
		Date of commencement	Date of cessation
Mr David Fricker	Director-General	1 January 2017	31 December 2021





Part 2: Report on performance



An engraved postage stamp featuring a black swan, 1880s–90s.
NAA: A1200, L16710

Statement of preparation

I, David Fricker, as the accountable authority of the National Archives of Australia, present the National Archives' annual performance statement for the period 1 July 2018 to 30 June 2019, 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 2018–19 to 2021–22, and as published in the National Archives' 2018–19 Portfolio Budget Statements.

In my opinion, the annual performance statement is based on properly maintained records, accurately reflects the performance of the National 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
13 September 2019

Annual performance statement

Purpose

The purpose of the National Archives is to provide leadership in best practice management of the official record of the Commonwealth and ensure that Australian Government information of enduring significance is secured, preserved and available to government agencies, researchers and the community.

Analysis of performance against purpose

The National Archives seeks to achieve its purpose through one outcome:

Outcome 1: 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.

Program 1.1: National Archives of Australia

The National Archives provides stewardship of the records of the Australian Government to provide access to the evidence and memory of our nation, connecting Australians with their identity, history and place in the world.

Criterion source

Program 1.1, 2018–19 Portfolio Budget Statements pp.178–9

Performance results

The National Archives measures its performance using a range of criteria as outlined in the National Archives of Australia Corporate Plan 2018–19 to 2021–22 and 2018–19 Portfolio Budget Statements. These criteria include deliverables that assess the value of National Archives' activities and areas of future business improvement.

Performance criterion one

Australian Government agencies are surveyed against Digital Continuity 2020 (DC2020) Policy targets and outcomes reported to the Prime Minister and the Minister

Criterion source

Program 1.1 deliverables, 2018–19 Portfolio Budget Statements pp.178–9
National Archives of Australia Corporate Plan 2018–19 to 2021–22

Delivery strategy

Establish frameworks for best practice management of Australian Government information by Australian Government agencies toward achievement of Digital Continuity 2020 Policy targets.

Result against performance criterion

Ninety-seven per cent of entities completed the Check-up PLUS survey in 2018–19, 1 per cent higher than the target of 96 per cent participation.

Analysis of survey responses and case studies demonstrates Australian Government entity progress against Digital Continuity 2020 Policy outcomes.

Analysis of performance

The National Archives' Digital Continuity 2020 Policy is a whole-of-government approach to digital information governance that contributes to the Australian Government's digital transformation agenda. The policy aims to integrate robust digital information management into all government business processes to support digital service delivery as well as efficiency, innovation, interoperability and information re-use. Building on progress made under the 2011 Digital Transition Policy, agencies are progressively moving from paper-based to digital information and records management.

The Check-up PLUS survey of Australian Government entities was conducted for the first time in 2018–19, replacing the former Check-up Digital survey and the biennial survey of Information and Records Management Practices. Check-up PLUS aligns with the National Archives' Information Management Standard and is an online self-assessment tool designed to gauge Australian Government agencies' maturity and performance in information and data management. Completion of the survey is an annual requirement under the Digital Continuity 2020 Policy, enabling agencies to track their progress against a variety of best practice information management behaviours and identify improvements to their information and data management maturity.

During 2018–19, 97 per cent of Commonwealth entities completed the Check-up PLUS survey.

The average information management maturity index score for all agencies was 3.1 out of 5. These results are above the median and suggest that agencies are improving, with above average responses of 'often' and 'usually' applying to a range of information management practices measured in the survey. The index also indicates that considerable progress is required across agencies to address information and data risks and realise the full benefits of best practice information management.

During 2018–19, the National Archives introduced a number of initiatives and products to address gaps identified through the annual surveys, and assist agencies to progress towards meeting the objectives of the Digital Continuity 2020 Policy. These included:

- developing a learning resource to build agency capability to meet interoperability expectations set out in the Digital Continuity 2020 Policy to support the use and re-use of government information and data
- setting a new target to support agency professionalism by requiring senior staff responsible for information governance (Chief Information Governance Officers) to join a professional association to support their continuing professional development

- carrying out planning and analysis for a capability development program to assist agencies to meet their information management maturity objectives
- providing practical guidance for capturing social media records to support management of official Australian Government information.

The National Archives will continue its program of policy development and the roll-out of advice, assistance and practical tools to assist agencies in their digital transformation journey to ensure that Australian Government information assets are created and maintained for the benefit of all Australians. Reporting against the Digital Continuity 2020 Policy to the Minister and Prime Minister in 2018 was delayed to early 2019–20 to enable results of the first Check-up PLUS survey to be included in analysis of progress against policy outcomes.

Case study

The Commonwealth Scientific and Industrial Research Organisation (CSIRO) is Australia's national science agency and one of the largest and most diverse research agencies in the world. Its information and data assets are of immense value.

In 2018–19, following a successful enterprise information and data audit, CSIRO was able to identify key systems that required assessment against the National Archives' business systems assessment framework (BSAF). The BSAF is a tool created to assist government agencies assess the information management functionality of their business systems in meeting Digital Continuity 2020 Policy requirements.

A BSAF pilot study was undertaken to assess information management requirements against one of CSIRO's high priority business systems. CSIRO tailored the BSAF tool to use language and requirements that met their needs. The successful pilot resulted in the development of a BSAF workflow that is now recognised as 'business as usual' within the agency.

The workflow has been a catalyst for linking a range of professionals responsible for adding information and data into business systems, including cybersecurity and privacy officers. BSAF is now considered during project procurement stages, demonstrating that it is part of an organisational culture that is committed to building more robust business systems.

This work was a key step in ensuring CSIRO meets the Digital Continuity 2020 Policy requirement that business systems have been assessed for information management functionality. This assessment ensures that information is available and usable for as long as it is required, and in accordance with business outcomes and risks.

Case study

As an Australian Government agency, the National Archives is required to meet the principles of the Digital Continuity 2020 Policy. In doing so, the National Archives aims to be an exemplar, meeting interim targets within recommended timeframes, and sharing approaches to achieving the goals of the policy with other agencies.

One of the main undertakings in 2018–19 was to identify analogue approval processes and convert them to digital authorisations and workflow processes to meet the 30 June 2019 interim target.

The National Archives approached the task by developing a checklist based on its digital authorisations framework to help assess the business processes and identify any blockers to moving to digital processes. This identified a number of forms which still required 'wet signatures'. Information management staff worked with relevant business areas to revise these to digital authorisations. In most cases, an email or online workflow approval process was sufficient. Exceptions included external forms which were referred to the National Archives' Commonwealth Information Policy section to follow up as part of developing whole-of-government advice and support.

The review of authorisation processes provided an opportunity for business areas to examine their practices and better align them with digital business processes. As one staff member stated: 'My experience has confirmed that it's a no-brainer to move most processes online'.

Performance criterion two

Records of enduring national significance are identified and transferred into the national archival collection for safekeeping.

Criterion source

Program 1.1 deliverables, 2018–19 Portfolio Budget Statements pp.178–9
National Archives of Australia Corporate Plan 2018–19 to 2021–22

Delivery strategy

Secure and preserve Australian Government information of enduring national significance for the national archival collection.

Result against performance criterion

Three-quarters of Australian Government entities had comprehensive records authority coverage at 30 June 2019, meeting the 75 per cent target.

Preservation work is measured by the number of items that received treatment or were digitised. The case studies on pages 20 and 21 provide examples of the records of enduring national significance transferred for safekeeping in the national archival collection.

Analysis of performance

In 2018–19, the number of PGPA Act Commonwealth entities with comprehensive records authority coverage increased from 135 to 141, representing 75 per cent of a total 188 entities.

During this financial year, the National Archives issued 25 records authorities under the *Archives Act 1983*. Of these, five provided new comprehensive coverage for the agencies to which they were issued. The remaining 20 authorities related to revisions of existing authorities, or new general records authorities (GRAs) which apply to all agencies. This included GRA41 for Child Sexual Abuse Incidents and Allegations issued in response to recommendations of the Royal Commission into Institutional Responses to Child Sexual Abuse, and GRA38 for ministers of state which sets out the requirements for keeping or destroying records created as part of a minister's official duties.

A disposal freeze was issued in June 2019 to ensure that records which may be relevant to the Royal Commission into Violence, Abuse, Neglect and Exploitation of People with Disability are protected and available for the purposes of the royal commission and any subsequent actions by the Australian Government. A records retention notice for the Royal Commission into Aged Care Quality and Safety was issued to 22 agencies identified as potentially holding relevant records, suspending their permission to destroy those records.

The Administrative Functions Disposal Authority (AFDA) and the streamlined AFDA Express, which set out requirements for keeping or destroying records of administrative business performed by most Australian Government agencies, were iteratively revised and reissued as AFDA Express Version 2.

The Preservation Digitisation Standards which set out the required standards for digitisation of archival records in all formats were issued on World Digital Preservation Day on 29 November 2018. The National Archives' collection consists of a wide range of formats including those which are physically deteriorating through use, are inherently unstable, or are at risk of becoming inaccessible due to technological obsolescence of playback equipment. The Preservation Digitisation Standards support the National Archives in delivering its key responsibility to preserve and make publicly available the Australian Government records that reflect our history and identity through the production of a digital copy which is an effective long-term surrogate for the original.

The National Archives preserves items in its collection through physical preservation treatments, as well as digitisation for preservation purposes. During 2018–19, a total of 50,993 items in the National Archives' collection received physical preservation treatment. An additional 1,804 audiovisual items, 59,852 photographic images and 1,554,413 pages

of paper records were digitised under the National Digitisation Strategy which supports both preservation of at-risk formats and access to high demand collections. Key collections digitised under this strategy included World War II posters, photographic material relating to Nauru, Ocean Island and Christmas Island, and Forced Adoptions memorabilia.

Through its on-demand service, which provides digital copies of items for a fee, the National Archives digitised 235,211 pages or images for government entities and made publicly available 1,023 photographic images and 651,086 images of paper records.

Transfers of records of archival significance to the National Archives' custody during 2018–19 included:

- Australian Antarctic Division, Tasmania – 1,104 scientific and technical drawings of equipment used for research over the period 1959 to 1992, totalling two shelf metres. The records were approved for immediate release to the public by the Australian Antarctic Division.
- Federal Executive Council – bound volumes of original minute papers dating from 2010 to 2011, totalling 3.24 shelf metres
- National Capital Authority (NCA) – 304 design boards relating to the NCA Design Competitions for Commonwealth Place and Reconciliation Place dating from 2000 to 2001, totalling 18.30 shelf metres.

Case study

In 2018–19, the Australian Antarctic Division transferred station reports, logs and year books (series P1556). The stations covered are Heard Island (1947–63), Macquarie Island (from 1948), Antarctica (1948–54), Mawson (from 1954), Davis (from 1957), Wilkes (1957–69), Casey (from 1969) and other temporary field locations. The transfer included records of operations and events at each station for the duration of each expedition.

The station reports vary in content and detail with some officers-in-charge and expeditioners compiling more thorough reports than others. Logbooks are in diary format, recording daily activities over the period of each expedition.

Matters reported on the files include shipping, equipment, working methods, topography, weather conditions, personnel, specific field trips and station building services such as plumbing, carpentry and electrical. The files include black-and-white photographs depicting station life and activities; large maps and charts; handwritten notes and sketches; and typed reports.

Case study

The Federal Executive Council was established under the Australian Constitution to perform similar functions in Australia to those performed by the Privy Council in the United Kingdom – that is, to advise the Crown. The council is the formal constitutional and legal body responsible for advising the Governor-General.

The records transferred by the council in 2018–19 represent submissions and approvals (series A1572 and A1573) from 2010 and 2011. These transfers add to the complete run of submissions and approvals held by the National Archives dating back to the council's establishment in 1901.

The minute papers submitted to each meeting provide a significant insight into the operations of the government of the day. Minute papers are prepared in the appropriate department of state and signed by the Minister. The schedule for each meeting lists the minute papers considered, the date and place of the meeting, and those present – usually the Governor-General and two ministers of state.

Once approved, the original, bearing the Governor-General's signature, is retained in the council records. The duplicate is stamped to indicate that it has been approved by the Governor-General and returned to the department concerned.

The records of the council are considered to be an iconic part of the National Archives' collection because they represent key decisions of the government.

Performance criterion three

The national archival collection is accessible and promoted, and made available through multiple channels regardless of original format.

Criterion source

Program 1.1 deliverables, 2018–19 Portfolio Budget Statements pp.178–9
National Archives of Australia Corporate Plan 2018–19 to 2021–22

Delivery strategy

Connect researchers and the community to the national archival collection and enhance understanding of the role of the National Archives.

Result against performance criterion

The National Archives developed a new public engagement reporting methodology and framework to establish 2018–19 as the benchmark year for measuring progress towards its target of a 3 per cent annual increase in public engagement.

Statistics for onsite, offsite and online public engagement activity provide a quantitative analysis of performance. Case studies (see pages 23–5) demonstrate the accessibility and level of engagement with the national archival collection, the channels used, and cooperation with other stakeholders.

Analysis of performance

Millions of Australians engaged with the National Archives onsite, offsite and online in 2018–19.

Our research centres, public programs, events and exhibitions attracted hundreds of thousands of visitors across the country, while millions more accessed National Archives services and information through our websites and social media channels.

The National Archives' public engagement is measured under three streams of activity:

1. onsite – visits to our offices and research centres located in every capital city
2. offsite – attendance at National Archives and partner events and activities held at other venues
3. online – visits to our websites, social media followers and digital media audiences.

Our digital channels continued to drive the majority of public engagement activity. Visits to our websites totalled more than 4.3 million, while social and digital media activity reached an aggregate potential audience of more than 23.5 million across the year. Our digital platforms provide ready access to the collection and National Archives services while promoting the organisation through published information and online media articles.

Digital engagement is complemented by the National Archives' network of offices in every capital city in Australia. Our state and territory offices (STOs) provide access to the national archival collection, deliver public engagement programs and events, and perform a crucial role in building collaborative partnerships with other cultural and community organisations. Onsite visits to our Canberra head office and seven STOs totalled more than 87,000. Clients visited research centres, attended exhibitions and public programs, and participated in public and corporate events.

More than 270,000 people attended offsite events and activities including touring exhibitions, collaborative events run with our partners, and outreach programs. The touring exhibition *A Ticket to Paradise?* completed its national tour, attracting a total of 218,248 visitors over four years.

Through its network of research centres and online services, the National Archives continued to assist researchers and other Australians to access the collection. More than

10,000 people viewed records in research centres located in every state and territory capital. In 2018–19, the National Archives received 62,190 reference enquiries and responded to 94 per cent of these within standards of service. In Canberra, research centre services were provided in our temporary location at Old Parliament House while maintenance work was undertaken on our headquarters building at Queen Victoria Terrace, Parkes.

A focus throughout the year was assisting people, often child migrants and Aboriginal and Torres Strait Islander people who have experienced institutional abuse, access records in support of applications under the National Redress Scheme. The National Archives also provided vital evidence of the citizenship of members of parliament in response to inquiries relevant to section 44 of the Australian Constitution.

The opening of our state-of-the-art Western Australia Office in Northbridge in March 2019 marked the beginning of a new era for public engagement in the state. Visitors to the new office in the heart of Perth's cultural precinct can engage with the National Archives' collection through a research centre, seminar facilities and exhibitions.

Throughout the year, the National Archives continued to digitise the collection and progressively add the digital copies to its online collection database, RecordSearch. At the end of 2018–19, more than 60 million images (approximately 5 per cent of the collection) could be viewed online.

Case studies

Collaborating to provide public access to collection material

Each STO holds unique collections rich in local material and stories. During the first half of the reporting period, the Tasmania Office worked with the Maritime Museum of Tasmania (a volunteer-funded and managed museum) to develop a display highlighting the Tasmanian maritime records held by the National Archives, including records on Antarctica, trading, immigration, whaling, lighthouses and merchant seamen. From late September 2018 through to early January 2019, the display was viewed by over 8,000 visitors, both domestic and international, contributing significantly to the National Archives' outreach programs.

Digitising the collection with public help

The Queensland Office conducted a self-service digitisation trial from November 2018, allowing researchers to digitise original archival material in the research centre. Visitors were able to digitise suitable records and save a copy for themselves on USB. After a quality check, the images were loaded to the National Archives' database and made available to the public. The service was enthusiastically embraced by both first-time and regular researchers, historical societies, professional researchers and community groups. During the trial, over 30,000 pages were digitised. The service has led to collaborative work between interstate organisations and across cultural institutions.

Using crowdsourcing to transcribe item lists

The HIVE website provides a digital platform for members of the public to transcribe item lists that are used to make the collection more accessible. HIVE gives researchers access to digitised copies of original item lists received by the National Archives which are not yet on a database. Through a simple data entry screen, users can transcribe the item lists. The data they create is then manipulated into usable item descriptions and loaded to the National Archives' database, RecordSearch. Thanks to the efforts of online volunteers since 2012, over 527,000 item titles can now be found and ordered online.

Describing unique collections

During the year, the National Archives continued to enhance collection accessibility by describing records at item level on RecordSearch. Work in 2018–19 covered a diverse range of records, including those accumulated by the Medical Equipment Control Committee from 1939 to 1947. The records document the committee's role in the regulation, research and development of pharmaceuticals in Australia during World War II and the consequent manufacture of these pharmaceuticals in a heavily rationed postwar Australia. The records highlight a strong and influential committee operating within the Department of Defence, making decisions that had far-reaching military, social, economic and medical impacts on Australia, the war effort and the immediate postwar period. For example, the records document the recruitment and employment of women and prisoners of war in research roles in Australian universities to develop new medicines; the use of land and labour in Australian prisoner-of-war internment camps to grow poppies for opium and quinine trees for quinine; and the committee's responses to personal appeals from doctors for medicine for gravely ill patients.

Harnessing the power of volunteers

A small volunteer team in our Canberra office worked with the National Archives to describe series in the collection. Work included description of a series of ships' drawings and specifications (MP551/1) dating from 1870 to 1957. The series contains plans for the hulls of Royal Australian Navy vessels, naval vessels from other countries, and non-naval vessels of Australian Government agencies, including the New Guinea Administration. These records are frequently requested but, given the technical nature of the material, have inherent preservation, contextual and descriptive issues. Volunteers with relevant expertise have helped describe the records in greater detail, improving access. To date, this collaboration has resulted in approximately 6,000 drawings being reviewed and prepared for access.

Community engagement

The National Archives continued to provide a range of community engagement programs, including tailored programs for undergraduate and graduate students. In May 2019, following a visit from a group of masters students from the Australian National University's Heritage and Museum Studies program, we received the following feedback:

It was wonderful for the students to get a deeper understanding of the form and function of the Archives from multiple perspectives – from legislation to missions, collections management, exhibitions and conservation – and then to have a ‘behind the scenes’ tour of the new repository at Mitchell. The student feedback was incredibly positive and a couple of them specifically expressed how impressed (and grateful) they were for the amount of effort that you put into the visit. I know how extremely busy your schedules are in a climate of reduced staffing, so taking the time out to talk to students who are just starting out in the field is really special. Thank you all so much!

Access examination

The *Archives Act 1983* provides a general right of access to records in the open access period, unless they are exempt under one or more of the 16 exemption categories defined in section 33. Before records are released, they are examined by National 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 National Archives’ program of proactive release.

On 25 April 2019, amendments to the access provisions of the *Archives Act* took effect. The amendments provide the National Archives with tools to appropriately manage requests for access to large numbers of records. They provide more realistic timeframes for processing applications, both for access and for internal reconsideration. The amendments also facilitate efficient and equitable access to open-period Commonwealth records for a broader range of applicants by enabling the National Archives to extend the statutory timeframe within which it must respond to an application for access. Since the amendments came into effect, statutory timeframes for access have been extended for 18 applicants.

At 30 June 2018, there was a backlog of 25,942 applications for access to records. During 2018–19, the National Archives received 46,298 new applications for access to records and released 43,860 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. This means that the examination of a single item may result in the completion of a number of applications. The National Archives also released 270,738 records as part of its program of proactive release. Proactive releases included the release of records relating to climate change; the immigration of displaced persons following World War II; case history material for tropical cyclones; postmaster diaries; Department of Works files; alien registration files; and key 1996–97 Cabinet records.

At 30 June 2019, there was a backlog of 23,197 applications for access to records from the public pending examination. The National Archives continues to manage the backlog in addition to responding to new requests and maintaining its program of proactive release.

Table 3 | Number of records access-examined (2018–19)

Reason for examination	Number of items
Response to public access applications	43,860
Proactive release program	270,738
Total	314,598

Table 4 | Decisions on access (2018–19)

Decisions resulting from access examination	Number of items
Wholly released	310,452
Partially released	3,492
Wholly exempt	654
Total	314,598

Table 5 | Time taken for simple access examination (2018–19)

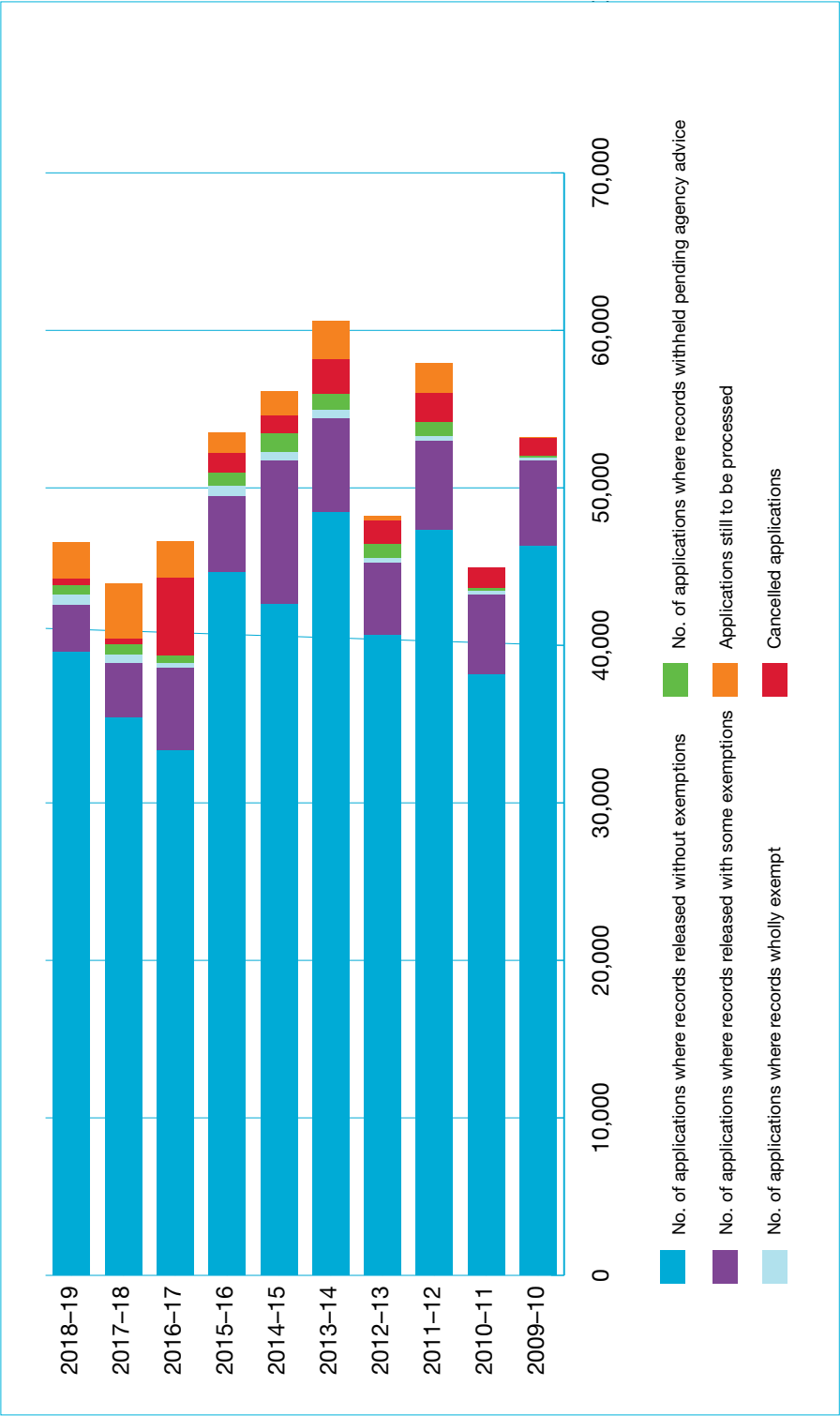
Time taken to make decisions	Number of items
Within 90 days	37,117
More than 90 days	2,937
Total	40,054

Table 6 | Time taken for complex access examination (2018–19)

Time taken to make decisions	Number of items
Within 90 days	2,581
More than 90 days	1,225
Total	3,806

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 (2009–19)



Financial performance

The National Archives recorded a deficit of \$14.1 million for 2018–19, compared with a deficit of \$12 million in 2017–18. From a Statement of Comprehensive Income perspective, the National Archives does not receive appropriation funding for depreciation and amortisation expenses; excluding these expenses, the National Archives' overall result is a deficit of \$2.9 million for 2018–19.

The notes to the audited financial statements explain the key numbers. In particular, the commentary on variances to budget highlight specific events and reasons that had an impact on the results.

Statement of comprehensive income

Income

Total income for 2018–19 was \$72.8 million, which is an increase of \$1.3 million from \$71.5 million in 2017–18.

The \$1.3 million increase in income is primarily due to an increase in other revenue by \$2.9 million from the higher intake of records from Australian Government entities.

The increase was offset by reduced revenue from government (\$1.3 million) as a result of efficiency dividends and government savings measures (\$2.3 million) offset by additional funding for the Digitisation of Prime Ministers' Records (\$1.0 million).

Expenditure

The total operating expenditure increased \$3.4 million to \$86.9 million in 2018–19 from \$83.5 million in 2017–18.

There was an increase in employee expenses of \$3.9 million to \$37.3 million in 2018–19 from \$33.4 million in 2017–18. This is primarily due to a voluntary redundancy program undertaken in 2018–19, the impact of bond rate adjustments on leave expenses, and a higher average staffing level compared to the previous year.

Supplier expenses increased \$2.5 million to \$36.9 million in 2018–19 from \$34.4 million in 2017–18. The increase is mainly due to higher operating rental expenses (\$3 million), and a writedown and impairment of assets (\$1 million) due to a write-off of an infrastructure, plant and equipment project where work ceased in 2018–19.

The increase in operating expenditure through employees and suppliers was offset by a decrease in depreciation and amortisation expenditure of \$4 million to \$11.2 million in 2018–19 from \$15.2 million in 2017–18. This decrease is primarily the result of a number of infrastructure plant and equipment assets reaching the end of their useful life after the expiration of leases for properties in New South Wales and Western Australia.

Balance sheet

Assets

At 30 June 2019, the National Archives' assets increased by \$10 million to \$1.545 billion from \$1.535 billion at 30 June 2018. The increase was mainly due to the revaluation of infrastructure, plant and equipment assets by \$11.1 million, larger cash on hand of \$0.6 million and other non-financial assets of \$0.8 million as at 30 June 2019. This was offset by a reduction in trade and other receivables of \$2.7 million resulting from higher appropriation drawdown during the year.

Liabilities

The National Archives' total liabilities increased \$1.9 million to \$28.8 million at 30 June 2019 from \$26.9 million at 30 June 2018. The increase was mainly due to an increase in supplier payables of \$7.5 million, primarily as a result of the straight-lining accounting treatment for the new leases commenced during the year offset by a decrease in other provisions of \$6.1 million due to de-recognition of make good provisions following lease expirations.

Equity

The National Archives' total equity increased \$8.0 million to \$1.516 billion at 30 June 2019 from \$1.508 billion at 30 June 2018. The net increase is a result of an increase of \$16.5 million in reserves primarily as a result of the valuation of the infrastructure, plant and equipment assets and the de-recognition of make good provisions, an increase of \$5.8 million in contributed equity (departmental capital budget), offset by a decrease of \$14.1 million reflecting the deficit recorded in 2018–19.





Part 3: Management and accountability



A stockman driving cattle on the main north–south stock route leading to the railhead at Alice Springs, 1968.
NAA: A1200, L17468

Governance

The National Archives' governance framework provides oversight and accountability for the efficient and ethical management of resources and compliance with the regulatory and legislative requirements of a public service entity. By embedding effective governance practices, the National Archives has strengthened its performance in the delivery of programs, policies, projects and services to government and the Australian people.

The National Archives' governance structure consists of six supporting governance committees that report to the Executive Board. An important objective of the committees is to provide assurance and recommendations to the Executive Board to enable risk-based decision-making consistent with the strategic direction of the National Archives.

Executive Board

The Executive Board provides oversight and decision-making in relation to the National Archives' management, performance, strategic direction and priorities, and oversees the financial position of the National Archives by allocating resources, monitoring performance and risk, and ensuring regulatory requirements are met.



Executive Board, National Archives of Australia. Clockwise from left: Teresa Ward, Assistant Director-General, Digital Archives Taskforce; David Fricker, Director-General; Jason McGuire, acting Assistant Director-General, Corporate Services; Linda Macfarlane, acting Assistant Director-General, Collection Management; Louise Doyle, Assistant Director-General, Access and Public Engagement; Yaso Arumugam, Chief Information Officer, Information and Technology.

The members of the National Archives' Executive Board and their responsibilities at 30 June 2019 were:

- David Fricker, Director-General – responsible for the overall management of the National Archives and the appropriate governance of its operations, programs and strategic direction
- Yaso Arumugam, Chief Information Officer, Information and Technology – primarily responsible for supporting the National Archives in the achievement of its vision to be a world leading archive in this digital age. The Information and Technology branch leads innovation through technology and the provision of contemporary services, infrastructure and software while ensuring security and good governance of information assets to protect against cybersecurity threats.
- Louise Doyle, Assistant Director-General, Access and Public Engagement – responsible for providing public access to the collection through programs and services onsite, offsite and online. Activities include national reference services, declassification of records, research centre services, education and community outreach programs, exhibitions, tours, events, publishing, marketing, media engagement, partnerships development and online content.
- Linda Macfarlane, acting Assistant Director-General, Collection Management – responsible for managing the National Archives' collection, ensuring the authenticity, integrity and accessibility of the archival resources of the Commonwealth. The Collection Management branch sets whole-of-government information management standards and assists entities' digital transition through the development of tools and guidance to support policy objectives. The branch also determines those records that must be retained as essential evidence of government through the development of records authorities, and manages the transfer of nationally significant records from Commonwealth entities into the National Archives.
- Jason McGuire, acting Assistant Director-General, Corporate Services – oversees the efficient, effective and ethical management of the National Archives' resources in accordance with whole-of-government legislative and policy frameworks. The Corporate Services branch enables the National Archives' workforce through good governance, capability development, maintenance of secure and contemporary property facilities and a positive risk culture that supports the delivery of strategic priorities.
- Teresa Ward, Assistant Director-General, Digital Archives Taskforce – leads a temporary branch tasked with the National Archives' next stage of digital transformation. The Digital Archives Taskforce is responsible for developing digital preservation policies and standards, identifying new digital preservation and archival management solutions, designing new digital archiving processes, and mapping digital archival training to address skill gaps.

Committees

Six committees contribute to effective and accountable governance across the National Archives:

Committee	Membership	Purpose
Audit and Risk Committee	Independent Chair Mr Geoff Knuckey	The Audit and Risk Committee provides assurance to the accountable authority that the National Archives is meeting its legislative obligations under the PGPA Act.
	Internal member Assistant Director-General Digital Archives Taskforce	
	External member Dr Margo Wade	The committee's main functions are to enhance the National Archives' internal control framework and improve the objectivity and reliability of externally published financial information, risk management procedures and compliance with legislation.
		The committee comprises internal and external members. It meets four times a year, with an additional meeting to review the annual financial statements.
Finance Committee	Chair Director-General	The Finance Committee oversees the financial performance of the National 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.
	Members Chief Information Officer	
	Assistant Director-General Access and Public Engagement	
	Assistant Director-General Digital Archives Taskforce	The committee comprises the Director-General and five assistant directors-general. The committee met 11 times during 2018–19.
	Assistant Director-General Collection Management	
	Assistant Director-General Corporate Services	

Committee	Membership	Purpose
Information Governance Committee	Chair Director-General	<p>The Information Governance Committee is responsible for the governance of all National Archives information and data assets. The committee functions as a mechanism to maintain a consistent and systematic whole-of-agency approach to managing information. It monitors the effectiveness of the information governance framework; ensures the coordination of reporting and external audits and reviews related to information management; identifies roles and responsibilities for information assets; and monitors information infrastructure according to the National Archives' business information needs.</p> <p>The committee comprises all members of the National Archives' Executive Board as the principal advisory committee for the Director-General.</p> <p>The committee met quarterly to consider reports from the Chief Information Governance Officer on progress towards achieving the targets of the Digital Continuity 2020 Policy and to endorse policies, projects and tools for making decisions about information management, data sharing, engaging with cloud services, and identifying information governance and management requirements for systems and processes.</p>
	Members Chief Information Officer	
	Assistant Director-General Access and Public Engagement	
	Assistant Director-General Digital Archives Taskforce	
	Assistant Director-General Collection Management	
	Assistant Director-General Corporate Services	

Committee	Membership	Purpose
Human Resources Management Committee	Chair Director-General	<p>The Human Resources Management Committee is the primary people-governance committee for the National Archives. The committee's terms of reference are to oversee the strategic people-management activities of the National Archives and to advise the Director-General.</p> <p>The committee met throughout the year to consider submissions including, but not limited to, staffing establishment, professional development, workforce planning, diversity, and a range of monthly and quarterly staffing reports.</p> <p>The committee met 11 times during 2018–19.</p>
	Members Assistant Director-General Corporate Services	
	Assistant Director-General Access and Public Engagement	
	Director, People Management and Development	
Project Management Committee	Adviser Chief Financial Officer	<p>The Project Management Committee oversees the management of significant or complex projects being undertaken by the National Archives and reports to the Executive Board.</p> <p>Projects are referred to the committee by the Executive Board based on an assessment of project complexity. Typically, projects referred to the committee may have one or more of the following attributes:</p> <ul style="list-style-type: none"> • a high interdependency across branches, or with external agencies or companies • a significant financial and reputational risk • a high level of complexity. <p>During 2018–19, the committee met monthly.</p>
	Chair Chief Information Officer	
	Members Assistant Director-General Corporate Services	
	Regional Manager Central	
Project Management Committee	Adviser Assistant Director, Corporate Governance and Risk	

Committee	Membership	Purpose
Workplace Relations Committee	Chair Assistant Director-General Corporate Services	The Workplace Relations Committee is the National Archives' peak consultative body consisting of management, union and elected employee representatives to support existing decision-making processes. The committee also functions as the National Workplace Health and Safety Committee for the National Archives as outlined in the Work Health and Safety Management Arrangements for the purposes of the <i>Work Health and Safety Act 2011</i> .
	Members Four employee-elected representatives (two Canberra based and two state based)	
	Community and Public Sector Union representative	
	Management representative: Director, People Management and Development	Consultation between employees and management occurs at the organisational level through the committee.
		The committee considers national workplace matters of significance to employees, and the views of employees on workplace matters that affect them. It also monitors the operation of the National Archives' enterprise agreement.
		The committee met four times during 2018–19.

In addition to the above committees, a Digital Archives Steering Committee oversees the status of, and significant issues arising from, the Digital Archives Program; reports to the Executive Board; and seeks the board's approval of new policies and projects. The committee provides oversight, risk management and strategic direction for the program. The committee is chaired by the Assistant Director-General, Digital Archives Taskforce, and comprises the assistant directors-generals of each branch. The committee met every six weeks during 2018–19.

The inaugural meeting of the National Archives' Cyber Security Governance Committee was held in January. The committee will meet three times a year.

Corporate governance

The National Archives' corporate governance arrangements provide leadership, direction and control to support a high standard of performance in a complex environment. An organisation of this size means corporate processes need to be efficient, meaningful and supportive. During 2018–19, corporate governance focused on simplifying and embedding governance structures and processes to manage compliance obligations and facilitate risk-based decision-making and planning. This approach has enabled a greater efficiency and oversight of compliance across the organisation and provided the Director-General, the government and the community with assurance that the National Archives is meeting its obligations as a public service entity. Through better understanding of risk, planning is more strategic, targeting areas of uncertainty or opportunity, and decisions are made proactively, effectively increasing the likelihood of success in the delivery of objectives.

An independent Functional and Efficiency Review of the National Archives began in April 2019. Due to report to government in late 2019, the review will assess the efficiency and effectiveness of the National Archives' operations, programs, administration, governance and authorising environment.

Corporate planning and reporting

The National Archives' standards of governance and accountability are maintained through strategic planning, performance monitoring and evaluation. A corporate planning and performance reporting framework provides business areas with tools, processes and procedures to assist the development, monitoring and reporting of planned activities and performance.

The Corporate Plan sets the direction for the National Archives for the next four years by outlining strategies for achieving its targets and measuring success. It details the current position and operating context of the National Archives, and identifies critical risks, mitigation strategies and key areas of capability development.

The National Archives sits within the Attorney-General's portfolio, and accordingly appears under the department's Portfolio Budget Statement (PBS). The PBS presents the key programs and activities that will be undertaken in the Budget year with the funding appropriated through parliament. Performance information in the Corporate Plan and PBS is prepared simultaneously at the start of the planning cycle. This ensures there is clear alignment and synergy between both documents.

Performance information contained in the Corporate Plan and PBS is developed in line with:

- the National Archives' existing and emerging strategic priorities
- the technical and professional environment

- government policies and priorities
- Audit and Risk Committee advice
- better practice advice issued by the Department of Finance and the Australian National Audit Office.

The annual performance statement contained in the annual report is produced at the end of the reporting cycle and provides a quantitative measure and narrative assessment of the National Archives' performance in achieving its purpose. It reports results against measures set out in the Corporate Plan and PBS at the start of the reporting cycle. The National Archives is maturing its approach to performance reporting each year by setting clear and cohesive targets that easily link to the information in its primary planning documents. Data is collected regularly throughout the year under a defined performance measurement methodology and constructed into a performance analysis at the end of the reporting period.

Branch and section plans are also prepared at the start of the planning cycle and link day-to-day operational performance to strategic objectives. All planning processes are closely aligned to the National Archives' risk framework to ensure uncertainties and opportunities are identified and managed so that objectives are achieved.

Risk management

The National Archives seeks to continuously improve its risk management framework to ensure it is fit for purpose and integrated into planning, decision-making and business processes. In 2018–19, activities focused on the identification of enterprise-level risks that could affect the achievement of the National Archives' vision, mission and key strategic objectives. The senior executive, along with senior managers, was consulted to identify the biggest threats or vulnerabilities to reaching the National Archives' future desired state, and to assess and agree on the level of associated risk.

A bow-tie methodology was adopted for the enterprise risk assessments, with additional fields added for risk tolerance and effectiveness of controls and mitigations. This provides a clear picture of areas of weakness and strength at which to direct efforts and resources to bring the risk down to the agreed level of tolerance. An executive-level risk owner is accountable for monitoring, managing and identifying new risks as they arise and making decisions in response to these.

This top-down approach to integrating risk into planning provides a clear line of sight between our highest priorities and all other planned work so that our efforts are focused on what we should be doing now and in the future. This is particularly important in an increasingly constrained fiscal environment as it ensures our limited resources are allocated to the highest priority work.

The National Archives' risk maturity continues to grow through activities designed to strengthen risk management capability, simplify risk processes, and communicate and consult about risk. In 2018–19, these activities were directed at:

- reporting to senior management and the Audit and Risk Committee on critical risks to the achievement of high-priority projects, programs and activities
- annually reviewing and updating the National Archives' fraud and business disruption risk registers in consultation with key stakeholders
- regularly engaging with business areas and project teams via risk management workshops designed to increase awareness of, and responsibility for, risk
- completing the annual Comcover benchmarking program to assess the National Archives' risk management practices, maturity and target areas for development
- providing fit-for-purpose documentation, templates and guidance on best practice risk management to National Archives staff
- attending and participating in training, communities of practice, conferences and professional networking
- delivering timely and accurate advice on, and support for, insurance matters to National Archives staff, and renewing and maintaining Comcover insurance cover
- actively managing risks to business operations through the development of business disruption response policy, plans and workflows.

Internal audit

The National Archives' internal audit framework helps the organisation meet its objectives, assures the accountable authority that compliance obligations are being met, and guides the optimal allocation and management of resources. In 2018–19, the audit program helped identify key risk exposures and made recommendations for improvements to business processes, programs and systems of control.

The audit program is drafted by contracted professional auditors in consultation with the National Archives' executive. Areas of consideration for audits are based on the National Archives' strategic priorities, risk management, governance controls and better practice guidelines from the Australian National Audit Office. The program is presented to the Audit and Risk Committee and Executive Board for approval. Responsibility for monitoring the approved audit program and recommendations are set out in the Audit and Risk Committee Charter.

In 2018–19, internal audits were conducted on:

- the implementation of the Digital Continuity 2020 Policy
- the data integrity of the National Archives' collection
- the Digital Archives Program
- financial management processes.

Complaints management

Towards the end of 2018–19, the National Archives established its first formalised feedback system. A feedback policy provides clear pathways for government and public clients and customers to lodge feedback about National Archives services and programs. It also details the mechanisms put in place to ensure timely and effective responses. The National Archives looks forward to further implementing the policy during 2019–20 and is committed to using feedback data to monitor client satisfaction and guide business improvement. Complaints and feedback may be lodged through multiple channels, including a dedicated email address: feedback@naa.gov.au

Fraud measures

The National Archives' fraud and corruption control framework outlines the strategy, governance and procedures in place to protect against fraud and corruption-related risks to National Archives staff, assets and environment.

During 2018–19, the National Archives worked to implement recommendations following an internal audit of the fraud framework in April 2018. The audit identified a number of fraud-related documents that had become outdated following a change of functional ownership. It also identified a need for a more tailored program of fraud training for internal staff.

A new fraud risk assessment was developed in consultation with key business areas to understand the National Archives' fraud risk exposure and identify gaps and weaknesses in controls and mitigations. The assessment determined predominant categories of fraud-related risk including finance, procurement, security and information technology. Information technology and procurement presented the highest risks, mainly due to the potentially significant impact on the National Archives' reputation and financial position.

The National Archives will update its Fraud and Corruption Control Policy and Plan to reflect these risks, strengthen controls and mitigations, and ensure risk levels remain within an acceptable tolerance. Fraud controls and the assessment of fraud-related risks to large projects will be tested with increased rigour. The National Archives will also work to develop a new fraud training program and implement awareness measures to improve staff understanding of fraud.

In 2018–19, there were five instances of fraud reported via the National Archives' fraud reporting telephone and email hotlines, or through written correspondence to the Fraud Control Officer. None of these matters related to the business of the National Archives or its people.

Information governance

The National Archives' information governance framework defines how information and data need to be governed as vital corporate assets essential to meeting our business, accountability, legal and regulatory requirements. The framework outlines an approach to information governance integrated with audit, accountability, compliance, risk management, business continuity, security, and information and communications technology governance.

In 2018–19, the National Archives continued to strengthen its information governance framework, policies and processes. This work is led by the Chief Information Governance Officer (CIGO), who reports directly to the Chief Information Officer and to the Information Governance Committee at the strategic, whole-of-organisation level. The CIGO leads an information governance team responsible for improving the governance and management of the National Archives' information and data assets.

The National Archives achieved Digital Continuity 2020 Policy requirements for 2018–19 by establishing a program of continuing professional development for information governance staff; identifying all information assets and systems; preparing or implementing management strategies; and identifying remaining analogue approval and authorisation processes.

Ethical standards

In the 2018 APS Employee Census, 90 per cent of National Archives employees indicated that colleagues in their immediate work group acted in accordance with APS Values in their everyday work. Ninety-two per cent indicated that their supervisors also acted in accordance with these values. This data reflects the National Archives' commitment to creating and promoting a workplace with high ethical standards. During 2018–19, the National Archives made respectful workplaces and protective security training mandatory for all employees. A comprehensive risk management and fraud control plan mitigates potential unethical behaviour.

There were no internally allocated Public Interest Disclosures in 2018–19. Regular training and information on obligations under the *Public Service Act 1999* are provided to staff.

During 2018–19, no breaches of the Australian Public Service Code of Conduct were determined. There were no requests to review a human resource decision and no appeal to external authorities was made.

External scrutiny

The National Archives is subject to scrutiny by the Administrative Appeals Tribunal (AAT), 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 National Archives makes decisions on access to Commonwealth records under the *Archives Act 1983*. People who are dissatisfied with a decision can, in certain circumstances, seek a review from the AAT. The process involves an applicant lodging an application for review with the AAT in connection with applications made under the Act for access to Commonwealth records.

In 2018–19, the AAT received five appeals from members of the public who were dissatisfied with the decision of the National Archives. One application before the AAT was split into three separate applications because of the complexity of the original appeal. Three applications on a deemed refusal were withdrawn once the applicants were granted access. One application was dismissed by the AAT. Twenty-seven appeals were carried over from the previous financial year. At 30 June 2019, 30 appeals remained before the AAT.

Federal Court of Australia

There was one case on matters relating to the National Archives before the Federal Court of Australia in 2018–19: *Hocking v. Director-General of the National Archives of Australia* (2019) FCAFC 12. Professor Jennifer Hocking's appeal was heard by the full court of the Federal Court (Chief Justice Allsop and justices Flick and Robertson) on 28 November 2018. The judgment was handed down on 8 February 2019. The court dismissed the appeal with an order that the appellant pay the respondent's costs fixed in the amount of \$30,000.

High Court of Australia

The National Archives had one case before the High Court of Australia in 2018–19: an application filed by Professor Jennifer Hocking seeking special leave to appeal the decision of the full court of the Federal Court in *Hocking v. Director-General of the National Archives of Australia*. The special leave hearing is due to be heard in 2019–20.

Australian National Audit Office

During 2018–19, the National Archives was involved in one multi-portfolio performance audit – Implementation of the Digital Continuity 2020 Policy. The audit's objective was to

examine the extent to which Commonwealth entities have implemented the policy and how effectively the National Archives is administering, monitoring and assisting entities to meet the specified targets. Other entities involved were the Attorney-General's Department, the Civil Aviation Safety Authority and the Office of Inspector-General of Intelligence and Security. Tabling of the audit is expected in September 2019.

Commonwealth Ombudsman

No investigations were conducted by the Commonwealth Ombudsman during 2018–19.

On 29 June 2018, the National Archives received advice from the Ombudsman that one ongoing investigation from 2017–18 into a complaint about the National Archives' service had been finalised with no further investigation warranted.

Parliamentary committees

The National Archives made one submission to parliamentary committees in 2018–19: to the Joint Committee of Public Accounts and Audit inquiry into the ANAO Report No. 53 (2017–18) *Cyber Resilience*.

Submissions were also made to the following Australian Government reviews:

- Soft Power Review
- Independent Review of the APS: Priorities for Change.

Freedom of Information

In 2018–19, the National Archives received 11 Freedom of Information (FOI) requests. The results of these request were:

- six decisions were finalised within the required timeframes, granting access in full or part
- one decision was finalised within the required timeframe, refusing access
- one decision was finalised overdue, granting access in part
- one application was transferred to another agency
- two applications were withdrawn.

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 National Archives complies with the requirement in Part II of the FOI Act to publish information to the public as part of the IPS. A plan outlining what information is published in accordance with the IPS requirements is on the National Archives website: naa.gov.au/about-us/organisation/accountability-and-reporting/information-publication-scheme

Office of the Australian Information Commissioner

On 22 August 2018, the National Archives applied to the Office of the Australian Information Commissioner to have Mr Ronald Price declared a vexatious applicant under section 89K(1) of the FOI Act. This was prompted by Mr Price's repeated engagement in FOI access actions between January 2017 and August 2018, and the assessment that these access actions constituted an abuse of process.

On 29 April 2019, the Australian Information Commissioner declared Mr Ronald Price to be a vexatious applicant under the FOI Act. This declaration was made in *National Archives Australia and Ronald Price (Freedom of information)* [2019] AICmr 16 (29 April 2019).

The declaration sets out criteria by which Mr Price can submit an FOI application to the National Archives, which will apply for a period of five years.

The Information Commissioner made no reports under section 30 of the *Privacy Act 1988* concerning actions taken by, or practices of, the National Archives during 2018–19.

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 National Archives' total expenditure on external legal services for 2018–19 was \$701,972 (GST exclusive).

Human resource management

Human resource management continues to play a key role in enabling the National Archives to deliver its strategic and business objectives. Strategic and operational initiatives are implemented with oversight by the Human Resources Management Committee and through consultation with employees and representatives via the Workplace Relations Committee.

Initiatives in 2018–19 were undertaken in accordance with the Strategic Workforce Plan 2016–20. Work continued to reshape the capacity and capability of the workforce, including through a targeted voluntary redundancy program and restructuring of the Collection Management branch. Further assessment of the National Archives' culture principles (The Archives Way) was undertaken to ensure that they are embedded across the agency. The Archives Way aims to move the organisation towards more innovative ways of working, improved leadership and management at all levels, and best practice in information management.

Following the development of the National Archives' digital literacy framework in the previous year, a broader capability review was undertaken to determine the effectiveness of the existing capability frameworks. This will assist the National Archives to focus on key capabilities to meet the agency transformation currently under way. The recommendations from the report will be reviewed and implemented in 2019–20.

The National Archives' 2019 APS Employee Census results indicate a number of areas of workforce strength including high employment engagement, satisfaction with work–life balance and a general belief that employees are qualified, experienced and committed.

Workforce planning, staff turnover and retention

The National Archives continues to trend down in core workforce size in response to financial constraints and continuous review of the efficiency and effectiveness of business processes. Overall staffing levels reduced during 2018–19. However, workforce productivity and output benefited 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 reductions in staffing continue to be met through retirements and natural attrition. To ensure resourcing within future financial constraints, a voluntary redundancy program was offered during 2018–19. The separations mostly took effect in the final quarter of the year to enable the National Archives to meet its future workforce projections for 2019–20 and beyond.

National Archives workforce demographics at 30 June 2019 are provided in the mandatory tables on pages 50–61. In summary, the National Archives workforce:

- is predominantly female (57.9 per cent)
- uses flexibility to achieve its objectives, with both part-time (23.7 per cent) and temporary (17.6 per cent) workers
- is largely Canberra based (70.8 per cent), with a geographic footprint in every capital city
- has a classification profile that sits within the parameters of the optimal APS management structures.

The separation rate for ongoing employees in 2018–19 was 15.6 per cent. This represents an increase from the 2017–18 rate of 6.8 per cent. This includes all separations, such as terminations, redundancies, resignations, retirements and movements to other Australian Government entities. The increase was mainly due to the voluntary redundancy program run during 2018–19, which accounted for almost half of the ongoing separations.

The 2018–19 Portfolio Budget Statements provided an estimated Average Staffing Level (ASL) of 355 at the beginning of the financial year. Owing to the timing of recruitment processes, the actual ASL in 2018–19 was 346.5.

Table 7 ■ All ongoing employees current report period (2018–19)

	Male			Female			Indeterminate			Total
	Full-time	Part-time	Total male	Full-time	Part-time	Total female	Full-time	Part-time	Total indeterminate	
NSW	20	3	23	16	4	20	0	0	0	43
Qld	1	0	1	3	2	5	0	0	0	6
SA	1	1	2	1	0	1	0	0	0	3
Tas	2	0	2	1	0	1	0	0	0	3
Vic	7	1	8	11	2	13	0	0	0	21
WA	0	0	0	4	2	6	0	0	0	6
ACT	80	10	90	91	33	124	0	0	0	214
NT	0	0	0	3	0	3	0	0	0	3
External territories	0	0	0	0	0	0	0	0	0	0
Overseas	0	0	0	0	0	0	0	0	0	0
Total	111	15	126	130	43	173	0	0	0	299

Table 8 ■ All non-ongoing employees current report period (2018–19)

	Male		Female			Indeterminate			Total
	Full-time	Part-time	Total male	Full-time	Part-time	Total female	Full-time	Part-time	
NSW	5	0	5	5	2	7	0	0	12
Qld	0	0	0	0	1	1	0	0	1
SA	0	1	1	0	1	1	0	0	2
Tas	0	1	1	0	0	0	0	0	1
Vic	0	1	1	1	1	2	0	0	3
WA	0	0	0	1	1	2	0	0	2
ACT	12	7	19	12	12	24	0	0	43
NT	0	0	0	0	0	0	0	0	0
External territories	0	0	0	0	0	0	0	0	0
Overseas	0	0	0	0	0	0	0	0	0
Total	17	10	27	19	18	37	0	0	64

Note: Employees engaged for irregular or intermittent duties have been included under part-time.

Table 9 All ongoing employees previous report period (2017–18)

	Male			Female			Indeterminate			Total
	Full-time	Part-time	Total male	Full-time	Part-time	Total female	Full-time	Part-time	Total indeterminate	
NSW	18	3	21	20	4	24	0	0	0	45
Qld	2	0	2	3	3	6	0	0	0	8
SA	1	1	2	2	0	2	0	0	0	4
Tas	2	0	2	1	0	1	0	0	0	3
Vic	7	1	8	14	3	17	0	0	0	25
WA	0	1	1	6	2	8	0	0	0	9
ACT	87	7	94	97	41	138	0	0	0	232
NT	0	0	0	3	0	3	0	0	0	3
External territories	0	0	0	0	0	0	0	0	0	0
Overseas	0	0	0	0	0	0	0	0	0	0
Total	117	13	130	146	53	199	0	0	0	329

Table 10 ■ All non-ongoing employees previous report period (2017–18)

	Male			Female			Indeterminate			Total
	Full-time	Part-time	Total male	Full-time	Part-time	Total female	Full-time	Part-time	Total indeterminate	
NSW	4	0	4	7	2	9	0	0	0	13
Qld	0	0	0	0	0	0	0	0	0	0
SA	0	0	0	1	1	2	0	0	0	2
Tas	0	1	1	0	0	0	0	0	0	1
Vic	0	0	0	3	0	3	0	0	0	3
WA	5	3	8	3	0	3	0	0	0	11
ACT	13	9	22	6	17	23	0	0	0	45
NT	0	0	0	0	0	0	0	0	0	0
External territories	0	0	0	0	0	0	0	0	0	0
Overseas	0	0	0	0	0	0	0	0	0	0
Total	22	13	35	20	20	40	0	0	0	75

Note: Employees engaged for irregular or intermittent duties have been included under part-time.

Table 11 | Australian Public Service Act ongoing employees current report period (2018–19)

	Male			Female			Indeterminate			Total
	Full-time	Part-time	Total male	Full-time	Part-time	Total female	Full-time	Part-time	Total indeterminate	
SES 3	0	0	0	0	0	0	0	0	0	0
SES 2	0	0	0	0	0	0	0	0	0	0
SES 1	1	0	1	4	0	4	0	0	0	5
EL 2	9	0	9	14	1	15	0	0	0	24
EL 1	24	3	27	25	9	34	0	0	0	61
APS 6	25	3	28	29	14	43	0	0	0	71
APS 5	22	5	27	19	12	31	0	0	0	58
APS 4	16	3	19	26	6	32	0	0	0	51
APS 3	7	1	8	6	1	7	0	0	0	15
APS 2	3	0	3	4	0	4	0	0	0	7
APS 1	3	0	3	2	0	2	0	0	0	5
Public Affairs Officer 2	0	0	0	1	0	1	0	0	0	1
TOTAL	110	15	125	130	43	173	0	0	0	298

Table 12 | Australian Public Service Act non-ongoing employees current report period (2018–19)

	Male			Female			Indeterminate			Total
	Full-time	Part-time	Total male	Full-time	Part-time	Total female	Full-time	Part-time	Total indeterminate	
SES 3	0	0	0	0	0	0	0	0	0	0
SES 2	0	0	0	0	0	0	0	0	0	0
SES 1	0	0	0	0	0	0	0	0	0	0
EL 2	0	0	0	0	0	0	0	0	0	0
EL 1	1	0	1	0	1	1	0	0	0	2
APS 6	1	3	4	3	1	4	0	0	0	8
APS 5	1	1	2	3	0	3	0	0	0	5
APS 4	2	3	5	4	4	8	0	0	0	13
APS 3	4	0	4	6	1	7	0	0	0	11
APS 2	1	2	3	2	8	10	0	0	0	13
APS 1	7	1	8	1	3	4	0	0	0	12
Public Affairs Officer 2	0	0	0	0	0	0	0	0	0	0
TOTAL	17	10	27	19	18	37	0	0	0	64

Note: Employees engaged for irregular or intermittent duties have been included under part-time.

Table 13 Australian Public Service Act ongoing employees previous report period (2017–18)

	Male			Female			Indeterminate			Total
	Full-time	Part-time	Total male	Full-time	Part-time	Total female	Full-time	Part-time	Total indeterminate	
SES 3	0	0	0	0	0	0	0	0	0	0
SES 2	0	0	0	0	0	0	0	0	0	0
SES 1	0	0	0	7	0	7	0	0	0	7
EL 2	8	0	8	15	2	17	0	0	0	25
EL 1	23	2	25	29	12	41	0	0	0	66
APS 6	26	2	28	27	15	42	0	0	0	70
APS 5	20	3	23	25	12	37	0	0	0	60
APS 4	21	3	24	28	10	38	0	0	0	62
APS 3	6	3	9	6	2	8	0	0	0	17
APS 2	6	0	6	8	0	8	0	0	0	14
APS 1	6	0	6	0	0	0	0	0	0	6
Public Affairs Officer 2	0	0	0	1	0	1	0	0	0	1
TOTAL	116	13	129	146	53	199	0	0	0	328

Table 14 ■ Australian Public Service Act non-ongoing employees previous report period (2017–18)

	Male			Female			Indeterminate			Total
	Full-time	Part-time	Total male	Full-time	Part-time	Total female	Full-time	Part-time	Total indeterminate	
SES 3	0	0	0	0	0	0	0	0	0	0
SES 2	0	0	0	0	0	0	0	0	0	0
SES 1	0	0	0	0	0	0	0	0	0	0
EL 2	0	0	0	0	1	1	0	0	0	1
EL 1	0	0	0	0	0	0	0	0	0	0
APS 6	1	2	3	1	3	4	0	0	0	7
APS 5	0	1	1	4	1	5	0	0	0	6
APS 4	5	2	7	5	1	6	0	0	0	13
APS 3	2	0	2	6	1	7	0	0	0	9
APS 2	1	2	3	1	8	9	0	0	0	12
APS 1	13	6	19	3	5	8	0	0	0	27
Public Affairs Officer 2	0	0	0	0	0	0	0	0	0	0
TOTAL	22	13	35	20	20	40	0	0	0	75

Note: Employees engaged for irregular or intermittent duties have been included under part-time.

Table 15 Australian Public Service Act employees by full-time and part-time status current report period (2018–19)

	Ongoing			Non-ongoing			Total
	Full-time	Part-time	Total ongoing	Full-time	Part-time	Total non-ongoing	
SES 3	0	0	0	0	0	0	0
SES 2	0	0	0	0	0	0	0
SES 1	5	0	5	0	0	0	5
EL 2	23	1	24	0	0	0	24
EL 1	49	12	61	1	1	2	63
APS 6	54	17	71	4	4	8	79
APS 5	41	17	58	4	1	5	63
APS 4	42	9	51	6	7	13	64
APS 3	13	2	15	10	1	11	26
APS 2	7	0	7	3	10	13	20
APS 1	5	0	5	8	4	12	17
Public Affairs Officer 2	1	0	1	0	0	0	1
TOTAL	240	58	298	36	28	64	362

Note: Employees engaged for irregular or intermittent duties have been included under part-time.

Table 16 Australian Public Service Act employees by full-time and part-time status previous report period (2017–18)

	Ongoing			Non-ongoing			Total
	Full-time	Part-time	Total ongoing	Full-time	Part-time	Total non-ongoing	
SES 3	0	0	0	0	0	0	0
SES 2	0	0	0	0	0	0	0
SES 1	7	0	7	0	0	0	7
EL 2	23	2	25	0	1	1	26
EL 1	52	14	66	0	0	0	66
APS 6	53	17	70	2	5	7	77
APS 5	45	15	60	4	2	6	66
APS 4	49	13	62	10	3	13	75
APS 3	12	5	17	8	1	9	26
APS 2	14	0	14	2	10	12	26
APS 1	6	0	6	16	11	27	33
Public Affairs Officer 2	1	0	1	0	0	0	1
TOTAL	262	66	328	42	33	75	403

Note: Employees engaged for irregular or intermittent duties have been included under part-time.

Table 17 | Australian Public Service Act employment type by location current report period (2018–19)

	Ongoing	Non-ongoing	Total
NSW	43	12	55
Qld	6	1	7
SA	3	2	5
Tas	3	1	4
Vic	21	3	24
WA	6	2	8
ACT	213	43	256
NT	3	0	3
External territories	0	0	0
Overseas	0	0	0
Total	298	64	362

Table 18 | Australian Public Service Act employment type by location previous report period (2017–18)

	Ongoing	Non-ongoing	Total
NSW	45	13	58
Qld	8	0	8
SA	4	2	6
Tas	3	1	4
Vic	25	3	28
WA	9	11	20
ACT	231	45	276
NT	3	0	3
External territories	0	0	0
Overseas	0	0	0
Total	328	75	403

Table 19 | Australian Public Service Act Indigenous employment current report period (2018–19)

	Total
Ongoing	6
Non-ongoing	0
Total	6

Table 20 | Australian Public Service Act Indigenous employment previous report period (2017–18)

	Total
Ongoing	2
Non-ongoing	1
Total	3

Instruments of employment

During 2018–19, the National Archives of Australia Enterprise Agreement 2017–20 was the main employment instrument. A total of 359 employees were covered by the agreement including two employees acting in Senior Executive Service (SES) roles. Three Executive Level (EL) employees and one Australian Public Service (APS) level employee had individual flexibility arrangements, covering remuneration, in place under clauses 10–15 of the agreement. Three SES employees were covered by determinations under subsection 24(1) of the *Public Service Act 1999*.

No employees in the National Archives have the provision for performance pay.

Table 21 | Australian Public Service Act employment arrangements current report period (2018–19)

	SES	Non-SES	Total
National Archives of Australia Enterprise Agreement 2017–20	2	357	359

Table 22 | Australian Public Service Act employment salary ranges by classification level (minimum/maximum) current report period (2018–19)

	Minimum salary (\$)	Maximum salary (\$)
SES 3	na	na
SES 2	na	na
SES 1	193,712	216,187
EL 2	121,210	154,500
EL 1	101,009	124,194
APS 6	81,650	93,899
APS 5	72,389	78,013
APS 4	65,656	70,749
APS 3	58,923	63,847
APS 2	52,441	57,204
APS 1	45,876	50,474
Public Affairs Officer 2	84,049	93,345

na=not applicable

Senior Executive Service remuneration

The National 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-point scale rating system.

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 and mobile devices; airline lounge membership; and support for professional development. No bonuses are payable to SES employees.

Outside the SES, there were no other highly paid staff whose total remuneration exceeded the threshold amount for the reporting period.

Table 23 ■ Information about remuneration for key management personnel

Name	Position title	Short-term benefits (\$)				Post-employment benefits (\$)	Other long-term benefits (\$)		Termination benefits (\$)	Total remuneration (\$) ^d
		Base salary ^a	Bonuses	Other benefits and allowances ^b	Superannuation contributions		Long service leave ^c	Other long-term benefits		
FRICKER, David	Director-General	318,717.02	0	0	54,590.62	8,378.70	0	0		381,686.34
ARUMUGAM, Yaso	Assistant Director-General, Information and Technology	216,712.83	0	390.00	39,478.72	5,392.66	0	0		261,974.21
DOYLE, Louise	Assistant Director-General Access and Public Engagement	203,559.05	0	0	36,280.64	5,026.39	0	0		244,866.08
LYONS, Anne	Assistant Director-General (secondment)	123,679.42	0	0	20,639.91	2,896.92	0	127,515.64		274,731.89
MACFARLANE Linda	Assistant Director-General Collection Management (acting)	177,391.22	0	803.80	30,844.65	4,720.58	0	0		213,760.25
MCGUIRE, Jason	Assistant Director-General Corporate Services (acting)	188,603.77	0	1,170.00	26,601.38	4,550.20	0	0		220,925.35
WARD, Teresa	Assistant Director-General Digital Archives Taskforce	200,561.30	0	3,144.84	37,972.48	5,049.53	0	0		246,728.15
WATSON, Cheryl	Assistant Director-General Corporate Services	2,288.52	0	0	0	27.67	0	205,207.53		207,523.72

^a Includes annual leave paid and the net movement in annual leave balance in the current reporting period

^b Includes benefits that form part of the individual's remuneration package, car parking or motor vehicle fringe benefits, and other allowances

^c Includes long service leave (LSL) paid and the net movement in LSL balance in the current reporting period

^d All amounts are calculated on an accrual basis, which means there will be differences between the total remuneration amount disclosed in the annual report and the amount included on an individual's annual payment summary (on a cash basis)

Table 24 ■ Information about remuneration for senior executives

Remuneration band (\$)	Number of senior executives (\$)	Short-term benefits			Post-employment benefits	Other long-term benefits		Termination benefits	Total remuneration
		Average base salary (\$)	Average bonuses (\$)	Average other benefits and allowances (\$)	Average superannuation contributions (\$)	Average long service leave (\$)	Average other long-term benefits (\$)	Average termination benefits (\$)	Average total remuneration (\$)
0–220,000	2	89,839.87	0	401.90	15,422.33	2,374.12	0	102,603.77	210,641.99
220,000–245,000	2	196,081.41	0	585.00	31,441.01	4,788.30	0	0	232,895.72
245,001–270,000	2	208,637.07	0	1,767.42	38,725.60	5,221.09	0	0	254,351.18
270,001–295,000	1	123,679.42	0	0	20,639.91	2,896.92	0	127,515.64	274,731.89
370,001–395,000	1	318,717.02	0	0	54,590.62	8,378.70	0	0	381,686.34

Learning and development

During 2018–19, the National 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 35 individual courses or seminars, with 458 attendances. Corporate training requirements and requests were determined through individual work plan discussions, or identified within the Cultural Action Plan, expertise development or capability frameworks. State-based staff were encouraged to attend training sessions run by the Australian Public Service Commission, with 34 attendances.

At the executive level, a subset of programs focused on building leadership, management and transitional change capabilities. These programs provided credit towards postgraduate qualifications. Five programs were offered in 2018–19, with 14 attendances.

A focus during 2018–19 was a program to help staff acquire and maintain the right blend of digital skills for the future. This included developing a digital literacy framework, identifying core capabilities for staff undertaking digital archiving activities, and starting delivery of Phase 1 of a three-year training program in the fundamentals of digital archival management. In February, Nancy McGovern, an internationally renowned expert in digital preservation and curation, delivered a one-week digital preservation management workshop for 30 National Archives staff. Other external online and offsite courses were also approved as part of the Phase 1 training program. A Phase 2 multi-year digital training program, relevant to specific archiving functions, will be finalised in the first half of 2019–20.

E-learning packages continued to be popular with staff in 2018–19. The National Archives' induction and six annual refresher courses are completed by all staff on the e-learning platform. Three hundred and eighteen staff members used the online learning platform Lynda.com either in lieu of, or together with, face-to-face training.

Internal Development Education Awareness Seminars support professional development by bringing in external speakers to present on issues relevant to the National Archives. The forums create a platform for discussion with industry leaders and offer staff an insight into developments of mutual professional interest. A total of 77 staff attended presentations on the role of the digital archivist in the information age, and protecting Australia's national digital identity.

Fifteen employees were supported through financial assistance and/or study leave as part of the National Archives' Studies Assistance Program in 2018–19. Studies assistance has built organisational capabilities and provided an incentive for staff to further their education.

The National Archives began a project to review its various capability frameworks to identify synergies and simplify use. The project will be completed in 2019–20.

Health and wellbeing

The National Archives' 2018–19 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, physical health activities, mental health seminars and training programs, influenza vaccinations and talks by inspirational speakers. Each state office received a subsidy to spend on healthier work practices.

Work Health and Safety

The National Archives continued to demonstrate a commitment to providing and maintaining a safe and healthy working environment for all employees through workplace audits, support for injured and ill workers, and a range of training courses, activities and initiatives under its health and wellbeing program.

During 2018–19, the National Archives assessed its work health and safety practices, including carrying out a chemical audit to ensure safe storage and handling practices were in place. This assessment was undertaken by Comcare and resulted in a number of recommendations. The National Archives has developed a corrective action plan to address these recommendations; it will be implemented during 2019–20. A separate assessment was undertaken specifically for the new Western Australia repository. A corrective action plan was developed to address the recommendations which will continue to be implemented during 2019–20.

Throughout the year, the National Archives continued to focus on preventing workplace injuries and illness through early intervention and proactive injury management and rehabilitation to support a safe and durable return to work for employees. Through its health and safety practices, the National Archives has embraced a safe working environment aimed at reducing the risk of workplace injuries and illness and having a positive impact on the general health and wellbeing of employees. There were no accepted compensation claims for workplace injuries or illnesses during 2018–19. This resulted in a reduction in the National Archives' Comcare premium for 2019–20.

The Employee Assistance Program contract was reviewed and new contract arrangements will be in place from 1 July 2019. This service gives employees and their immediate family access to professional counselling if they are experiencing personal or work-related problems. A service providing managers with help to address and resolve workplace issues is also available.

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

Table 25 | Work health and safety performance (2016–19)

	2016–17	2017–18	2018–19
Investigations conducted that relate to businesses or undertakings by the National 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>	0	0	2
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 National Archives' work health and safety incident reporting and hazard management policy	14	19	17
Number of staff who received the influenza vaccination	145	192	197
Number of accepted compensation claims	1	0	0

Inclusion and diversity

Diversity of thought, background, experience and contribution is valued at the National 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.

The objectives of the National Archives' Workplace Diversity Program 2017–20 are to:

- raise awareness of workplace diversity in the National 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 National 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 2019, 1.7 per cent of National Archives employees identified as Indigenous. The National Archives is continuing to look for innovative ways to increase overall Indigenous workforce participation.

National Archives employees are continuing to build cultural capability through mandatory training and extended online learning using the Core Indigenous Awareness training developed by the Australian Institute of Aboriginal and Torres Strait Islander Studies. During 2018–19, core cultural learning completion rates rose by 183 per cent (11 staff).

At 30 June 2019, female employees represented 57.9 per cent of the National Archives' workforce. In some agencies, women make up the majority of the workforce only in certain functions or classifications; at the National Archives, however, the number of female staff remains high across all classifications. Women are well represented at senior levels. At 30 June 2019, 80 per cent of the National Archives' SES classification was female.

The 2018 APS Employee Census shows that an increasing number of employees believe that the National Archives is committed to creating a diverse workforce, with a positive shift of 3 per cent. Training programs on managing mental health risks at work; diversity and discrimination; building disability confidence; and the multicultural learning program developed by SBS are available to employees online. Disability awareness sessions were provided to Australian Capital Territory staff at Parkes and Mitchell.

In November 2018, the National Archives became a member of Diversity Council Australia (DCA) – the independent, not-for-profit peak body leading diversity and inclusion in the workplace. DCA membership provides the National Archives with access to unique research, events, comprehensive resources and unrivalled expertise across the diversity and inclusion spectrum.

Changes to disability reporting in annual reports

Since 1994, non-corporate Commonwealth entities have reported on their performance as policy advisers, purchasers, employers, regulators and providers 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. From 2010–11, entities were no longer required to report on these functions.

The Commonwealth Disability Strategy has been overtaken by the National Disability Strategy 2010–2020, 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

Reconciliation

Innovate Reconciliation Action Plan and Let's Yarn workshop

The National Archives is progressing work on its first Innovate Reconciliation Action Plan (RAP) in consultation with Reconciliation Australia. The RAP will cover the period from December 2019 to December 2021.

As part of the RAP development process, the National Archives' RAP working group hosted a half-day Let's Yarn workshop in Canberra in June 2019. More than 20 National Archives staff from teams and locations across Australia, including Aboriginal and Torres Strait Islander people, came together to share and discuss Aboriginal and Torres Strait Islander-related programs of work and initiatives. The workshop resulted in greater clarity and a shared understanding of the National Archives' vision for reconciliation and how we can all work together to achieve success.

NAIDOC

In July 2018, the National Archives fielded their first team in the APS NAIDOC Touch Football Carnival held annually in Canberra. Over 400 public servants from across 30 agencies came together to raise awareness and celebrate the history, cultures, achievements and ongoing contribution of Aboriginal and Torres Strait Islander peoples.

Indigenous Literacy Day

To celebrate and acknowledge Indigenous Literacy Day 2018, the National Archives hosted Great Book Swap morning tea events across various offices. Staff raised \$550, with proceeds going to the Indigenous Literacy Foundation to help purchase new books for very remote Aboriginal and Torres Strait Islander communities.

Ngunawal/Ngunnawal cultural interpretation tour

In June 2019, National Archives staff were privileged to be taken on a Ngunawal/Ngunnawal cultural interpretation tour of Black Mountain in Canberra. The tour, led by Ngunawal descendant Tyronne Bell, helped staff gain a greater awareness and understanding of the rich history and cultural practices of Aboriginal and Torres Strait Islander peoples. As did many other Aboriginal people, the Ngunawal/Ngunnawal passed down traditional knowledge from generation to generation through word of mouth and Dreaming stories. The two-hour walking tour was a chance for staff to get out in nature while discussing Aboriginal cultural sites and pathways, bush tucker and other plants, and the freshwater gullies that drain the mountain's slopes to Sullivans Creek.

Meetings and presentations

The Northern Territory Aboriginal Advisory Group met twice during the year, once each in Alice Springs and Darwin. At the Darwin meeting, the group provided comments and endorsed a new version of the Bringing Them Home (BTH) index brochure. Updates considered new groups of Indigenous researchers, including younger people new to family and community research.

Phyllis Williams, the National Archives' Regional Manager North, has been appointed Co-chair of the Indigenous Matters Expert Group (IMEG) of the International Council on Archives (ICA). The IMEG was established by the ICA Programme Commission at its meeting in Yaoundé, Cameroon, in November 2018 and has representatives from across the world. The IMEG is convening an Indigenous Summit to be held in Adelaide on 25 October 2019 as part of the international Designing the Archive conference jointly hosted by the ICA, Australian Society of Archivists, Archive and Records Association of New Zealand, and the Pacific Regional Branch of the International Council on Archives.

In July 2018, staff from the Northern Territory Office and the Northern Territory Archives Service (NTAS) delivered a joint family history research information session. The presentation covered the BTH index and provided information about NTAS' collection, and how to access records and carry out family history research.

An information session for students undertaking Certificate IV in Stolen Generation Family Research and Case Management was held in March 2019, and an Introduction to Archives was provided by the National Archives' Northern Territory Office and the NTAS to Elders of the Garden Point Stolen Generations group.

The National Archives' Victoria Office hosted a group of nine Link-Up and Victorian Aboriginal Child Care Agency (VACCA) workers for a general information session about the collections of the National Archives and Public Record Office Victoria (PROV), incorporating training in the BTH Index. The Koorie Records Unit also hosted a hands-on research session for staff from VACCA's Kinship Finding program and ran training for staff from the Koorie Heritage Trust's Koorie Family History Service.

A collaborative project with the Taungurung Land and Waters Council has begun to provide the council with digitised copies of records relating to the Victorian Aboriginal Protectorate held in PROV and the National Archives. These will be used for a significant research and mapping project to bring to light important historical information about Taungurung history and connection to country. It will also increase understanding of the relationship between these records and the Aboriginal communities that came into contact with the protectorate system.

Multicultural access and equity

The National Archives continues to develop and deliver programs that contribute to a shared understanding and appreciation of Australia's diverse heritage. It also strives to make programs and services accessible to all Australians regardless of their cultural and linguistic backgrounds.

A plan of initiatives to increase multicultural access and equity over the 2017–19 period focused on exhibitions, projects featuring shared documentary history with partner countries, and the provision of greater web-based access for linguistically diverse clients. Achievements over the past year included:

- continuing a national touring exhibition program incorporating *Facing Two Fronts: the fight for respect*, *A Place to Call Home? Migrant hostel memories* and *A Ticket to Paradise?*
- updating the *Destination: Australia* website highlighting Dutch–Australian shared cultural heritage
- providing access to free interpreter services in the newly developed feedback mechanism
- compiling an internal register of staff language skills to support client interaction.

Environmental performance

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

The National 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 future projects.

In 2018–19, the National Archives continued to mitigate its impact on the environment through:

- reducing paper usage by implementing digital authorisations and workflows
- using electronic document management systems and web-based information sharing tools that reduced or eliminated the need to print and retain paper copies of documents
- reviewing the portfolio to reduce the property footprint, while maintaining the integrity of the repositories and services to the public

- ensuring that new leases complied with the Australian Government's energy-efficient policy while making sure that room temperatures and relative humidity levels required for the long-term preservation of collection material and records housed in repositories were maintained
- working closely with landlords to maximise the efficiency of base building plant and control systems, replacing ageing plant and equipment with updated technologies to reduce energy use
- procuring energy-efficient equipment such as smart lighting systems that activate only when work areas are occupied
- maintaining a fleet of seven leased vehicles to ensure operational requirements were effectively met while minimising potential environment impacts.

By integrating energy-efficient practices into our organisation and planning processes, the National Archives has reduced its consumption of resources.

NABERS energy rating

The National Australian Built Environment Rating System (NABERS) measures the environmental performance of Australian buildings, tenancies and homes. NABERS measures the energy efficiency, water usage, waste management and indoor environment quality of a building or tenancy and its impact on the environment.

In accordance with the current Green Lease Schedule for the Peter Durack Building at Mitchell in the Australian Capital Territory, the National Archives is required to achieve a 4.5 star NABERS energy tenancy rating. In June 2019, the National Archives achieved a 5.1 star rating.

Table 26 | Ecologically sustainable development and environmental performance (2016–19)

	2016–17	2017–18	2018–19
Electricity consumption (kilowatt hours)	5,993,090	3,693,390	3,756,700
Natural gas consumption (megajoules)	9,708,721	4,481,812 ^a	4,245,026 ^a
Solar energy generated – Cannon Hill, Queensland, and Parkes, ACT (kilowatt hours)	64,151	62,784 ^a	59,325 ^a
Reduction in CO ₂ emissions – Cannon Hill, Queensland, and Parkes, ACT (kilograms)	59,020	36,141	34,289 ^a
Paper used (reams)	2,278	945	1,286
Water consumption (kilolitres)	13,471	16,844	14,164
Waste produced by ACT sites (kilograms)	22,266	3,297 ^a	5,822
Waste produced by non-ACT sites (kilograms)	17,579	17,904	17,742
Recycling all sites (kilograms)	9,060	12,981	7,863

^a The National Archives' relocation from Old Parliament House to East Block (Parkes, ACT) during part of 2018–19 resulted in lower natural gas consumption and a reduction in the amount of solar energy generated.

Financial management

The National Archives' financial statements for 2018–19 are presented in Part 4 of this report. The Australian National Audit Office issued an unmodified audit opinion of these statements, noting that the National Archives has appropriate and effective financial controls.

Asset management

The National 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 National 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 National 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 National Archives form the national archival collection. This irreplaceable collection is valued at over \$1.5 billion.

The National Archives is responsible for caring for the most significant records of the Australian Government. Most of these records are created, received or held by government agencies. The national archival collection consists of tens of millions of items, and includes records about immigration, military service, transport, Aboriginal and Torres Strait Islander peoples, 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-and-reporting/our-operations-and-preservation-policies

Capital works

The National Archives progressed significant capital works projects during 2018–19 to accommodate current and future operational needs.

The work included:

- relocation of the Western Australia Office from East Victoria Park to a new, purpose-built repository in Belmont and front-of-house and office facility in Northbridge. The repository accommodates 17 kilometres of shelving storage for collection material and records. The Northbridge facility, located in the heart of Perth's cultural precinct, opened in March 2019 and provides for administration, public exhibitions, seminars and research centre operations.
- completion of the Information Communications and Technology Data Recovery Centre at the New South Wales Office and repository at Chester Hill in September 2018.

- refurbishment of the Mitchell storage facility in the Australian Capital Territory. This significant refurbishment project will provide 75 kilometres of storage shelving and is due for completion early in 2019–20.
- planning for the significant refurbishment of the ground floor exhibition and public spaces at East Block, Australian Capital Territory. The project is expected to be completed by November 2019.

Purchasing

Procurement

The National 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 procurement activities through accountable authority instructions and supporting guidelines and templates.

A holistic review of the procurement framework was completed in 2018–19. As a result, guidance material to help staff undertaking procurement was updated with the inclusion of a simplified four-step decision tree. Links to further material available through the Department of Finance website (BuyRight) were also provided.

In 2018–19, the National Archives sourced goods and services through mandated Commonwealth panels and via cooperative procurement arrangements, such as panels established by Commonwealth agencies deemed appropriate to meet the National Archives' requirements. Open approaches to market included procurement of:

- office and repository relocation and removalist services for the Western Australia Office and repository
- an integrated archival management system
- non-standard compactus shelving for the New South Wales Office and repository.

Consultants

During 2018–19, 21 new consultancy contracts were entered into, involving total expenditure of \$911,745. In addition, seven ongoing consultancy contracts were active during the period, involving total actual expenditure of \$470,941.

Typical reasons for engaging consultancy services included a requirement for specialist or professional skills, independent research and/or assessment. Consultants were engaged in accordance with the Commonwealth Procurement Rules and selection processes may have involved an open tender, including the use of an existing Australian Government panel arrangement, or limited tender.

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

Table 27 | Number and expenditure on consultants during 2018–19

	Total
Number of new contracts entered into during the period	21
Total actual expenditure during the period on new contracts (including GST)	\$911,745
Number of ongoing contracts engaging consultants that were entered into during a previous period	7
Total actual expenditure during the period on ongoing contracts (including GST)	\$470,941

Australian National Audit Office access clauses

One contract of \$100,000 or more (GST inclusive) was let during 2018–19 that did not provide for the Auditor-General to have access to the contractor's premises. Details are as follows:

Name of supplier/ contractor	Purpose of contract	Value of contract (\$)	Reason
Electricity Generation and Retail Corporation trading as Synergy	Provision of electricity – Western Australia	100,000	Supplier's terms and conditions

Exempt contracts

During 2018–19, the National Archives had no exempt contracts.

Procurement initiatives to support small business

The National Archives supports small business participation in the Commonwealth Government procurement market by:

- using the Commonwealth Contracting Suite for low-risk procurements, communicating clearly in accessible formats
- using electronic payment systems to expedite payments.

The National 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 Department of Employment, Skills, Small and Family Business' website: employment.gov.au

Small and medium enterprise (SME) and small enterprise participation statistics are available on the Department of Finance's website: finance.gov.au/procurement/statistics-on-commonwealth-purchasing-contracts

Significant non-compliance with finance law

No significant instances of non-compliance requiring a report to the responsible minister in accordance with the PGPA Act were recorded by the National Archives in 2018–19.

Advertising and market research

During 2018–19, the National Archives conducted the following media advertising:

Table 28 | Advertising amounts of \$13,200 or more paid (including GST) (2018–19)

Organisation	Purpose	Cost (\$)
Universal McCann	Media advertising for exhibitions and events	16,005.24
isentia	Media monitoring service	20,703.32
Total		36,708.56

The National Archives did not conduct any advertising campaigns in 2018–19.

Grant programs

Information on grants awarded by the National Archives during 2018–19 is available at naa.gov.au





Part 4: Financial statements



Financial statements and supporting notes for the year
ending 30 June 2019

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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 ('the Entity') for the year ended 30 June 2019:

- (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 Entity as at 30 June 2019 and its financial performance and cash flows for the year then ended.

The financial statements of the Entity, which I have audited, comprise the following statements as at 30 June 2019 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; and
- 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 Entity 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* (the Act) for the preparation and fair presentation of annual financial statements that comply with Australian Accounting Standards – Reduced Disclosure Requirements and the rules made under the Act. The Director-General is also responsible for such internal control as the Director-General determines is necessary to enable the preparation 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 ability of the Entity 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 skepticism 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 the Accountable Authority 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

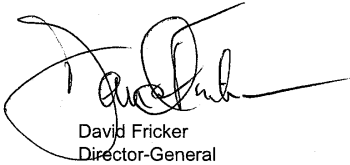
Canberra
3 September 2019

National Archives of Australia

STATEMENT BY THE DIRECTOR-GENERAL AND CHIEF FINANCIAL OFFICER

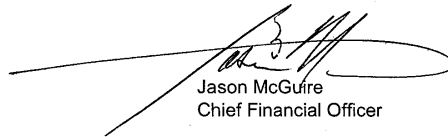
In our opinion, the attached financial statements for the period ended 30 June 2019 comply with subsection 42(2) of the *Public Governance, Performance and Accountability Act 2013* (PGPA Act), and are based on properly maintained financial records as per subsection 41(2) of the PGPA Act.

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

3 September 2019



Jason McGuire
Chief Financial Officer

3 September 2019

Statement of Comprehensive Income

for the period ended 30 June 2019

		2019	2018	Original Budget 2019
	Notes	\$'000	\$'000	\$'000
NET COST OF SERVICES				
Expenses				
Employee benefits	1.1A	37 347	33 400	33 744
Supplier	1.1B	36 901	34 358	34 251
Depreciation and amortisation	2.2	11 237	15 240	14 178
Grants		20	20	-
Finance costs		44	186	60
Write-down and impairment of assets	1.1C	1 340	318	-
Losses from asset sales		-	-	500
Total expenses		86 889	83 522	82 733
Own-source income				
Own-source revenue				
Sale of goods and rendering of services	1.2A	2 299	2 581	1 695
Rental income	1.2B	44	120	-
Other revenue	1.2C	7 955	4 967	10 000
Total own-source revenue		10 298	7 668	11 695
Gains				
Other gains		-	-	75
Gains from asset sales		9	-	-
Total gains		9	-	75
Total own-source income		10 307	7 668	11 770
Net cost of services		76 582	75 854	70 963
Revenue from Government Appropriations	3.1A	62 492	63 819	61 492
Surplus/(Deficit)		(14 090)	(12 035)	(9 471)
OTHER COMPREHENSIVE INCOME				
Items not subject to subsequent reclassification to net cost of services				
Revaluation increment/(decrement)		16 538	27 690	-
Total other comprehensive income		16 538	27 690	-
Total comprehensive income/(loss)		2 448	15 655	(9 471)
Total comprehensive income/(loss) attributable to the Australian Government		2 448	15 655	(9 471)

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 2019

Budget Variances Commentary

The original budget is as presented in the 2018-19 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 budget is mainly due to a Voluntary Redundancy Program undertaken in 2018-19, an increase of the accrued long service leave expenses as a result of the decreasing 10 year bond rate and the establishment of the Digital Archives Taskforce from 1 July 2018 which were not included in the original budget.

Supplier

The variance to the budget is primarily due to two new lease agreements for properties in the ACT and NSW commenced in 2018-19 with higher rental expenses than forecast in the original budget.

Depreciation and amortisation

The variance to the budget is due to the timing of the revaluation for the Infrastructure, Plant and Equipment (IPE) Asset class which was estimated to occur earlier in the original budget. Also some IPE assets reached the end of their useful life during the year as a result of building lease expiration, which was not considered in the original budget.

Write-down and impairment of assets

The variance to the budget is primarily due to a write-off of \$1.23 million in work in progress for one Infrastructure, Plant and Equipment project that ceased, which was not anticipated in the original budget. The project was in relation to donated audio-visual preservation equipment received by the NAA in 2015. Following an assessment by the Preservation team, it was determined that a majority of the assets components needed to be written off as it was not deemed economic and practical to bring them to working condition.

Loss from asset sales

Previously, loss from asset sales primarily resulted from changes in the status of Heritage and Cultural assets from Retain National Archives (RNA) to temporary records. When assets became classified as temporary they were removed from the collection value and disposed. This was included in the original budget, but did not occur in 2018-19 and will not be budgeted for in future years, as Heritage and Cultural Assets classified as temporary are now recognised as an impairment.

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 lower than anticipated volume of physical records transferred into the National Archives' custody during the year and a lower than expected fair value rate for Digital Audio Visual items transferred.

Revenue from Government Appropriations

The variance to the original budget is due to additional appropriation received in 2018-19 from the 2018-19 Mid-Year Economic and Fiscal Outlook budget measure - Digitisation of Prime Ministers' Records.

Statement of Financial Position

as at 30 June 2019

		2019 \$'000	2 018 \$'000	Original Budget 2019 \$'000
	Notes			
ASSETS				
Financial assets				
Cash and cash equivalents	2.1A	861	277	166
Trade and other receivables	2.1B	21 891	24 608	23 419
Other financial assets		-	-	1
Total financial assets		22 752	24 885	23 586
Non-financial assets				
Property, plant and equipment	2.2	1 503 473	1 492 345	1 470 551
Intangibles	2.2	16 611	16 146	16 629
Inventories		165	140	92
Other non-financial assets - Prepayments		2 146	1 418	2 296
Total non-financial assets		1 522 395	1 510 049	1 489 568
Total assets		1 545 147	1 534 934	1 513 154
LIABILITIES				
Payables				
Suppliers	2.3A	15 044	7 548	14 028
Other payables	2.3B	1 095	977	1 405
Total payables		16 139	8 525	15 433
Provisions				
Employee provisions	4.1	11 746	11 326	11 146
Other provisions	2.4	925	7 033	7 652
Total provisions		12 671	18 359	18 798
Total liabilities		28 810	26 884	34 231
Net assets		1 516 337	1 508 050	1 478 923
EQUITY				
Contributed equity		52 539	46 701	53 039
Reserves		382 396	365 858	338 168
Retained surplus		1 081 402	1 095 491	1 087 716
Total equity		1 516 337	1 508 050	1 478 923

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 (continued)

Statement of Financial Position

Cash and cash equivalents

The value of cash and cash equivalents was greater than budget due to extra cash being requested for an expected rental invoice of approximately \$400k which was not issued before the end of financial year by the supplier and not anticipated in the original budget.

Trade and other receivables

The value of trade and other receivables was less than budget primarily due to higher Appropriation drawdown during the year as a result

Property, plant and equipment

The value of property, plant and equipment was greater than budget due to an increased value of the Infrastructure, Plant and Equipment (IPE) assets as a result of a revaluation undertaken in June 2019, and the Heritage and Cultural (HC) assets as a result of the revaluation in April 2018, which was not anticipated in the original budget.

Other provisions

The provision for restoration was less than budget due to two make good write-offs for the Chester Hill building in New South Wales and East Victoria Park Building in Western Australia as a result of the cessation of the National Archives' leases. Following an assessment it was determined that make good was not required, which was not anticipated in the original budget.

Budget Variances Commentary (continued)

Statement of Financial Position

Reserves

The value of asset revaluation reserves was greater than budget due to the movements for the IPE and HC asset valuation and write-offs of the provision for restoration as above, which were difficult to anticipate when developing the original budget.

Statement of Changes in Equity

for the period ended 30 June 2019

	Notes	2019 \$'000	2018 \$'000	Original Budget 2019 \$'000
CONTRIBUTED EQUITY				
Opening balance				
Balance carried forward from previous period		46 701	42 070	47 201
Contributions by owners				
Departmental capital budget		5 838	4 631	5 838
Closing balance as at 30 June		52 539	46 701	53 039
RETAINED EARNINGS				
Opening balance				
Balance carried forward from previous period		1 095 491	1 107 524	1 097 187
Comprehensive income				
(Deficit) for the period		(14 090)	(12 035)	(9 471)
Closing balance as at 30 June		1 081 402	1 095 491	1 087 716
ASSET REVALUATION RESERVE				
Opening balance				
Balance carried forward from previous period		365 859	338 170	338 168
Comprehensive income				
Revaluation increment/(decrement)		16 538	27 690	-
Closing balance as at 30 June		382 396	365 859	338 168
TOTAL EQUITY				
Opening balance				
Balance carried forward from previous period		1 508 050	1 487 764	1 482 556
Comprehensive income				
Surplus/(Deficit) for the period		(14 090)	(12 035)	(9 471)
Revaluation increment/(decrement)		16 538	27 690	-
Total comprehensive income		2 448	15 655	(9 471)
Transactions with owners				
Contributions by owners				
Departmental capital budget		5 838	4 631	5 838
Total transactions with owners		5 838	4 631	5 838
Closing balance as at 30 June		1 516 337	1 508 050	1 478 923

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 (continued)

Statement of Changes in Equity

Deficit for the period

The deficit for the period was greater than the original budget primarily due to higher than expected employee and supplier expenditures.

Revaluation increment/(decrement)

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

Cash Flow Statement

for the period ended 30 June 2019

	Notes	2019 \$'000	2018 \$'000	Original Budget 2019 \$'000
OPERATING ACTIVITIES				
Cash received				
Appropriations		68 839	65 154	61 492
Sales of goods and rendering of services		1 988	2 429	1 695
Net GST received		3 593	3 144	3 268
Total cash received		74 420	70 727	66 455
Cash used				
Employees		36 953	33 191	33 744
Suppliers		33 511	33 459	32 711
Grants		20	20	-
Section 74 receipts transferred to OPA		3 193	3 029	-
Other		84	10	-
Total cash used		73 761	69 709	66 455
Net cash from / (used by) operating activities		659	1 018	-
INVESTING ACTIVITIES				
Cash received				
Proceeds from sales of property, plant and equipment		9	-	-
Total cash received		9	-	-
Cash used				
Purchase of property, plant and equipment		4 392	4 411	4 382
Purchase of intangibles		1 529	1 127	1 456
Total cash used		5 922	5 538	5 838
Net cash used by investing activities		(5 913)	(5 538)	(5 838)
FINANCING ACTIVITIES				
Cash received				
Contributed equity		5 838	4 631	5 838
Total cash received		5 838	4 631	5 838
Net cash from financing activities		5 838	4 631	5 838
Net increase in cash held		584	111	-
Cash and cash equivalents at the beginning of the reporting period		277	166	166
Cash and cash equivalents at the end of the reporting period	2.1A	861	277	166

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 (continued)

Cash Flow Statement

Appropriations

The variance for appropriations received is mainly due to the amounts relating to revenue from Section 74 of the PGPA Act not included in the original budget. Additional Appropriation drawdown was requested during the year as a result of higher than anticipated employee and supplier expenditure and capital purchases for identified strategic initiatives.

Sales of goods and rendering of services

Sales of goods and rendering of services is more than budget primarily due to extra funding received from Department of Prime Minister and Cabinet for managing the Prime Minister legacy gifts transferred into the National Archive's custody, which was not anticipated in the original budget.

Employees

Employees is greater than budget due to a Voluntary Redundancy Program undertaken in 2018-19 and the establishment of the Digital Archives Taskforce from 1 July 2018 which were not included in the original budget.

Overview

Objectives of the National Archives of Australia

The National Archives of Australia (the National Archives) is an Australian Government controlled not-for-profit entity. The National 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 National 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 National 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 National Archives in its present form and with its present program is dependent on Government policy and on continuing funding by Parliament for the National 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:

- Public Governance, Performance and Accountability (Financial Reporting) Rule 2015* (FRR); and
- 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 were adopted and did not have a material effect on the entity's financial statements.

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 National 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 National Archives is currently assessing 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:

- where the amount of GST incurred is not recoverable from the Australian Taxation Office; and
- 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 2019.

1.1: Expenses

	2019 \$'000	2018 \$'000
1.1A: Employee Benefits		
Wages and salaries	24 390	23 578
Superannuation		
Defined contribution plans	2 129	1 899
Defined benefit plans	3 077	3 100
Leave and other entitlements	5 754	4 558
Separation and redundancies	1 722	100
Other	274	165
Total employee benefits	37 347	33 400
1.1B: Suppliers		
Goods and services supplied or rendered		
Office equipment and supplies	2 037	1 864
Communications	957	618
Professional services	3 836	3 696
Travel	1 048	891
Managed Services	150	-
Exhibitions and advertising	142	226
Employee related expenses	1 201	1 143
Utilities	773	690
Other property operating expenses	2 093	3 276
Other	664	948
Total goods and services supplied or rendered	12 901	13 351
Goods supplied	1 192	1 164
Services rendered	11 709	12 187
Total goods and services supplied or rendered	12 901	13 351
Other suppliers		
Operating lease rentals in connection with		
Minimum lease payments	22 600	17 819
Contingent rentals	1 290	3 036
Workers compensation expenses	109	152
Total other suppliers	23 999	21 007
Total suppliers	36 901	34 358

Leasing commitments payable

The National 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	18 268	12 262
Between 1 to 5 years	76 409	52 675
More than 5 years	449 572	367 727
Total operating lease commitments	544 249	432 664

Through an assessment of lease commitments in 2018-19, prior year comparatives have been corrected to accurately reflect the National Archives operating lease commitments.

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.

	2019 \$'000	2018 \$'000
1.1C: Write-Down and Impairment of Assets		
Impairment of property, plant and equipment	1 357	318
Impairment of intangible assets	-	-
Bad and Doubtful Debts	(17)	-
Total write-down and impairment of assets	1 340	318

1.2: Own-Source Revenue and gains

	2019 \$'000	2018 \$'000
--	----------------	----------------

Own-Source Revenue

1.2A: Sale of Goods and Rendering of Services

Sale of goods	1 028	999
Rendering of services	1 271	1 582
Total sale of goods and rendering of services	2 299	2 581

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

	44	120
Total other revenue	44	120

Subleasing rental income commitments receivable

The Archives in its capacity as lessor has sublease agreements for rental properties for fixed terms and amounts expiring November 2019.

Commitments for sublease rental income receivables are as follows:

Within 1 year	18	84
Between 1 to 5 years	-	18
More than 5 years	-	-
Total sublease rental income commitments	18	102

1.2C: Other Revenue

Resources received free of charge

Acquisition of heritage and cultural assets at no cost

Remuneration of auditors

	7 880	4 892
	75	75
Other	1	-
Total other revenue	7 955	4 967

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

	2019 \$'000	2018 \$'000
2.1A: Cash and Cash Equivalents		
Cash on hand or on deposit	861	277
Total cash and cash equivalents	861	277

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	20 688	23 841
Trade receivables	755	80
GST receivable from the Australian Taxation Office	362	685
Other	87	1
Total trade and other receivables (gross)	21 891	24 608
Total trade and other receivables (net)	21 891	24 608

The Archives' trade and other receivables included \$744,000 of past due amounts and \$11,000 impairment as at 30 June 2019 (2018: \$38,000; \$17,000 respectively).

Accounting Policy

Financial assets

Trade receivables, loans and other receivables that are held for the purpose of collecting the contractual cash flows where the cash flows are solely payments of principal and interest, that are not provided at below-market interest rates, are subsequently measured at amortised cost using the effective interest method adjusted for any loss allowance.

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.

Impairment of financial assets are based on an assessment of expected credit losses. Expected credit losses are measured in a way that reflects:

- an unbiased and probability weighted amount that is determined by evaluating a range of possible outcomes;
- the time value of money; and
- reasonable and supportable information that is available without undue effort or cost at reporting date about past events, current conditions and forecasts of future economic conditions.

Accounting Policy (continued)

The carrying amount of financial assets is reduced by way of an allowance account. The loss is recognised in the Statement of Comprehensive Income.

Adoption of AASB 9

As the National Archives is a Tier 2 reporting entity, there will be no major changes as a result of the adoption of AASB9. Balance sheet items currently classified as Loans and Receivables will be classified as Amortised Cost under AASB 9.

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 2019. 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.

2.2 Non-Financial Assets

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

	Heritage and cultural ⁽¹⁾	Property, plant and equipment	Computer Software ⁽²⁾	Other Intangibles	Total
	\$'000	\$'000	\$'000	\$'000	\$'000
As at 1 July 2018					
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)
Total as at 1 July 2018	1 480 365	11 980	4 826	11 320	1 508 491
Additions:					
Purchase	-	3 147	616	913	4 676
Donation/gift	7 888	-	-	-	7 888
Revaluations and impairments recognised in other comprehensive income ⁽⁴⁾	(7)	10 392	-	-	10 385
Depreciation and amortisation	(6 323)	(3 850)	(1 064)	-	(11,237)
Disposals ⁽³⁾	(87)	(32)	-	-	(119)
Total as at 30 June 2019	1 481 836	21 637	4 378	12 233	1 520 084
Total as at 30 June 2019 represented by					
Gross book value	1 489 491	21 792	21 426	16 817	1 549 525
Accumulated depreciation and impairment	(7 654)	(155)	(17 048)	(4 584)	(29 441)
Total as at 30 June 2019 represented by	1 481 836	21 637	4 378	12 233	1 520 084

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 \$1,216,467 purchased software and \$3,161,210 internally generated software.

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

4. Revaluations of property, plant and equipment assets included a \$10.4m revaluation increment (2018 \$nil).

Indicators of impairment were found for Heritage and cultural assets due to the transfer of records back to agencies during 2018-19. An annual assessment was undertaken internally to determine whether there are 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 June 2019, an independent valuer conducted a valuation of the property, plant and equipment asset class.

A revaluation increment of \$10,392,214 for property, plant and equipment assets (2018: 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 (2018: nil).

No revaluation has been undertaken for heritage and cultural asset, therefore the increment for heritage and cultural asset was nil in 2019 (2018: \$31m). 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 2019, the Archives has contractual commitments for acquisition of software assets of \$360,000, and acquisition of property, plant, equipment assets of \$4,534,000.

2.3: Payables

	2019 \$'000	2018 \$'000
2.3A: Suppliers		
Trade creditors and accruals	1 442	362
Operating lease rentals	13 602	7 186
Total suppliers	15 044	7 548
Suppliers expected to be settled		
No more than 12 months	7 731	378
More than 12 months	7 313	7 170
Total suppliers	15 044	7 548
2.3B: Other Payables		
Wages and salaries	280	304
Superannuation	39	40
Prepayments received/unearned income	777	633
Total other payables	1 095	977
Other payables to be settled		
No more than 12 months	822	977
More than 12 months	273	-
Total other payables	1 095	977

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

	2019 \$'000	2018 \$'000
2.4: Other Provisions		
Provision for restoration	925	7 033
Total other provisions	925	7 033
Other provisions expected to be settled in:		
No more than 12 months	-	6 145
More than 12 months	925	888
Total other provisions	925	7 033

	Provision for restoration \$'000
As at 1 July 2018	7 033
Amounts written-off following lease expiration negotiations	(5 807)
Amounts reduced as a result of asset valuation	(345)
Unwinding of discount or change in discount rate	44
Total as at 30 June 2019	925

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 National Archives currently has 2 (2018: 11) agreements for the leasing of premises which have provisions requiring us to restore the premises to their original condition at the conclusion of the lease. The National Archives has made a provision to reflect the present value of this obligation.

Accounting Judgements and Estimates

The Archives has made an 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 2019 by a qualified independent valuer (Jones Lang LaSalle Advisory Services Pty Ltd).

Funding

This section identifies the Archives' funding structure.

3.1: Appropriations

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

Annual Appropriations for 2019

	Appropriation Act		PGPA Act		Appropriation Applied in 2019 (current and prior years)		Variance ² \$'000
	Annual Appropriation ¹ \$'000	Advance to the Finance Minister \$'000	Section 74 Receipts \$'000	Section 75 \$'000	Total Appropriation \$'000		
Departmental							
Ordinary annual services (Revenue from Government)	62 492	-	3 193	-	65 685	68 122	(2 437)
Capital Budget ³	5 838	-	-	-	5 838	5 922	(84)
Equity Injection	-	-	-	-	-	-	-
Total departmental	68 330	-	3 193	-	71 523	74 044	(2 521)

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 2018-19, there was no appropriation withheld under Section 51 of the PGPA Act.

2. Variance in 2018-19 is mainly due to a higher Appropriation drawdown requested during the year resulting from higher employee, supplier expenditure and capital purchases.

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 2018

	Appropriation Act		PGPA Act		Appropriation Applied in 2018 (current and prior years)		Variance ² \$'000
	Annual Appropriation ¹ \$'000	Advance to the Finance Minister \$'000	Section 74 Receipts \$'000	Section 75 \$'000	Total Appropriation \$'000		
Departmental							
Ordinary annual services (Revenue from Government)	63 819	-	3 029	-	66 848	64 185	2 663
Capital Budget ³	4 631	-	-	-	4 631	5 538	(907)
Equity	-	-	-	-	-	-	-
Total departmental	68 450	-	3 029	-	71 479	69 723	1 756

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.

3.1: Appropriations

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

Authority	2019 \$'000	2018 \$'000
Departmental		
Act 2 - Non Operating - Equity Injection	-	150
Appropriation Act (No.1) Temporary Quarantined prior to 2016-17	10	17
Appropriation Act (No.1) 2016-17 Temporary Quarantined	7	
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	211
Appropriation Bill (No. 1) 2018-19	16 973	-
Appropriation Bill (No. 1) 2018-19 - DCB	2 487	-
Appropriation Bill (No. 3) 2018-19	1 000	-
Total	20 688	23 841

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

	2019 \$'000	2018 \$'000
Note 4.1: Employee Provisions		
Annual leave	3 272	3 217
Long service leave	8 474	8 109
Total employee provisions	11 746	11 326
Employee provisions expected to be settled in:		
No more than 12 months	3 240	3 164
More than 12 months	8 506	8 162
Total employee provisions	11 746	11 326

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 2019. 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 2019 represents outstanding contributions and is recognised in other payables.

Note 4.2: Key Management Personnel Remuneration

	2019 \$'000	2 018 \$'000
Short-term employee benefits		
Salary	1 321	1 008
Other Benefits and Allowances	6	-
Total short-term employee benefits	1 327	1 008
Post-employment benefits		
Superannuation	246	202
Total post-employment benefits	246	202
Other long-term employee benefits		
Annual leave	110	89
Long-service leave	36	36
Total other long-term employee benefits	146	125
Termination benefits		
Termination benefits	333	-
Total termination benefits	333	-
Total key management personnel remuneration expenses	2 052	1 335

The total number of key management personnel that are included in the above table are 8 (2018: 6).

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.

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.



Part 5: Appendixes



A street scene in Swanston Street during the Melbourne Olympic Games, 1956.
NAA: A1200, L21799

Appendix A: Entity resource statements

Table 29 ■ Resources allocated to the National Archives – aggregate figures
(2018–19)

	Actual available appropriation for 2018–19 (\$'000) (a)	Payments made (\$'000) 2018–19 (b)	Balance remaining (\$'000) (a)–(b)
Ordinary annual services			
Balance brought forward ¹	24,754	24,754	0
Departmental appropriation ²	71,523	49,614	21,909
Total ordinary annual services	96,277	74,368	21,909
Total net resourcing	96,277	74,368	21,909

¹ Prior year departmental appropriations

² Includes Appropriation Act No. 1 and No. 3 (2018–19) with an amount of \$5.838 million for the departmental capital budget

Table 30 | Resources allocated to Outcome 1 (2018–19)

Outcome 1: 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.	Budget 2018–19 (\$'000) (a)	Actual expenses 2018–19 \$'000 (b)	Variation 2018–19 \$'000 (a)–(b)
Program 1.1: National Archives of Australia			
Departmental expenses			
Ordinary annual services	61,492	64,954	–3,462
Revenue from independent sources	1,695	3,193	–1,498
Expenses not requiring appropriation in the budget year	19,546	18,742	804
Total for Program 1.1	82,733	86,889	–4,156
Total expenses for Outcome 1	82,733	86,889	–4,156
Average staffing level (number)	355	346	9





Part 6: 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 2018–19 comprised:

- Dr Denver Beanland (Chair)
- Mr Christopher Puplick AM (Deputy Chair) (to 29 April 2019)
- Ms Jade Balfour
- Professor (Emeritus) Peter Boyce AO
- Mr Adam Creighton
- Ms Suzanne Hampel OAM (from 8 March 2019)
- Ms Anne Henderson AM
- Mr David Irvine AO (to 23 November 2018)

- Dr Rosemary Laing
- Dr Phil Robertson FTSE
- Professor (Emeritus) Sally Walker AM
- Professor John Williams.

Parliamentary representation

- The Hon Jane Prentice MP (last meeting 20 March 2019)
- Senator Claire Moore (to 30 June 2019).



National Archives of Australia Advisory Council. Back row from left: Dr Phil Robertson FTSE, Mr David Irvine AO, Professor John Williams, Dr Rosemary Laing. Middle row from left: Mr Adam Creighton, Professor (Emeritus) Sally Walker AM, The Hon Jane Prentice MP, Senator Claire Moore, Professor (Emeritus) Peter Boyce AO. Front row from left: Dr Denver Beanland, Ms Jade Balfour, Ms Anne Henderson AM, Mr Christopher Puplick AM. Absent: Ms Suzanne Hampel OAM

Summary of activities

The Council met four times in 2018–19.

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 2018–19, the National Archives issued 25 instruments under the Archives Act, 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 nine applications for special access to records under section 56(2) were received during 2018–19. Access was granted in six cases and three applications remained under consideration at the end of the financial year.

Financial information and secretariat services

The Council's operation is funded from the National Archives' budget appropriation (Table 31). 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 31 | National Archives of Australia Advisory Council expenditure (2018–19)

Item	Cost (\$)
Remuneration	27,586
Travel allowance	15,226
Fares	48,645
Other travel expenses	2,239
Hospitality and catering expenses	13,964
Other	4,979
Total	112,639

Submission to the Functional and Efficiency Review of the National Archives

The Council welcomed the start of an independent Functional and Efficiency Review of the National Archives in April, as initiated by the Attorney-General.

Led by former Department of Finance Secretary Mr David Tune, the Functional and Efficiency Review (Tune Review) is considering and making recommendations on the enduring role of the National Archives in the protection, preservation and use of Commonwealth information. It will look at how the National Archives might best perform this role and what powers, functions, resources, and legislative and governance frameworks are needed to effectively and efficiently undertake it in the digital age.

The Council provided a submission to the Tune Review expressing concern over the deterioration in the funding position of the National Archives, diminishing its capacity to perform its functions and deliver services to the Australian Government and Australian people. The Council highlighted the need for sustainable funding to enable the digital transformation of the National Archives, together with digital capability and cybersecurity enhancements and digitisation of at-risk audiovisual collections. A new National Archives Bill would enable the operations of the National Archives to seize the opportunities of the digital age, as well as whole-of-government efficiencies through the National Archives' leadership of information policy and management, centralised storage, preservation and digitisation strategies. The submission, along with other public submissions to the review, can be viewed on the National Archives' website: naa.gov.au



Part 7: Glossary, shortened forms and indexes



Carillon, Canberra. Date unknown.
Photographer: Max Dupain. NAA: B4498, 141B10

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> .
Check-up PLUS	The National 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.
Digital Continuity 2020	A whole-of-government approach to digital information governance developed by the National 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 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 National Archives for permanent retention.
RecordSearch	The National Archives' public online database to help find records in its collection.
The Archives Way	The National Archives' set of cultural principles.

Shortened forms

AAT	Administrative Appeals Tribunal
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AFDA	Administrative Functions Disposal Authority
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APS	Australian Public Service
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ASL	Average Staffing Level
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BSAF	business systems assessment framework
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BTH	Bringing Them Home
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CIGO	Chief Information Governance Officer
-------------	--------------------------------------

CSIRO	Commonwealth Scientific and Industrial Research Organisation
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DC2020	Digital Continuity 2020
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DCA	Diversity Council Australia
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EL	Executive Level
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FOI	Freedom of Information
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GRAs	general records authorities
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GST	Goods and Services Tax
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ICA	International Council on Archives
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IMEG	Indigenous Matters Expert Group
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IPS	Information Publication Scheme
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LSL	Long service leave
NABERS	National Australian Built Environment Rating System
NCA	National Capital Authority
NTAS	Northern Territory Archives Service
PBS	Portfolio Budget Statement
PGPA Act	<i>Public Governance, Performance and Accountability Act 2013</i>
PROV	Public Record Office Victoria
RAP	Reconciliation Action Plan
SES	Senior Executive Service
SME	Small and medium enterprise
STOs	state and territory offices
VACCA	Victorian Aboriginal Child Care Agency

List of requirements

PGPA Rule reference	Part of report	Description	Requirement	Page
17AD(g)	Letter of transmittal			
17AI	Letter of transmittal	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
17AD(h)	Aids to access			
17AJ(a)	Contents	Table of contents.	Mandatory	iv
17AJ(b)	Index	Alphabetical index.	Mandatory	135
17AJ(c)	Glossary	Glossary of abbreviations and acronyms.	Mandatory	120
17AJ(d)	List of requirements	List of requirements.	Mandatory	122
17AJ(e)	Contact	Details of contact officer.	Mandatory	ii
17AJ(f)	Contact	Entity's website address.	Mandatory	ii
17AJ(g)	Contact	Electronic address of report.	Mandatory	ii
17AD(a)	Review by accountable authority			
17AD(a)	Director-General's review	A review by the accountable authority of the entity.	Mandatory	1–5
17AD(b)	Overview of the entity			
17AE(1)(a)(i)	Purpose, role and functions	A description of the role and functions of the entity.	Mandatory	8
17AE(1)(a)(ii)	Organisational structure	A description of the organisational structure of the entity.	Mandatory	9
17AE(1)(a)(iii)	Outcome and program structure	A description of the outcomes and programs administered by the entity.	Mandatory	11

PGPA Rule reference	Part of report	Description	Requirement	Page
17AE(1)(a)(iv)	Purpose, role and functions	A description of the purposes of the entity as included in corporate plan.	Mandatory	8
17AE(1)(aa)(i)	Accountable authority	Name of the accountable authority or each member of the accountable authority	Mandatory	11
17AE(1)(aa)(ii)	Accountable authority	Position title of the accountable authority or each member of the accountable authority	Mandatory	11
17AE(1)(aa)(iii)	Accountable authority	Period as the accountable authority or member of the accountable authority within the reporting period	Mandatory	11
17AE(1)(b)	na	An outline of the structure of the portfolio of the entity.	Portfolio departments – mandatory	na
17AE(2)	na	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	na
17AD(c)	Report on the performance of the entity			
	<i>Annual performance statements</i>			
17AD(c)(i); 16F	Annual performance statement	Annual performance statement in accordance with paragraph 39(1)(b) of the Act and section 16F of the Rule.	Mandatory	14–26
17AD(c)(ii)	Report on financial performance			
17AF(1)(a)	Financial performance	A discussion and analysis of the entity's financial performance.	Mandatory	29–30

PGPA Rule reference	Part of report	Description	Requirement	Page
17AF(1)(b)	Appendix A: Entity resource statements	A table summarising the total resources and total payments of the entity.	Mandatory	108
17AF(2)	na	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	na
17AD(d) Management and accountability				
<i>Corporate governance</i>				
17AG(2)(a)	Fraud measures	Information on compliance with section 10 (fraud systems)	Mandatory	43
17AG(2)(b)(i)	Letter of transmittal	A certification by accountable authority that fraud risk assessments and fraud control plans have been prepared.	Mandatory	iii
17AG(2)(b)(ii)	Letter of transmittal	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	iii
17AG(2)(b)(iii)	Letter of transmittal	A certification by accountable authority that all reasonable measures have been taken to deal appropriately with fraud relating to the entity.	Mandatory	iii

PGPA Rule reference	Part of report	Description	Requirement	Page
17AG(2)(c)	Governance	An outline of structures and processes in place for the entity to implement principles and objectives of corporate governance.	Mandatory	34
17AG(2)(d) – (e)	Significant non-compliance with finance law	A statement of significant issues reported to Minister under paragraph 19(1)(e) of the Act that relates to non-compliance with finance law and action taken to remedy non-compliance.	If applicable, mandatory	77
<i>External scrutiny</i>				
17AG(3)	External scrutiny	Information on the most significant developments in external scrutiny and the entity's response to the scrutiny.	Mandatory	45
17AG(3)(a)	External scrutiny	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	45
17AG(3)(b)	External scrutiny	Information on any reports on operations of the entity by the Auditor-General (other than report under section 43 of the Act), a Parliamentary Committee, or the Commonwealth Ombudsman.	If applicable, mandatory	45
17AG(3)(c)	na	Information on any capability reviews on the entity that were released during the period.	If applicable, mandatory	na
<i>Management of human resources</i>				
17AG(4)(a)	Human resource management	An assessment of the entity's effectiveness in managing and developing employees to achieve entity objectives.	Mandatory	48

PGPA Rule reference	Part of report	Description	Requirement	Page
17AG(4)(aa)	Workforce planning, staff turnover and retention	Statistics on the entity's employees on an ongoing and non-ongoing basis, including the following:	Mandatory	50–3
		(a) statistics on full-time employees		
		(b) statistics on part-time employees		
		(c) statistics on gender		
17AG(4)(b)	Workforce planning, staff turnover and retention	(d) statistics on staff location.	Mandatory	54–61
		Statistics on the entity's APS employees on an ongoing and non-ongoing basis, including the following:		
		- statistics on staffing classification level		
		- statistics on full-time employees		
		- statistics on part-time employees		
		- statistics on gender		
17AG(4)(c)	Instruments of employment	- statistics on staff location	Mandatory	61
		- statistics on employees who identify as Indigenous.		
		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> .		

PGPA Rule reference	Part of report	Description	Requirement	Page
17AG(4)(c)(i)	Instruments of employment	Information on the number of SES and non-SES employees covered by agreements etc identified in paragraph 17AG(4)(c).	Mandatory	61
17AG(4)(c)(ii)	Instruments of employment	The salary ranges available for APS employees by classification level.	Mandatory	62
17AG(4)(c)(iii)	Instruments of employment	A description of non-salary benefits provided to employees.	Mandatory	62
17AG(4)(d)(i)	Instruments of employment	Information on the number of employees at each classification level who received performance pay.	If applicable, mandatory	61
17AG(4)(d)(ii)	na	Information on aggregate amounts of performance pay at each classification level.	If applicable, mandatory	na
17AG(4)(d)(iii)	na	Information on the average amount of performance payment, and range of such payments, at each classification level.	If applicable, mandatory	na
17AG(4)(d)(iv)	na	Information on aggregate amount of performance payments.	If applicable, mandatory	na
<i>Assets management</i>				
17AG(5)	Asset management	An assessment of effectiveness of assets management where asset management is a significant part of the entity's activities.	If applicable, mandatory	73
<i>Purchasing</i>				
17AG(6)	Purchasing	An assessment of entity performance against the Commonwealth Procurement Rules.	Mandatory	75

PGPA Rule reference	Part of report	Description	Requirement	Page
Consultants				
17AG(7)(a)	Consultants	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	75–6
17AG(7)(b)	Consultants	A statement that <i>‘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].’</i>	Mandatory	75
17AG(7)(c)	Consultants	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	75
17AG(7)(d)	Consultants	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	76

PGPA Rule reference	Part of report	Description	Requirement	Page
Australian National Audit Office access clauses				
17AG(8)	Australian National Audit Office access clauses	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 Auditor-General 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	76
Exempt contracts				
17AG(9)	Exempt contracts	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	76
Small business				
17AG(10)(a)	Procurement initiatives to support small business	A statement that ' <i>[Name of entity] 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</i> '.	Mandatory	76–7

PGPA Rule reference	Part of report	Description	Requirement	Page
17AG(10)(b)	Procurement initiatives to support small business	An outline of the ways in which the procurement practices of the entity support small and medium enterprises.	Mandatory	76
17AG(10)(c)	Procurement initiatives to support small business	If the entity is considered by the Department administered by the Finance Minister as material in nature—a statement that <i>'[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'</i> .	If applicable, mandatory	77
Financial statements				
17AD(e)	Financial statements	Inclusion of the annual financial statements in accordance with subsection 43(4) of the Act.	Mandatory	78
Executive remuneration				
17AD(da)	Senior Executive Service remuneration	Information about executive remuneration in accordance with Subdivision C of Division 3A of Part 2-3 of the Rule.	Mandatory	62

PGPA Rule reference	Part of report	Description	Requirement	Page
17AD(f)	Other mandatory information			
17AH(1)(a)(i)	na	If the entity conducted advertising campaigns, a statement that <i>'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 prepared by the Department of Finance. Those reports are available on the Department of Finance's website'</i> .	If applicable, mandatory	na
17AH(1)(a)(ii)	Advertising and market research	If the entity did not conduct advertising campaigns, a statement to that effect.	If applicable, mandatory	77
17AH(1)(b)	Grant programs	A statement that <i>'Information on grants awarded by [name of entity] during [reporting period] is available at [address of entity's website]'</i> .	If applicable, mandatory	77
17AH(1)(c)	Inclusion and diversity	Outline of mechanisms of disability reporting, including reference to website for further information.	Mandatory	68
17AH(1)(d)	Freedom of Information	Website reference to where the entity's Information Publication Scheme statement pursuant to Part II of FOI Act can be found.	Mandatory	47
17AH(1)(e)	na	Correction of material errors in previous annual report	If applicable, mandatory	na
17AH(2)	Part 3: Management and Accountability	Information required by other legislation	Mandatory	66, 71, 77

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97 per cent of Australian Government agencies surveyed via Check-up PLUS

141 Australian Government agencies with records authorities

1,804 audiovisual items digitised

10,400 research centre visitors

50,993 items given preservation treatment

60,875 photographs digitised

409,000 visitors (onsite and offsite)

2.44 million paper record pages digitised

4.3 million online visits

Audience of **23.5 million** across digital platforms

60 million digitised items online



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