



NATIONAL ARCHIVES OF AUSTRALIA

ANNUAL REPORT 2019–20





Fire used for the smoking ceremony at the re-opening of murrulangalang, the National Archives of Australia National Office, Canberra, 25 November 2019. This significant event acknowledged the purpose of the National Archives as expressed in the Ngambri-Ngunnawal word murrulangalang and related signage applied to the façade of the building.

Photographer: Naimat Ahmed

NATIONAL ARCHIVES OF AUSTRALIA

NATIONAL ARCHIVES OF AUSTRALIA ADVISORY COUNCIL

ANNUAL REPORT 2019–20



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Images

The images used throughout this annual report represent engagement by the National Archives of Australia with Aboriginal and Torres Strait Islander people during 2019–20. They also highlight the breadth and richness of the national archival collection.

Aboriginal and Torres Strait Islander people should be aware that this publication contains images of deceased persons.

Cover image: Visitors to the new *Connections Gallery* use the interactive digital wall to learn about the traditional owners of Kakadu, 2020. Photographer: Sammy Walker

Our reference: 2020/802

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

24 September 2020

Dear Attorney-General

We present to you the annual report on the operations of the National Archives of Australia and the National Archives of Australia Advisory Council for the year ended 30 June 2020.

The report has been prepared for the purposes of section 46 of the *Public Governance, Performance and Accountability Act 2013* (PGPA Act), and subsections 68(1) and 68(2) of the *Archives Act 1983* (Archives Act), which require the National Archives of Australia and the National Archives of Australia Advisory Council to prepare and provide annual reports to you for presentation to the parliament.

The National Archives' annual performance statement has been prepared in accordance with paragraph 39(1)(a) of the PGPA Act and accurately presents the two entities' performance for the 2019–20 financial year in accordance with subsection 39(2) of the PGPA Act.

The report includes the National Archives' audited financial statements as required by section 43(4) of the PGPA Act.

We, as the Director-General and Chair, certify that the National Archives has prepared fraud risk assessments and a fraud control plan in accordance with section 10 of the Public Governance, Performance and Accountability Rule 2014. The National Archives has fraud prevention, detection, investigation and reporting mechanisms that meet our needs and has taken all reasonable measures to deal with fraud relating to the National Archives. No instances of fraud have been identified during the period.



David Fricker
Director-General



Dr Denver Beanland AM
Chair, Advisory Council

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Protest outside Parliament House, Canberra, 1974.

NAA: A6180, 14/3/74/338

DIRECTOR- GENERAL'S REVIEW





The decisions of the Australian Government affect the daily lives of millions of citizens, residents and visitors to our nation. It is critical that those decisions are recorded for effective decision-making in the future; to uphold the integrity of public administration; and to protect the rights and entitlements of individuals.

This need defines the role of the National Archives of Australia (National Archives). We work to ensure that the essential evidence of government activity and decisions is secured and preserved in a form that can be used and re-used in perpetuity. In this age of misinformation and disinformation, the National Archives must work hard to maintain its role as a trusted public institution, because trust in the public record is a foundation for Australia's democracy and our values.

It is often said that the National Archives keeps our history safe. It is more correct to say that we keep our nation's memory intact. It is not the role of an archive or an archivist to be faithful to a preconception of history; instead, our job is to keep the evidence upon which history can be contested. It could be argued that archives guarantee that history is never safe, giving everyone their own power to understand their past and develop their own world view.

There is no doubt the year 2019–20 was characterised by extensive disruption – devastating bushfires across the nation, significant hail damage in Canberra's cultural precinct and, of course, the COVID-19 global pandemic. It was also a year, however, in which the National Archives continued to successfully deliver on its strategic and business priorities, marking a period of significant achievement.

Building trust in the public record

Over the past 10 years, the National Archives has worked closely with agencies across government, to lead reform of information management policy and standards in accordance with the Australian Government's Digital Transformation Agenda. We commenced this journey with the implementation of the Digital Transition Policy in 2011, mandating that government information created in digital form be digitally maintained and accessible as long as required. From 2015, with the launch of the Digital Continuity 2020 (DC2020) Policy and subsequent release of the Information Management Standard in 2017, we have continued to drive the transition to mature digital information governance, work processes and information interoperability. These instruments provide simple and clear principles and implementation pathways to assist the digital transformation of agencies – towards a digital 'business as usual'.

The results of our annual survey, Check-up PLUS, have shown that the DC2020 Policy has achieved significant progress in transitioning agencies' information management capability, as 81 per cent of agencies now manage most information digitally, up from 30 per cent in

2010. However, implementation is progressing at varying rates among agencies, one-third of which are not expected to adequately meet the requirements of the policy by December 2020. To address this continuing challenge, in August 2019, the National Archives initiated the DC2020 – Agency Implementation Support Program to assist those agencies identified as having lower information management maturity.

Most recently, the National Archives has taken the next important step with the release of the *Building Trust in the Public Record: managing information and data for government and community* policy exposure draft to improve how Australian Government agencies create, collect, manage and use information assets as authentic records of government. The release of this policy will be in November 2020, for implementation from 1 January 2021.

Securing, preserving and digitising the national archival collection

The National Archives continued to apply its preservation and digitisation strategies, designed to identify the categories of records in the agency's collection that are most at risk of being lost in the next 10 years.

Deadline 2025 is an international call to action to save magnetic media on audio and video tape at risk due to obsolescence and degradation. We have made this a key priority and since 2015 have implemented multiple strategies to support this work. This year, we established the Service Panel for Outsourced Digitisation of Audiovisual Materials, available for all agencies to use, to enable vendors and agencies to digitise more records to established archival standards.

The National Archives also commenced a multi-year digitisation project, receiving \$10 million over four years from 2019–20 as an election commitment to digitise 850,000 World War II service records, and make them available online. The records document the service of the men and women of the Australian armed services – Army, Navy and Air Force – during the war. They include paper documents, such as attestations, service forms and correspondence related to their service, and often photos and negatives. As the records are digitised, they are being released for public access online through the National Archives' website.

Securing, preserving and digitising the records is only part of the journey towards ensuring they remain accessible and re-usable into the future. Implementing the necessary changes to the agency's technology, processes and skills of its workforce is also essential to meet emerging digital information preservation challenges. In the past year, the National Archives' Digital Archives Taskforce 2017–2019 concluded its work to define the new processes, skills and tools that will equip us for a digital future, providing the requirements that shape our strategies for the ongoing development of our human capital and technical infrastructure.

This included designing and commencing the staged implementation of the new Integrated Archival Management System (IAMS), providing digital preservation capability and access platform. We also delivered a new digital literacy program to equip staff with the contemporary skills and competencies to work with digital tools and resources to deliver services to the Australian Government and the general public. A more powerful and flexible archival control model for the control and management of collection material in any format and born-digital file format standard for Australian Government agencies was published. We also established the Digital Archives Innovation and Research section, which will continue the transformative work of the task force.

Recognising and respecting First Nations heritage

Our Aboriginal and Torres Strait Islander Strategy and Implementation Plan has been updated in the past year to broaden and strengthen our commitment to engage with and meet the needs of Aboriginal and Torres Strait Islander people. In the past year, preservation digitisation commenced on a series of photographic negatives from the Department of Aboriginal Affairs, documenting events relating to Indigenous Australians and their work and lives.

As a sign of respect for Indigenous Australian languages in the International Year of Indigenous Languages in 2019, signage displaying the Ngambri-Ngunnawal word *murrulangalang* was unveiled on the National Archives' newly refurbished National Office building in Canberra. The occasion was marked by a Welcome to Country and a traditional smoking ceremony.

The National Archives and the International Council on Archives (ICA) held the inaugural Indigenous Matters Summit on 25 October 2019, attended by First Nations peoples from around the world. *See Us, Hear Us, Walk with Us: challenging and decolonising the archive* was led by the ICA's Expert Group on Indigenous Matters and was held at the Tandanya National Aboriginal Cultural Institute in Adelaide.

The National Archives is a signatory to the summit's Tandanya Adelaide Declaration, which calls for the jurisdictional archives of the world to embrace Indigenous methods of creating, sharing and preserving valued knowledge; open the meaning of public archives to Indigenous interpretations; and support fair and healing remembrance of colonial encounters.

Our Aboriginal and Torres Strait Islander Strategy incorporates focus areas relating to the agreement, such as the right of reply, respectful engagement, and the promotion of respectful and ethical relationships in recognising the diversity of social meanings embodied in archival materials and the knowledge models that interpret them. Forward years will include additional commitments to action in alignment with the Tandanya Adelaide Declaration.

The National Archives is continuing its reconciliation journey, finalising an initial five-year 'Reflect' Reconciliation Action Plan (RAP) and commencing work to implement an 'Innovate' RAP. We are also members of the Council of Australasian Archives and Records Authorities First Nations Working Group, which commenced in June 2020. This working group will have significant input and make meaningful and practical contributions to setting and guiding best practice principles for Indigenous-related archives and the promotion of Indigenous history and heritage across Australia and New Zealand.

Engagement – new experiences for the Australian community

The National Archives continued to implement an integrated onsite–offsite–online strategy designed to provide innovative engagement experiences for the Australian community.

With COVID-19 forcing students and families to learn and work from home, the National Archives moved to bring the collection home, launching #ArchivesAtHome with a suite of online exhibitions, events, archival photos, collection favourites and kids' activities.

In Canberra, following refurbishment of the national building, two new permanent galleries opened; *Connections/Mura Gadi* and *Voices/Dhunai* deliver new ways to engage with the national archival collection, including a digital interactive wall and immersive experiences with the nation's foundation, constitution and Indigenous records. This was accompanied by the opening of a national touring exhibition, *Spy: espionage in Australia*, which reveals the personal experiences of secret agents and the curious history of espionage and counter-espionage in Australia, from Federation through to the present day. Unfortunately, the impacts of bushfires and COVID-19 significantly restricted public access for most of 2019–20, also delaying the official reopening and recommencement of school programs until next year.

By late June, regional cultural venues reopened, hosting two National Archives touring exhibitions: the *A Place to Call Home?* photographic exhibition about post World War II migrant experiences and *Without Consent*, about the moving experiences of heartbreak and resilience shared by people affected by Australia's past forced adoption practices.

COVID-19 Task Force

In response to the pandemic, the National Archives formed the COVID-19 Implementation Management Team and Task Force to coordinate the organisation's response to the pandemic. The task force prioritised the health and safety of National Archives staff and visitors while ensuring the delivery of essential services such as access to identity and documentary records for Australian citizens. The task force maintained regular communication to all National Archives staff to keep them informed about the organisation's response to the pandemic, including information about working arrangements, IT tools, cybersecurity, health and hygiene.

As the pandemic unfolded, it became clear that stress, uncertainty and the rapid change brought about by COVID-19 had the potential to take a significant toll on mental health and wellbeing as the agency moved to support staff with flexible working arrangements and access to mental health and resilience resources.

The Palace letters

On 29 May 2020, the High Court of Australia decided that the correspondence between Governor-General Sir John Kerr and Her Majesty The Queen – popularly known as the ‘Palace letters’ – are ‘Commonwealth records’ for the purposes of the *Archives Act 1983*. That ruling permitted the public release of the records under the provisions of the Act. The entire collection of correspondence was released without redaction in July 2020.

The Tune Review

The Functional and Efficiency Review of the National Archives of Australia, initiated by the Attorney-General, was finalised by Mr David Tune on 31 January 2020. It considered the enduring role of the National Archives in the protection, preservation and use of official government information, how the agency might best perform that role, and what powers, functions, resources and legislative and governance frameworks the National Archives will need to effectively undertake that role in the digital age.

Stronger governance

Ensuring an effective and contemporary National Archives governance framework is essential for oversight of and accountability for the efficient and ethical management of resources and compliance with the regulatory and legislative requirements of a public service entity.

In the past year, the National Archives initiated and finalised a review of its governance for implementation in the next financial year. The aim is to deliver governance improvements and to simplify the National Archives’ committee, project board and working group structures to clarify roles, terms of reference, decision-making processes and governance responsibility.

Those reforms, along with refinements to strategies and policies, are better positioning the National Archives to respond to, resolve and move beyond emerging issues identified through internal and external review, its Executive Board and the National Archives Advisory Council.

The year ahead

The National Archives is the largest archival institution in Australia. The national archival collection, holding the records of Australia and its people, remains the essential evidence of Australian Government activities and decisions that shape our nation and the lives of our citizens.

While solid progress was made in 2019–20, many challenges remain ahead for the National Archives if we are to achieve our vision of being a world-leading archive. The outcomes of the Tune Review, delivering our transformational strategies, including implementing our new whole-of-government information management policy, are critical to the government's objectives for delivering improved digital services and sustaining the public's trust in our democracy and its institutions.



Minister for Indigenous Australians the Hon Ken Wyatt AM, MP and National Archives Director Northern Territory Office and Aboriginal and Torres Strait Islander Engagement Phyllis Williams PSM at the International Council on Archives Indigenous Matters Summit, Adelaide, 25 October 2019.

Photographer: Robert Monteleone

PART 1

**ABOUT
THE NATIONAL
ARCHIVES**



Purpose, role and functions

Purpose

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.

Role and functions

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

Vision

To be a world-leading archive in this digital age.

Mission

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

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.

Outcome and program structure

The 2019–20 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 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.

Delivery strategies

The program is delivered through three delivery strategies, responding to the opportunities provided by known and emerging technology to:

- establish frameworks for best practice management of information by Australian Government agencies towards achievement of Digital Continuity 2020 (DC2020) Policy targets
- secure and preserve Australian Government information and data of enduring national significance for the national archival collection
- connect researchers and the community to the national archival collection and enhance understanding of the role of the National Archives.

Organisational structure

At 30 June 2020, the National Archives operated under a five-branch structure. This follows the permanent establishment of the Government Data and Policy branch on 1 June 2020, subsuming the temporary Digital Archives Taskforce branch, which was in place since 1 July 2018.

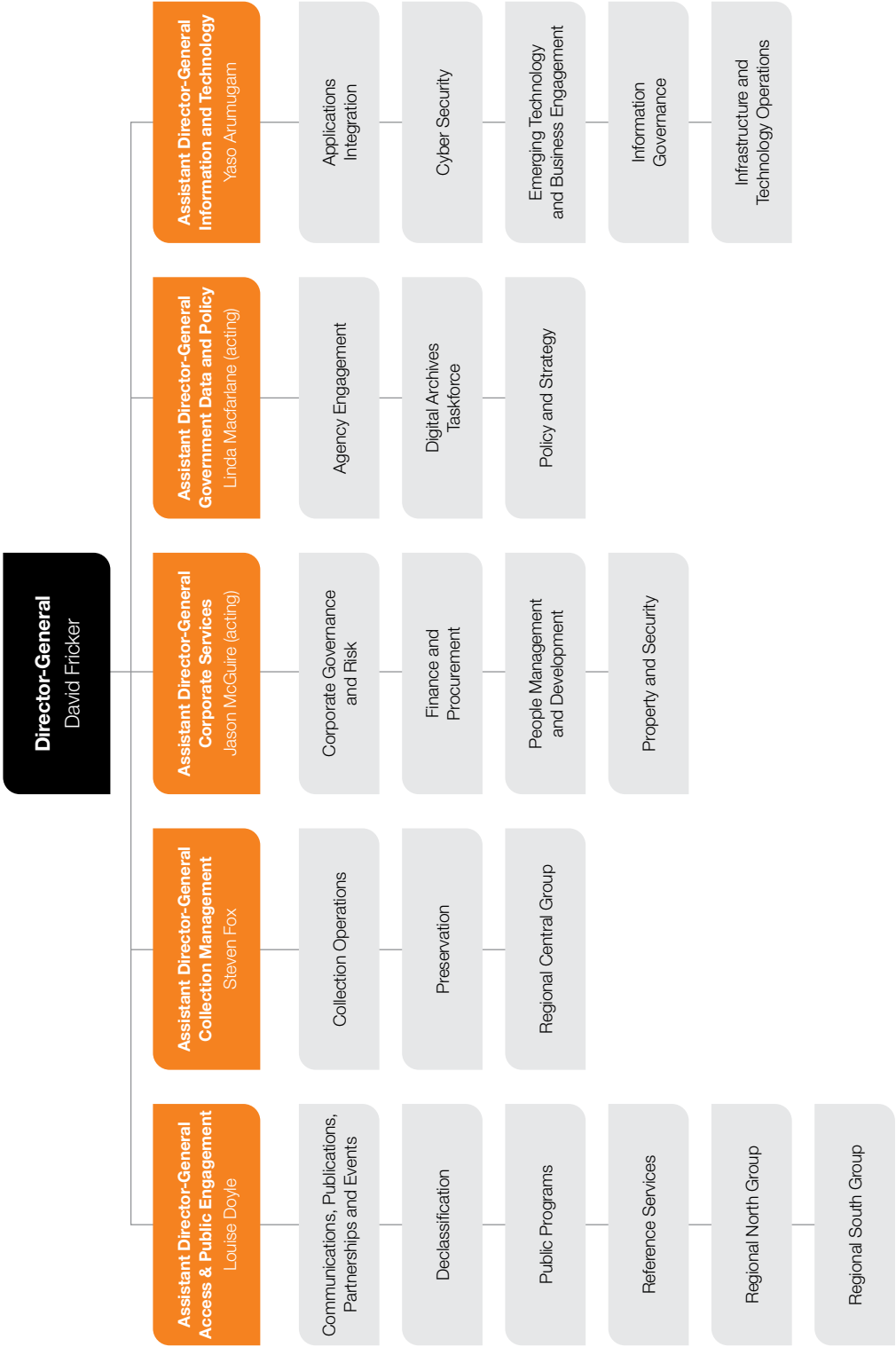
The primary function of each branch is summarised as follows:

- 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.
- Corporate Services branch provides the enabling services of governance, human resources, finance, procurement, property and security management.
- Access and Public Engagement branch is the public face of the National Archives, delivering access to the collection onsite, offsite and online through the agency's digital platforms, research centres, reference services, education and public programs, exhibitions, publishing, marketing, media engagement and corporate events.
- Collection Management branch manages the archival collection to ensure its authenticity, integrity, preservation, usability and availability.
- Government Data and Policy branch sets whole-of-government information management standards, develops records authorities and related instruments to govern the disposal and retention arrangements for Australian Government records, and undertakes research and innovation for the National Archives in digital archival management.

Accountable authority

The National Archives' accountable authority for the whole of 2019–20 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.

Figure 1 | Organisational structure, 30 June 2020





Australian rules football match between Yirara College and Alice Springs High School, Alice Springs, 1974.

NAA: A8739, A8/6/74/17

PART 2

REPORT ON PERFORMANCE



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 from 1 July 2019 to 30 June 2020, 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 2019–20 to 2022–23, and as published in the National Archives' 2019–20 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.

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

David Fricker
Director-General
National Archives of Australia
24 September 2020

Annual performance statement

The National Archives' annual performance statement for 2019–20 provides a comprehensive overview of how the organisation performed throughout the year.

Reporting framework

The National Archives achieves its purpose through one outcome, delivered through a single program, as outlined in the Portfolio Budget Statements (PBS) 2019–20. The annual performance statement provides an analysis of the agency's performance in 2019–20 against the performance criteria and targets also set out in the 2019–20 PBS and 2019–20 to 2022–23 Corporate Plan.

Figure 2 outlines the performance reporting structures set out in the PBS and the Corporate Plan, and shows how the performance criteria are addressed in the annual performance statement.

Figure 2 | Relationship between Portfolio Budget Statements, Corporate Plan and annual performance statement



Performance overview

Table 1 details the National Archives' results against the four performance criteria set out for 2019–20 in the Corporate Plan 2019–20 to 2022–23 and the PBS (pages 157–170).

Table 1 | Summary of results against 2019–20 performance criteria

Program 1.1 The 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.

Performance criteria	Target	Goal	Result
The National Archives leads Australian Government agencies in achieving digital transition through whole-of-government information policy guidance	New approach to support Australian Government digital information management capability released by 30 September 2020*	Deliver a draft policy for consultation by 30 June 2020	Draft policy delivered by 30 June 2020
Australian Government agencies are surveyed against DC2020 Policy targets and outcomes reported to the Prime Minister and the Minister	97% of agencies complete survey by 2020–21*	97%	98%
	Qualitative evaluation of progress towards DC2020 Policy outcomes; using survey responses and case studies	Deliver qualitative evaluation of progress towards DC2020 Policy outcomes	Qualitative evaluation delivered

Performance criteria	Target	Goal	Result
Records of enduring national significance are identified and transferred into the national archival collection for safe keeping	80% of Australian Government entities have comprehensive records authority coverage by 30 June 2020	80%	79%
	Qualitative evaluation of records of enduring national significance transferred for safe keeping; using case studies of programs to preserve records at risk in the national archival collection	Qualitative evaluation of records of enduring national significance transferred for safe keeping using case studies	Case studies of programs to preserve records at risk in the national archival collection delivered
The national archival collection is accessible, promoted and made available through multiple channels regardless of original format	3% annual increase in public engagement with the National Archives	3%	27%
	Qualitative evaluation of the accessibility and engagement with the National Archives' collection, the channels used and cooperation with other stakeholders; using case studies	Qualitative evaluation of accessibility and engagement	Case studies of channels used and cooperation with other stakeholders delivered

* Note: The measure as it was published in the 2019–20 PBS relates to 2020–21; however, this performance measure has been progressed or met during 2019–20.

Performance results

Performance criterion one

Performance criterion: The National Archives leads Australian Government agencies in achieving digital transition through whole-of-government information policy guidance

Measure	New approach to support Australian Government digital information management capability released by 30 September 2020* * The measure as it was published in the 2019–20 PBS relates to 2020–21; however, the work program progressed this performance measure to deliver a draft policy provided to agencies for consultation by 30 June 2020.
Source	Portfolio Budget Statements 2019–20, page 162 National Archives of Australia Corporate Plan 2019–20 to 2022–23
Delivery strategy	Strategy 1 – Establish frameworks for best practice management of Australian Government information and data by Australian Government agencies towards achievement of Digital Continuity 2020 Policy targets
Result	Achieved

Analysis of performance

In 2019, the Australian Government published its Australian Public Service reform agenda, *Delivering for Australians*, to support stronger growth of Australian businesses and more jobs while protecting the vulnerable. In 2020, as Australia works to overcome the adverse effects of the COVID-19 pandemic, those goals have become even more important. The pandemic has also further highlighted the importance of standardised and interoperable data and systems to facilitate the collection of accurate and timely data. Holistic and well-planned information management is foundational to support, as well as transform, how government operates. Transformation relies on trusted information and data made available to government and the community primarily through digital technologies by a capable and skilled workforce.

The government requires accurate and reliable information to make decisions and take actions that ensure the effective delivery of services and benefits to the Australian community. The need for government to retain and preserve evidence of its decisions and actions, as well as the rights and entitlements of members of the Australian community, through creating and maintaining authentic, complete and accessible records has never been greater.

Sound information governance is critical to achieving those outcomes. Australian Government agency heads and executives have an essential role in providing leadership to enable and support good information management practices and behaviours within their organisations. Well-managed information improves business efficiency, mitigates risks,

and is essential for government accountability and transparency. The value of government information is maximised when it can be used, shared and re-used.

Accordingly, in the 2020–21 financial year the National Archives will release its new whole-of-government information policy, *Building Trust in the Public Record: managing information and data for government and community*. Development of the new policy began during 2019–20 leading to the release in July 2020 of an exposure draft for agency and broader stakeholder comment. This will inform the final version of the new policy, which will take effect from 1 January 2021 following the conclusion of the DC 2020 Policy in December 2020. This new policy will continue to promote good information management as essential to building trust in Australian Government information and will maximise its value to meet the current and future needs of the government and community. It will also enable the government to continuously improve how it creates, collects and manages its information and data assets.

After the policy formally comes into effect next year, the National Archives will measure the progress of its implementation by Australian Government agencies through the organisation’s established whole-of-government surveys of their information management capability. The National Archives plans to review the policy and its implementation after the first 12 months of its release to ensure its relevance, practicality and effectiveness.

Performance criterion two

Performance criterion: Australian Government agencies are surveyed against DC2020 Policy targets and outcomes reported to the Prime Minister and the Minister	
Measures	97% of agencies complete survey by 2020–21* * The measure as it was published in the 2019–20 PBS relates to 2020–21. However, this performance measure was met and exceeded during 2019–20; 98% of agencies had completed the 2019 Check-up PLUS survey by 30 June. Qualitative evaluation of progress towards DC2020 Policy outcomes; using survey responses and case studies
Source	Portfolio Budget Statements 2019–20, page 162 National Archives of Australia Corporate Plan 2019–20 to 2022–23
Delivery strategy	Strategy 1 – Establish frameworks for best practice management of Australian Government information and data by Australian Government agencies towards achievement of DC2020 Policy targets
Result	Achieved

Analysis of performance

Digital Continuity 2020 Policy

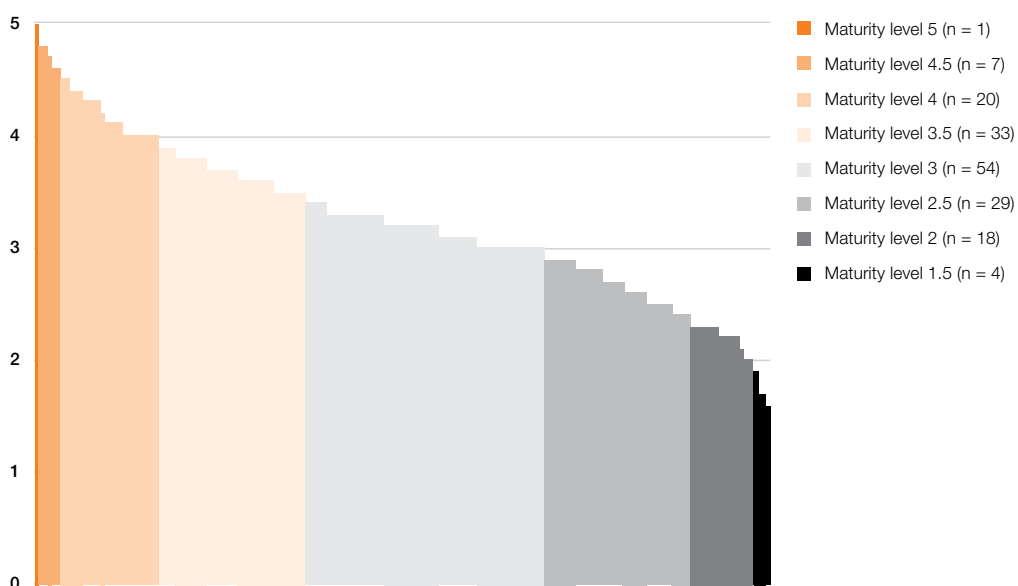
Since 2011, the National Archives has surveyed Australian Government agencies to assess the maturity of their information management capability. Completion of the survey is a mandatory requirement of the DC2020 Policy for all Australian Government entities. The significance and value of this survey to information managers in all agencies are evidenced by the completion rate of 98 per cent across government in 2019.

The most recent Check-up PLUS survey (2019) indicates that the DC2020 Policy has achieved significant progress in transitioning agencies to digital and whole-of-government information management capability. Key improvements in meeting policy objectives were as follows:

- 81 per cent of agencies manage most information and data digitally, up from 30 per cent in 2010
- 71 per cent of agencies have implemented processes to remove paper and automate the collection and creation of information and data, up from 58 per cent in 2018
- 45 per cent of agencies use appropriate technologies to automate processes, up from 31 per cent in 2018.

Figure 3 shows the relative information management maturity of all agencies.

Figure 3 | Average information management maturity level across agencies (Check-up PLUS 2019 survey)



n = number of agencies surveyed

The survey results reveal that the number of high-performing agencies (fully mature in all areas of information and data management)¹ is 28 out of 166 (17 per cent). With strong capabilities enabling people to find, understand and access information, those high-performing agencies can capitalise on efficiencies resulting from rapid access to reliable information. The survey data also indicates that high-performing agencies are more readily able to share and re-use their information and data between systems, and have reduced storage costs and risk of information loss.

However, implementation is progressing at varying rates among agencies. The 2019 survey identified a number of gaps in capability. One-third of agencies are not expected to adequately meet the requirements of the policy by December 2020.² A similar number indicated that they have insufficient resources to identify information of long-term value or arrange the destruction of material of shorter term value. The National Archives has provided targeted assistance to those agencies through programs such as the Agency Implementation Support Program, discussed in the case study below.

Case study

Agency Implementation Support Program

In August 2019, the National Archives initiated the Digital Continuity 2020 – Agency Implementation Support Program to assist those agencies that were identified as being in the lower third of information management maturity. This was an additional engagement channel to help those agencies improve the maturity of their digital information management practices in the final phase of implementation of the policy. The practical objective of the program is to link those agencies to targeted support and online advice and tools.

In November and December 2019, as part of the program, representatives from 24 agencies took part in round-table and telephone consultations. They shared their experiences of limitations and challenges in their digital information management practices and identified additional advice that they felt would be helpful if it were added to the National Archives' existing online content.

The main limitations identified by agencies were resources and culture, the need for increased senior executive support and technology. Some challenges to be addressed, according to agency representatives, include the management of unstructured information stored in dispersed locations; assessments of business systems for information management compliance and interoperability; and digitisation of legacy analogue records.

1 Based on an average information management maturity score of 4 or higher.

2 'Adequate' is defined as an average score of 3 or higher out of 5, or a score just below 3 with a minimum of one high score in one or more of the five information maturity indices.

Agency representatives expressed a desire for reducing red tape and getting more specific and practical advice from the National Archives, as well as better networking opportunities at various levels for sharing information and experiences. A convincing case was put forward for individual agency engagement with the National Archives, when required, to provide advice tailored to specific agency needs.

As a result of the program's work in 2019–20, the National Archives developed online advice on dealing with data and datasets, and on the disposal of records in the absence of an agency-specific records authority. Work continues on liaising with individual agencies, when requested, to provide tailored advice and solutions on better practice information management.

Performance criterion three

Performance criterion: Records of enduring national significance are identified and transferred into the national archival collection for safe keeping

Measures	80% of Australian Government entities have comprehensive records authority coverage by 30 June 2020
	Qualitative evaluation of records of enduring national significance transferred for safe keeping; using case studies of programs to preserve records at risk in the national archival collection
Source	Portfolio Budget Statements 2019–20, page 162 National Archives of Australia Corporate Plan 2019–20 to 2022–23
Delivery strategy	Strategy 2 – Secure and preserve Australian Government information of enduring national significance for the national archival collection
Result	Substantially achieved

Analysis of performance

Australian Government entities have comprehensive records authority coverage

In 2019–20, a new approach was taken to provide records authority coverage for smaller PGPA Act agencies, which often have a single well-defined core business and no unallocated resources with which to develop a records authority. Under this approach, appropriate existing general records authorities that would identify and safeguard 'retain as national archives' records were authorised for use on agencies' core business records.

In addition, for small agencies with unique core businesses that could not be covered in the manner described above, the National Archives proactively identified and drafted records authorities for agency approval. Agencies welcomed this approach and responded positively. Two new records authorities using this approach were issued by the end of 2019–20, and several more in an advanced stage of development will be issued early in 2020–21.

The development of records authorities is currently dependent on two factors:

- the resources an agency can commit and the timeliness of its contributions and clearances
- the complexity and breadth of the functions of government to be covered by the records authority.

Although the target was substantially met (79 per cent of the 80 per cent target), the resources available within the National Archives to manage and deliver records authorities continue to present challenges for the agency's priorities. In 2019–20, COVID-19 also slowed the issue of several records authorities. As agency response times were drawn out as a result of the necessity for agency staff to work from home, original estimates for records authority completion were affected.

Records of enduring national significance transferred for safe keeping

The total collection intake target of \$7.5 million was achieved, as many records of archival significance were transferred to the National Archives' custody during 2019–20.

Transfer programs and records transferred into the collection included the following:

- Bureau of Meteorology: The bureau transferred hydrology and severe weather reports, including oversized maps and charts for storm and tornado flooding, photographs and tornado case histories. The transfer covered a variety of records created between 1917 and 2006. [Series J1324]
- Federal Executive Council: The National Archives now has the complete set of records of submissions and approvals in the series that cover the work of the council from its inception in 1901 until 2012. [Series A1572 and A1573]
- Directorate of History and Heritage Services, Royal Australian Air Force: The National Archives has begun the transfer of the first of four series of bound volumes that capture the deliberations of the Air Board and Air Council between their formation in 1920 and their disbandment in 1976. [Series A14487]
- Australia Council: Records relating to grant applications, awards and community partnerships have been transferred. They cover cultural activities such as theatre programs, dance troupes, poetry and fiction [Series C2943]. Some examples are:
 - Major organisations partnership – Queensland Theatre Company and Jagera Jarjum Dance Troup

- Produce CD master of David Page's music for Bangarra Dance Theatre's 'Fish'
- Wramungu Pujjali – series of cultural workshops for males in Tennant Creek and Barkly Region
- Cultural programs in correctional facilities to enhance employment opportunities for offenders (Queensland)
- Consultation and design phase of a public art project at the Lalor shopping precinct and library.

Programs to preserve records at risk in the national archival collection

The National Archives' preservation and digitisation strategies identify the categories of records in the collection that are most at risk of being lost in the next 10 years. The records are prioritised by their format (or type of deterioration). The highest priority formats identified in the strategies include digital formats, magnetic media (obsolete technology for playback and degradation due to hydrolysis), nitrate and acetate-based film (acetic and nitric acid deterioration), colour film and print material (dye fade), and documents on poor-quality paper (damage through handling). Many records are preserved through digitisation, while others are preserved through treatments to the original item. Some 157,777 at-risk records were preserved in accordance with the preservation and digitisation strategies during 2019–20, including:

- 44,611 records that received physical preservation treatments
- 113,166 records that were digitised to preservation standards, comprising
 - paper – 49,546 records (2,901,025 pages)
 - photographic – 61,768 records
 - audiovisual – 1,852 records (approximately 370 hours).

Preservation and digitisation strategies also support other National Archives initiatives for access to content. The Aboriginal and Torres Strait Islander Strategy and Implementation Plan are commitments to broaden and strengthen the agency's capacity to engage with and meet the needs of Aboriginal and Torres Strait Islander people. Series A8739, consisting of black-and-white and colour negatives from the Department of Aboriginal Affairs, was identified for preservation digitisation in accordance with the implementation plan. The negatives document events relating to Indigenous Australians and their work and lives. To date, this project has digitised 75 per cent of the series (4,209 images) to the National Archives' Preservation Digitisation Standards and made them accessible online to all Australians.

One of the primary aims of the National Archives' 2020 Strategic Plan is to expand the agency's digital archiving capability to handle the increasing volumes of data to be transferred from Australian Government agencies. An important aspect of digital continuity is digital

preservation. Preserving digital and audiovisual information often requires migration to new platforms and formats. In 2019, the National Archives significantly increased its digital archive storage capability through the implementation of new enterprise-grade storage.

As a part of the Digital Preservation Strategy, all existing audiovisual preservation digital files are being migrated from the current Audiovisual Linear Tape Open (LTO) Tape Library to the new Enterprise Storage. The data migration project commenced in August 2019 and, to date, 50 per cent of the LTO tapes have been successfully migrated, comprising 159,843 files or 574 terabytes of data. A significant proportion are digital files produced from a Deadline 2025 mass outsourced digitisation project. Digital preservation treatments were included in the digital workflows, such as metadata extraction, file renaming, file failures and 100 per cent quality control of files in new storage.

Deadline 2025 follows an international call to action to save magnetic media on audio and video tape at risk due to obsolescence and degradation. This is a key priority under the National Archives' Corporate Plan, and since 2015 the agency has implemented multiple strategies to support this work.

This year, the Service Panel for Outsourced Digitisation of Audiovisual Materials was formed and is available for all agencies to use, enabling vendors and agencies to digitise more records to established archival standards. Internal capacity and capability have been increased through procurements of new equipment, and new developments and innovations have been implemented for archiving bulk digital records returned from vendors. In addition to internal digitisation, more than 700 audio tapes were outsourced this year. The digitised tapes were critically endangered ¼-inch audio tapes including the *Science Show* with Dr David Suzuki in Australia and National Press Club lunches with speakers such as David Williamson, Jose Ramos Horta and Prime Minister John Howard. Classical concert recordings of performances by the Sydney Symphony Orchestra and Melbourne Symphony Orchestra were also among the titles digitised.

The National Archives received \$10 million over four years from 2019–20 as an election commitment to digitise 850,000 World War II service records and make them available online. The records document the service of the men and women of the Australian armed services – Army, Navy and Air Force – during the war. They include paper documents such as attestations, service forms and correspondence related to their service and often also include photos and negatives. Since 1 July 2019, more than 14,179 World War II service records (600,169 pages) have been digitised under this project and released for public access online through the National Archives' website. To assist with the public release of the records, the Department of Veterans' Affairs and the National Archives signed a data management agreement for the bulk release of 498,740 records. The agencies have worked together to address potential privacy issues prior to public release.

Case study

Digitisation of at-risk colour films from the Snowy Mountains Hydro-electric Authority

In September 2019, the National Archives digitised 40 at-risk colour films from the unique and significant Snowy Mountains Hydro-electric Authority collection to commemorate the 70th anniversary of the authority, which is now Snowy Hydro Limited. Snowy Hydro is responsible for the most significant hydro-electricity and irrigation system in Australia, built from 1949 to 1972 by a primarily migrant workforce.

The 16-mm films document the building of power stations, tunnels and dams during the 23-year period. Original reversals, interpositives and composite prints were scanned in 5K resolution on a Lasergraphics ScanStation to preservation standards, bringing the footage to light in a quality never seen before. This project is an example of Agency Digitisation Service requests meeting both the needs of the agency and the preservation targets of the National Archives. The National Archives' digitised footage is highlighted at the Snowy Hydro Discovery Centre's state-of-the-art immersive theatre experience.

Performance criterion four

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

Measures	3% annual increase in public engagement with the National Archives
	Qualitative evaluation of the accessibility and engagement with the National Archives' collection, the channels used and cooperation with other stakeholders; using case studies
Source	Portfolio Budget Statements 2019–19, page 162
	National Archives of Australia Corporate Plan 2019–20 to 2022–20
Delivery strategy	Connect researchers and the community to the national archival collection and enhance understanding of the role of the National Archives
Result	Achieved

Analysis of performance

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

- **onsite** – visits to the agency's offices and research centres located in every capital city
- **offsite** – attendance at travelling exhibitions, and National Archives and partner events and activities held at other venues
- **online** – visits to the National Archives' websites, social media activity and digital media audiences.

Annual performance in 2019–20 was mixed across the three streams compared to 2018–19, as follows:

Activity stream	2018–19	2019–20	Comparative result
Onsite	139,108	93,652	33% decrease
Offsite	156,038	111,174	29% decrease
Online	28,373,960	36,106,068	27% increase
Total	28,669,106	36,310,894	27% increase

Overall, public engagement increased by more than a quarter in 2019–20, driven by a doubling of digital and broadcast media audiences in quarters three and four (from 7.4 million in 2018–19 to 16.5 million in 2019–20). This large increase was the result of extensive media coverage of the annual Cabinet records release and the High Court ruling on the Kerr Palace letters. Aggregate public engagement through other online channels (websites, social media and RecordSearch collection database) remains relatively steady year on year.

The increase in online activity offset a large decrease in onsite and offsite engagement, which were each down by a third from 2018–19 figures. The decrease in engagement was largely the result of program closures and venue restrictions imposed in response to the COVID-19 pandemic.

Case studies

Spy: espionage in Australia

The development and delivery of the national touring exhibition *Spy: espionage in Australia* is due to successful collaborations and partnerships.

The exhibition development and touring components are funded by grants from the National Collecting Institutions Touring and Outreach program and Visions Australia program, which are both managed by the Office for the Arts. The exhibition includes significant objects and

documents, including loans from international and Australian agency collections. Strong working relationships have contributed to a rich, contextual history of intelligence services in Australia from Federation to now.

The exhibition toured to three venues in NSW, resulting in a total visitation of 32,695. It was on display at the National Archives' National Office, Canberra, from November 2019 to March 2020, closing early due to COVID-19 restrictions. During that period, 20,228 visitors viewed the exhibition. The national tour of the exhibition is due to recommence following the easing of restrictions on interstate travel to Western Australia and Queensland.

Community education

Reference officers across the country deliver orientation sessions to groups of researchers to help them understand how to explore and access the national archival collection.

On 12 August 2019, a group of 30 Australian National University undergraduate history students visited the National Archives Preservation Facility in Canberra to learn how to use the National Archives' records for their research projects.

National Archives staff guided the students through strategies for identifying records and the reference services available to help researchers access the collection. Following that, the students viewed original records on topics including the 1954 Royal tour, climate change policy and the surveillance role of the Australian Security Intelligence Organisation. This led to conversations and questions that can arise only from interacting with these unique original records.

National Reference Service – response to COVID-19

From April to June 2020, the National Reference Service responded to more than 500 rights and entitlement enquiries from Australians seeking information to progress their applications for assistance due to the COVID-19 shutdown. Many of the enquirers had not previously used these services. The National Reference Service prioritised the enquiries and suspended charges for certification to support Australians through this challenging situation.

In addition, the National Archives experienced a 65 per cent increase in access to the online collection database, RecordSearch, and digitised records during the April–June 2020 period.

Prime ministers' records

In the 2018–19 Mid-year Economic and Fiscal Outlook statement, the National Archives received additional funding to support the digitisation of records of former prime ministers, to enhance their accessibility and visibility.

To undertake this work, the personal collections of former prime ministers, agency correspondence records, and the minutes and decisions of Cabinet from 1901 to 1996 were assessed and prioritised. More than 9,000 records of every Australian prime minister from Sir Edmund Barton to Paul Keating are now described, digitised and available on RecordSearch.

Collaboration with Western Sydney University

During the 2020 autumn semester, Western Sydney University, in collaboration with the National Archives New South Wales Office, offered high-achieving students in the School of Humanities and Communication Arts a history research unit focusing on records related to World War I from the National Archives' collection. Three students enrolled in the program. On 5 March 2020, staff ran a workshop to give the students an overview of National Archives operations and using RecordSearch, and guidance on identifying World War I records.

Using RecordSearch and the *Discovering Anzacs* website, the students chose a World War I soldier or group of soldiers and worked through a research and assessment program over the course of the semester. The research program was a success, and there are plans for this collaboration to continue. Western Sydney University advises that two of the students are already planning to undertake Master of Research degrees using World War I repatriation records in 2021.

Perth: an accidental history

Perth: an accidental history is currently showing at the National Archives Western Australia Office. The exhibition draws on the Postmaster-General's photographic series K1131, in which there are thousands of digitised images. The images show how, through documenting advances in telecommunications, the Postmaster-General's photographers also created a valuable record of Perth and its history.

The exhibition comprises 25 framed photographs as well as two panoramas. Two screens feature film footage of Perth and images from the collections of the City of Perth and the State Library of Western Australia.

Perth: an accidental history has increased awareness of the National Archives' collection and presence in Perth. It also links the new Northbridge office with the local area, particularly the Perth Cultural Centre, and has provided an excellent opportunity to pursue partnerships with organisations such as the State Records Office of Western Australia, State Library of Western Australia and City of Perth.

Access examination

The *Archives Act 1983* provides a general right of access to records after 20 years unless they fall under one or more of the 16 exemption categories defined in section 33 of the Act. Before records are released, they are examined by National Archives staff for any information that should be exempt, including, where necessary, consultation with policy agencies to inform the assessment. Records are released in response to applications for access from the public or as part of the National Archives' program of proactive release.

At 30 June 2019, there were 23,197 current applications for access to records. During 2019–20, the National Archives received 45,297 new applications for access to records and released 40,577 records that were subject to applications from the public. There is often more than one applicant for a record, and more than one record may be requested in a single application. This means that the examination of a single record can result in the completion of a number of applications.

The National Archives also released 670,551 records as part of the agency's program of proactive release. The National Archives regularly releases series of records that are no longer sensitive and are of general interest to the public. Proactive releases, which do not require examination, included World War II service records; records relating to the Commonwealth Transport Committee; claims against Australian debtors; Papua New Guinea maps and plans; records relating to Australian territories; and key 1998–99 Cabinet records.

At 30 June 2020, there were 3,134 records relating to 6,349 current applications on referral to agencies for advice on continuing sensitivity. There were 16,700 applications still to be processed, a significant proportion of which were for records that will require referral to the Department of Foreign Affairs and Trade (DFAT) for advice on continuing sensitivity. DFAT is currently at storage capacity and has limited space to receive more records for review from the National Archives. The agency is working with DFAT to improve processes for referring records for advice on continuing sensitivities and to consequently reduce the time taken to complete applications for DFAT records.

A small number of researchers account for the majority of applications. The agency manages the flow of examination to ensure that high-volume requests do not disadvantage access to records for the majority of researchers. The application cap, which came into effect with legislative amendments in April 2019, has reduced the impact of those researchers, as the consideration period for notifying decisions on access is extended for any applications submitted after 25 April 2019 where the applicant applies for more than 25 items. Figure 4 provides a breakdown of the number of applications requested by the high-volume applicant group.

At 30 June 2020, there were 22,976 current applications from the public for access to records pending examination. The National Archives continues to manage the queue of applications in addition to responding to new requests.

Table 2 | Number of records access examined, 2019–20

Records examined for the public	40,577
Records examined for proactive release	670,551
Total	711,128

Table 3 | Decisions on access, 2019–20

Wholly released records	708,472
Partially released records	2,554
Wholly exempt records	102
Total	711,128

Table 4 | Time taken for non-complex access examinations, 2019–20

Records within statutory consideration period	36,489
Records over statutory consideration period	1,958
Total	38,447

Table 5 | Time taken for complex access examinations, 2019–20

Records within statutory consideration period	1,293
Records over statutory consideration period	837
Total	2,130

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

Table 6 ■ Application progress, by financial year, 2009–10 to 2019–20

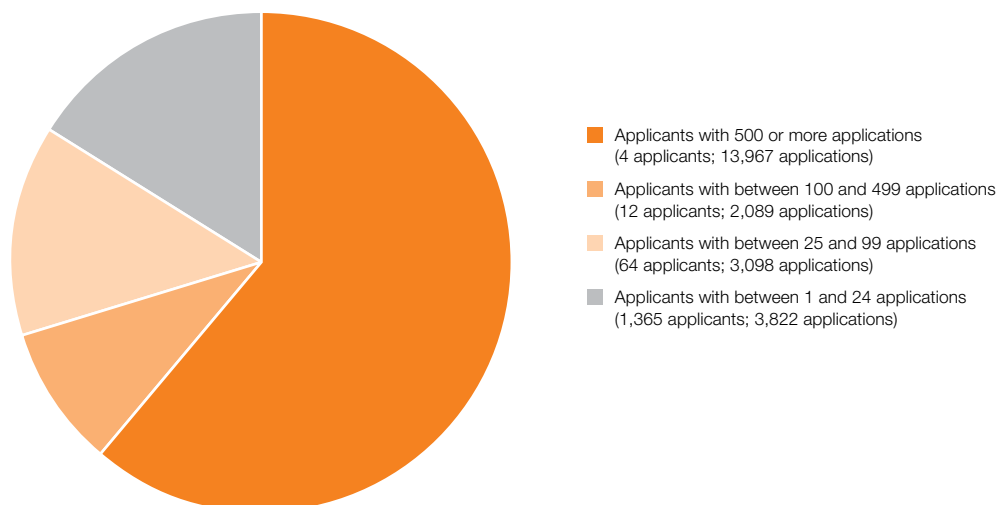
	Applications where records are released without exemptions	Applications where records are released with some exemptions	Applications where records are wholly exempt	Applications where records are withheld pending advice from agencies	Applications withdrawn by applicant	Applications still to be processed*	Total applications received
2009–10	46,058	5,423	174	122	1,407	0	53,184
2010–11	38,032	5,033	246	163	1,453	0	44,927
2011–12	47,269	5,766	275	868	1,858	1,878	57,914
2012–13	40,727	4,677	259	804	1,458	303	48,228
2013–14	48,483	6,063	528	864	2,290	2,379	60,607
2014–15	42,776	9,155	534	1,078	1,360	1,209	56,112
2015–16	44,788	4,874	688	696	1,412	1,019	53,477
2016–17	33,605	5,275	277	448	4,962	2,046	46,613
2017–18	35,231	3,486	461	586	489	3,072	43,325
2018–19	40,237	3,296	500	446	473	1,346	46,298
2019–20	38,269	2,772	72	274	462	3,448	45,297

* Records subject to these applications will most likely require referral to agencies for advice on continuing sensitivities. Approximately 14,500 of these applications have not been progressed as they contain information requiring referral to DFAT, which has limited capacity to receive more records.

Table 7 | Records currently on referral to agencies, as at 30 June 2020

Agency	Number of records
Attorney-General's Department	35
Australian Federal Police	22
Australian Security Intelligence Organisation	267
Department of Defence	480
Department of Foreign Affairs and Trade	2,003
Department of Home Affairs	54
Department of the Prime Minister and Cabinet	178
Office of National Intelligence	83
Other	12
Total	3,134

Figure 4 | Number of applications by high-volume applicant group, as at 30 June 2020



Release of Papua New Guinea maps and plans

During 2019–20, the National Archives released more than 30 shelf-metres of maps and plans created by the Department of External Territories in the 1950s during the department's administration of Papua New Guinea (PNG).

PNG was an external territory of Australia from the end of World War II to independence in 1975. Territory administration was the responsibility of an Australian Government Administrator who reported to the Department of External Territories.

The maps and plans released include layouts of towns in PNG, including Port Moresby, Lae, Kavieng, Goroka, Wewak, Madang and Rabaul. The plans show zoning, transportation, residential subdivisions and town layouts. Plans for electrical reticulation for streetlights and substations, water-supply layouts and pipelines, and public buildings and infrastructure such as hospitals, high schools, bridges, wharfs and roads, were also released.

The maps and plans were beautifully executed and included artist drawings, site plans, layouts, crosscuts and elevations. Many were hand drawn and coloured in pencil.

Financial performance

The National Archives, like all other government departments and agencies, is not funded by government for the non-cash expenditure items of depreciation and amortisation. The National Archives' financial statements are however prepared in accordance with the Australian Accounting Standards, which require the recognition of depreciation and amortisation expenses. This means that the bottom line operating position of the agency will almost always show a net loss.

For 2019–20, excluding depreciation and amortisation, the agency had a surplus of \$17.0 million; the National Archives has not overspent, has operated consistently with the Commonwealth Financial Framework and its overall business operations have not exceeded the funding received from government, augmented by own sourced revenue.

With the inclusion of unfunded expenditure in depreciation and amortisation the agency reported a net loss of \$17.0 million, which compares to a \$14.1 million loss in 2018–19. The increase in the net loss, of almost \$3 million, can be attributed to a change in the Australian Accounting Standards with regard to leases which had a non-cash impact and does not reflect a change in the financial operations of the National Archives.

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 impacted on results.

Statement of comprehensive income

Income

Total income for 2019–20 was \$77.1 million, an increase of \$4.3 million from \$72.8 million in 2018–19.

The increase in income was primarily due to increased revenue from government of \$5.1 million as a result of appropriation received to cover additional rental and property operating expenses for the Mitchell (Sandford Street) storage facility refurbishment in the ACT.

The increase was offset by reduced revenue from sales of goods and rendering of services (\$0.7 million) predominantly as a result of delays in spending against externally funded projects, which the National Archives only recognises as revenue when funding is expensed.

Expenditure

Total operating expenditure increased \$7.2 million to \$94.1 million in 2019–20 from \$86.9 million in 2018–19.

There was a \$23.2 million increase in depreciation and amortisation expenditure to \$34.4 million in 2019–20 from \$11.2 million in 2018–19, and in finance costs of \$12.0 million from nil in 2018–19. This was primarily due to the implementation of new Australian Accounting Standard AASB16 – Leases.

The increase was offset by a decrease of \$23.4 million in supplier expenses to \$13.5 million in 2019–20 as a result of the implementation of the new Accounting Standard AASB16 – Leases. All operating lease expenses have been eliminated and replaced by depreciation and interest expenses (finance costs). COVID-19 has also affected the agency's business activities by causing delays in expenditure.

Employee expenses decreased by \$3.7 million to \$33.7 million in 2019–20 due to a voluntary redundancy program undertaken in 2018–19, a lower average staffing level and an increased capitalisation of employee costs compared to the previous year.

Balance sheet

Assets

At 30 June 2020, the National Archives' assets had increased by \$0.489 billion to \$2.034 billion from \$1.545 billion at 30 June 2019.

The increase was mainly due to a recognition of building right-of-use assets (\$486.3 million) as a result of the implementation of the new Accounting Standard AASB16 – Leases as at 30 June 2019.

Liabilities

The National Archives' total liabilities increased by \$483.9 million to \$512.7 million at 30 June 2020 from \$28.8 million at 30 June 2019.

The increase was primarily due to the recognition of lease liabilities of \$495.1 million offset by a decrease in supplier payables of \$12.8 million, resulting from the application of the new Accounting Standard AASB16 – Leases.

Equity

The National Archives' total equity increased by \$4.8 million to \$1.521 billion at 30 June 2020 from \$1.516 billion at 30 June 2019.

The net increase was driven by an increase of \$8.2 million in contributed equity (departmental capital budget), an increase of \$13.6 million being the net adjustment resulting from the elimination of lease straight-lining and lease incentives, offset by the deficit of \$17.0 million recorded in 2019–20.



Ms Pat O'Shane, Head of NSW Ministry of Aboriginal Affairs, 1982.
NAA: A6180, 6/1/82/9

PART 3

MANAGEMENT AND ACCOUNTABILITY



Governance

The National Archives' governance framework provides oversight and accountability for the efficient and ethical management of resources and compliance in accordance with the regulatory and legislative requirements of a public service entity.

A review of governance initiated in 2019–20 was finalised for implementation in the next financial year. The aim is to deliver governance improvements and to simplify the National Archives' committee, project board and working group structures to clarify roles, terms of reference, decision-making processes and governance responsibility.

These reforms are better positioning the National Archives to respond to, resolve and move beyond emerging issues identified through internal and external review, the Executive Board and the National Archives Advisory Council.

Governance structure

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 is the principal committee advising the Director-General on matters affecting the corporate governance and operational management of the National Archives. Decisions by the Executive Board are made with the authority of the Director-General.

The members of the National Archives' Executive Board and their responsibilities at 30 June 2020 were as follows:

- 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, Assistant Director-General, Information and Technology and Chief Information Officer – primarily responsible for supporting the National Archives in the achievement of its vision to be a world-leading archive in this digital age.
- 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.

- Linda Macfarlane, acting Assistant Director-General, Government Data and Policy – oversees this newly created branch to take on the innovative work of the Digital Archives Taskforce, policy development and agency engagement.
- Jason McGuire, acting Assistant Director-General, Corporate Services and Chief Security Officer – oversees the efficient, effective and ethical management of the National Archives' resources in accordance with whole-of-government legislative and policy frameworks.
- Steven Fox, Assistant Director-General, Collection Management – oversees the Collection Management branch, which ensures the authenticity, integrity and accessibility of the archival resources of the Commonwealth.

During the year, the following significant changes in the executive leadership occurred:

- Teresa Ward, who led the Digital Archives Taskforce as Assistant Director-General, took extended leave from 18 December 2019 leading up to a planned retirement.
- Celia Blake acted as Assistant Director-General of the Digital Archives Taskforce from 18 December 2019 until 1 June 2020.
- Linda Macfarlane continued as Acting Assistant Director-General, Collection Management until 1 June, when she became the Acting Assistant Director-General, Government Data and Policy.
- Steven Fox joined the National Archives on 1 June 2020 as Assistant Director-General, Collection Management.

Corporate committees

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

Committee	Membership	Purpose
Audit and Risk Committee	Independent Chair	<p>The Audit and Risk Committee provides assurance to the accountable authority that the National Archives is meeting its legislative obligations under the PGPA Act.</p> <p>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.</p> <p>The committee met four times during the year, with an additional meeting to review the annual financial statements.</p>
	Mr Geoff Knuckey	
	Mr Knuckey was appointed to the Audit and Risk Committee in 2011. He has extensive experience as an audit committee member or chair in the public and private sectors. Mr Knuckey has been a full-time company director and audit committee member since 2009 following a 32-year career with Ernst & Young.	
	Qualifications: B.Economics (ANU), FCA, GAICD, registered Company Auditor	
	Meetings attended: 5 Total annual remuneration: \$11,825	
	External member	
	Dr Margo Wade	
	Dr Margaret (Margo) Wade FCPA has been a member of the Audit and Risk Committee since 2015. She has served as an independent member of numerous audit committees since 1990. Prior to her retirement in 2005, Dr Wade was a tenured member of staff at the University of Canberra.	
	Meeting attended: 5	
	Total annual remuneration: \$6,000	
	Internal adviser	
	Assistant Director-General, Information and Technology / Chief Information Officer	

Committee	Membership	Purpose
Finance Committee	<p>Chair Director-General</p> <p>Members Assistant Director-General, Information and Technology / Chief Information Officer Assistant Director-General, Access and Public Engagement Assistant Director-General, Government Data and Policy Assistant Director-General, Collection Management Assistant Director-General, Corporate Services / Chief Security Officer</p>	<p>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 and sponsorships (both internal and external); and the management of the property portfolio.</p> <p>The committee met 11 times during 2019–20.</p>
Information Governance Committee	<p>Chair Director-General</p> <p>Members Assistant Director-General, Information and Technology / Chief Information Officer Assistant Director-General, Access and Public Engagement Assistant Director-General, Government Data and Policy Assistant Director-General, Collection Management Assistant Director-General, Corporate Services / Chief Security Officer</p>	<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 met quarterly to consider reports from the Chief Information Governance Officer on progress towards achieving the targets of the DC2020 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>

Committee	Membership	Purpose
Human Resources Management Committee	<p>Chair Director-General</p> <p>Members Assistant Director-General, Corporate Services / Chief Security Officer Assistant Director-General, Access and Public Engagement Director, People Management and Development</p> <p>Adviser Chief Financial Officer</p>	<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.</p> <p>The committee met throughout the year to consider submissions on such matters as staffing establishment, professional development, workforce planning and diversity, and a range of monthly and quarterly staffing reports.</p> <p>The committee met 11 times during 2019–20.</p>
Project Assurance Committee	<p>Chair Clive Lines, Independent Chair</p> <p>Members Assistant Director-General, Information and Technology / Chief Information Officer Assistant Director-General, Corporate Services / Chief Security Officer Regional Manager Central</p> <p>Adviser Assistant Director, Corporate Governance and Risk</p>	<p>The Project Assurance Committee (PAC – formerly the Project Management Committee) oversees the management of significant and/or complex projects being undertaken by the National Archives. The Chair of the PAC reports directly 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 PAC 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 2019–20, the PAC met seven times and moved from meeting monthly to bi-monthly.</p>

Committee	Membership	Purpose
Workplace Relations Committee	<p>Chair</p> <p>Assistant Director-General, Corporate Services / Chief Security Officer</p> <p>Members</p> <p>Four employee-elected representatives (two Canberra based and two state based)</p> <p>Community and Public Sector Union representative</p> <p>Management representative: Director, People Management and Development</p>	<p>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.</p> <p>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>.</p> <p>Consultation between employees and management occurs at the organisational level through the committee.</p> <p>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.</p> <p>The committee met four times during 2019–20.</p>

Transition of the Digital Archives Taskforce

On 30 June, the Digital Archives Taskforce, which had been in place since 1 July 2018, was finalised. The taskforce's purpose was to accelerate the National Archives' next-generation digital transformation by developing policies and standards, identifying new digital preservation and archival management solutions, mapping digital archival capability requirements and supporting upskilling through a digital capability framework and training regime.

Outcomes of the Digital Archives Program in 2019–20 included the procurement and piloting of the Integrated Archival Management System (IAMS), with the Information and Technology branch taking the lead; delivering a training program to staff comprising a mix of face-to-face and online training; publishing an alternative archival control model for the control and management of collection material in any format; and developing the born-digital file format standard for Australian Government agencies.

A permanent section, Digital Archives Innovation and Research, within the Government Data and Policy branch, will continue the transformative work of the taskforce.

COVID-19 Task Force

On 23 March, the National Archives formed a COVID-19 Implementation Management Team and Task Force to coordinate the organisation's response to the pandemic.

The role of the task force was to help ensure the health and safety of National Archives staff while maintaining the delivery of essential services. It comprised National Archives staff temporarily seconded from across the organisation with expertise in business continuity; people management and development; property management and security; and communications. The task force's small size and concentration of expertise meant it could respond rapidly and appropriately to unfolding conditions.

Access to clear, timely and digestible information is crucial in times of crisis. The task force sent regular updates to all National Archives staff to keep them informed about the organisation's response to the pandemic, including information about working arrangements, IT tools, cybersecurity, health and hygiene. It also made resources available on GovTEAMS and on the intranet. Staff could email the task force with questions via a dedicated email inbox.

As the pandemic unfolded, it became clear that stress, uncertainty and the rapid change brought about by COVID-19 had the potential to take a significant toll on mental health and wellbeing. The task force worked with the People Management and Development section to support the mental health of National Archives staff. It provided staff with a range of mental health resources, including information about the Australian Government's free Employee Assistance Program.

From 29 April to 7 May, the task force ran a survey to gauge staff satisfaction with the National Archives' response to the pandemic. Seventy per cent of respondents indicated that the National Archives' response to COVID-19 overall was 'Above average' or 'Excellent'.

Corporate governance

In 2019–20, the National Archives' work program focused on enabling efficient, effective and ethical corporate governance; sound corporate and strategic business planning, reporting and policy development; accountable compliance activities; and innovative and prudent management.

Particular areas of improvement to the National Archives' corporate governance included:

- better enterprise and operational governance and assurance, to understand emergent issues in the current environment; ability to think ahead and take action to avoid or reduce the chances of significant negative incidents, achieved through embedding systematic risk management into business planning and reporting and audit tracking and management

- the implementation of a new methodology to document performance measures reporting to track progress towards targets throughout the year or to identify opportunities to pursue, or issues that need addressing to improve, performance
- strategically focused business planning guidance and policy development to better align priorities, projects and spending to meet the National Archives' existing and emerging objectives and to mitigate risks
- a stronger integrity focus including legal, legislative reform, freedom of information, privacy, fraud and corruption (including public interest disclosure), insurance and compliance.

Risk management

The National Archives' risk maturity continues to grow through review and refresh of the risk management framework, including the policy, plan, guide and tools. As part of a broader governance framework review, it aims to support the consistent and systematic management of risk. Integrating risk into planning, monitoring and reporting provides a clear line of sight between the agency's highest priorities and all other planned work, so that efforts are focused on what should be done now and in the future. Strategic risk oversight gives certainty to the Executive Board in its strategic decision-making, planning and resourcing to ensure that objectives are achievable.

In 2019–20, risk management activities included:

- reviewing frameworks to integrate the management of risk into all key business functions, processes, systems, programs and projects
- raising awareness and building the risk management capability of all staff
- modelling risk management by the Executive Board and reflecting it in the agency's culture and processes
- making appropriate risk-based decisions – not excessively risk averse or overconfident
- assessing the risks of priority projects, such as the World War II service records digitisation project, Integrated Archival Management System pilot, DC2020 Policy and development of the new information management policy.

Internal audit

The National Archives' internal audit framework strengthens accountability and promotes good governance and transparency through independent and objective assurance.

The forward year audit program is drafted by contracted professional auditors in consultation with the National Archives' Executive Board. Audits are based on strategic priorities, risk management and governance controls. The program is presented to the Audit and Risk Committee and Executive Board for approval. Responsibilities for monitoring the approved audit program and recommendations are set out in the Audit and Risk Committee Charter.

In 2019–20, internal audits were conducted and/or finalised on:

- workforce management and planning
- salary payments
- financial controls
- online public access
- data integrity (collections)
- the Digital Archives Program (Phase 2).

Fraud measures

The National Archives' Fraud and Corruption Control Framework outlines the strategies, governance and procedures in place to protect against fraud and corruption-related risks to the agency's staff, information and assets.

During 2019–20, the National Archives continued work to implement recommendations from an internal audit of the fraud control framework in April 2018. The audit recommended a refresh of the agency's fraud control plan, the development of a new internal fraud training program and the implementation of awareness measures to improve staff understanding of fraud.

In response, a full review and redraft of a new Fraud and Corruption Control Policy, Control Plan and Guide have been completed.

The new Fraud and Corruption Control Framework includes:

- the Fraud and Corruption Control Policy, which sets out the commitment of the National Archives to preventing, detecting and responding to fraud and corruption within the agency through effective risk management and controls
- the Fraud and Corruption Control Plan, which outlines the key strategies to address the risk of fraud and corruption at the National Archives, including awareness, prevention, detection, response, reporting and review
- the Fraud and Corruption Control Guide, which aims to translate the policy into actions that each staff member can take in the workplace to prevent, detect and respond to fraud and corruption.

Due to interrelationships among the Fraud and Corruption Control Policy and other policies, such as the Public Interest Disclosure and Conflict of Interest policies, work was undertaken concurrently to update the other policies to ensure consistent and cohesive messaging and practices.

Follow-up work during 2020–21 will include coordinating and implementing strategies to build fraud awareness and understanding across the organisation, including releasing and promoting the updated framework documents, delivering a suite of posters and digital messaging on fraud, and confirming fraud coverage in mandatory and induction training. Those measures will be implemented continuously and evaluated to assess their effectiveness, including through a formal review of the National Archives' Fraud and Corruption Control Framework documentation scheduled for 2022.

In 2019–20, no instance of fraud was reported via the National Archives' fraud reporting telephone and email hotlines or through written correspondence to the Fraud Control Officer.

Information governance

The National Archives' information and data governance framework affirms the its commitment to effective governance and management for all information and data assets; clearly defines the standards, expectations and responsibilities for managing information and data; and ensures that the National Archives' information and data management practices meet legal obligations, accountability requirements, business needs and stakeholders' expectations.

In 2019–20, the National Archives continued to strengthen its information governance framework, policies and processes. This work was led by the Chief Information Governance Officer.

The National Archives achieved the DC2020 Policy requirements for 2019–20 through:

- converting any remaining analogue approval processes to digital
- assessing the agency's operational fitness for data interoperability
- identifying and managing all digital assets.

Ethical standards

In the 2019 APS Employee Census, 93 per cent of Archives employees indicated that colleagues in their immediate work group acted in accordance with the APS Values in their everyday work – an increase from 90 per cent in 2018. Also, 91 per cent of employees indicated that their supervisor acted in accordance with the APS Values in their everyday work, compared to 92 per cent in 2018. This data reflects the National Archives' continuing commitment to creating and promoting a workplace with high ethical standards.

In 2019–20, the Commonwealth Resource Management Framework online training course was made mandatory for all employees, ensuring full understanding of their responsibilities under the PGPA Act.

During the year, one public interest disclosure was received; it was yet to be finalised at 30 June 2020.

During 2019–20, no breaches of the APS Code of Conduct were determined. There were no requests to review a human resource decision, and no appeals to external authorities were made.

Freedom of information

In 2019–20, the National Archives received 14 freedom of information (FOI) requests. The results of those requests were as follows:

- Six decisions were finalised within the required time frame, granting access in full or part.
- Two decisions were finalised within the required time frame, refusing access.
- One request was withdrawn.
- Five requests were still being processed at the end of the financial year.

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 to publish information to the public as part of the IPS. A plan outlining what information is published in accordance with the IPS requirements can be found on the National Archives' website.

Privacy

In 2019–20, the National Archives received and finalised two written privacy complaints. Neither involved data breaches that required notification to the Privacy Commissioner.

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. The agency also strives to make programs and services accessible to all Australians regardless of their cultural and linguistic background.

A plan of initiatives devised to increase multicultural access and equity over the 2019–21 period focuses on staff awareness of cultural diversity; exhibitions; projects featuring shared documentary history with partner countries; and writing all information in plain English. Initiatives during the year included a focus on exhibitions, the development of which will continue after a post-COVID-19 return to business as usual.

Achievements in 2019–20 included:

- the redesign of the National Archives' website, including an emphasis on accessible plain English
- an internal newsletter promoting awareness of the multicultural and linguistic diversity of staff at the National Archives
- further promoting the internal register of staff language skills to support interactions with external clients, and updating the register by adding the relevant skills of new staff.

Recognising and respecting First Nations heritage

International Year of Indigenous Languages

On 25 November 2019, new signage displaying the Ngambri-Ngunnawal word murrulangkalang was unveiled on the National Archives' newly reopened National Office building in Parkes.

As a sign of respect for Indigenous Australian languages in the International Year of Indigenous Languages, the agency collaborated with Ngambri-Ngunnawal language custodian Paul House to find the right word for the dual-language signage.

Murrulangkalang means caves or rock shelters located in the Canberra region that contain hand stencils – important places that hold the cultural knowledge, information and records of generations of Ngunnawal and Ngambri. The name is reflective of the role entrusted to the National Archives in keeping the nation's most significant records safe, transmitting memory from one generation to the next.

A Welcome to Country and traditional smoking ceremony to mark the occasion was led by Mr House and attended by 80 guests, including the Minister for Indigenous Australians the Hon Ken Wyatt, AM MP.

A group of Murawari elders from north-west New South Wales were the very first visitors to enter the renovated Research Centre, where they viewed the World War II service records of people from their community.

Indigenous Matters Summit and Tandanya Adelaide Declaration

The National Archives and International Council on Archives (ICA) held the inaugural Indigenous Matters Summit on 25 October 2019. *See Us, Hear Us, Walk with Us: challenging and decolonising the archive* was led by the ICA's Expert Group on Indigenous Matters (EGIM) and was held at the Tandanya National Aboriginal Cultural Institute in Adelaide.

The summit brought together Indigenous communities, archivists, record-keepers, librarians, curators and community organisations from around the world to identify and discuss key issues facing Indigenous peoples and archives today.

At its conclusion, the EGIM presented the Tandanya Adelaide Declaration – the first international archives declaration on Indigenous peoples and matters, signed by all summit attendees. National Archives Director-General David Fricker, as President of the ICA, accepted the declaration, which calls for the jurisdictional archives of the world to acknowledge and adopt themes and commitments of the declaration for immediate action:

- to embrace Indigenous worldviews and methods of creating, sharing and preserving valued knowledge
- to decolonise archival principles with Indigenous knowledge methods
- to open the meaning of public archives to Indigenous interpretations
- to bring new dynamics of spirituality, ecology and Indigenous philosophy into the European traditions of archival memory
- to support fair and healing remembrance of colonial encounters.

As a signatory, the National Archives has committed to the Tandanya Adelaide Declaration. The organisation's Aboriginal and Torres Strait Islander Strategy already includes focus areas relating to the agreement, such as the right of reply; respectful engagement; and promotion of respectful and ethical relationships between archival institutions and Indigenous communities in recognising the diversity of social meanings embodied in archival materials and the knowledge models that interpret them. Forward years will include additional commitments to action in alignment with the declaration.

'Innovate' Reconciliation Action Plan

Progressing to an 'Innovate' Reconciliation Action Plan (RAP) remains a high priority for the National Archives. Unfortunately, the effects of COVID-19 along with internal governance changes adversely affected our ability to finalise our first 'Innovate' RAP during 2019–20. Work will continue with the aim of finalising the RAP within the first half of 2020–21.

Aboriginal and Torres Strait Islander services

The Northern Territory Aboriginal Advisory Group (AAG), advises and assists the National Archives in providing access to records in the national collection for the purposes of re-establishing family and community links. It met only twice during 2019–20 due to COVID-19 restrictions. The National Archives' Director-General met with the AAG at its November 2019 meeting in Alice Springs. The group discussed the use of the Bringing Them Home name index and the 2019–20 priorities of the National Archives' Aboriginal and Torres Strait Islander Strategy and Implementation Plan (including a new three-year Aboriginal and Torres Strait Islander Engagement Plan), and reviewed the AAG's operating guidelines. Updates were provided on the Indigenous Matters Summit, Tandanya Adelaide Declaration and dual-language signage on the National Office building. The AAG responded positively and supported the National Archives' priorities and updates.

In 2019–20, the second progress report of the Aboriginal and Torres Strait Islander Implementation Plan 2017–18 to 2020–21 was produced for the 2018–19 reporting period against identified commitments for key targets. The National Archives achieved 26 of 59 targets, including records authorities coverage of PGPA Act entities with Indigenous functions, the completion of an internal guide to assist in managing identified cultural sensitivities involving records being examined for public access, and meeting all requests for Bringing Them Home name index and memorandum of understanding applications. Thirty-three commitments were carried forward to the 2019–20 or 2020–21 reporting periods.

In May 2020, two further key priorities from the 2019–20 plan were completed: a review of the Northern Territory Aboriginal Advisory Group Guidelines, with comments from the AAG; and the Use of Aboriginal and Torres Strait Islander Cultural Sensitivity Warnings guidelines for staff. The guidelines outline which cultural sensitivities to be aware of, including the types of material, terms and language; explain why warnings are important; and indicate when to use a warning.

CAARA First Nations Working Group

The Council of Australasian Archives and Records Authorities (CAARA) First Nations Working Group was formed in June 2020. With National Archives representation, the working group is set to make meaningful and practical contributions to setting and guiding best practice principles for Indigenous-related archives and the promotion of Indigenous history and heritage across Australia and New Zealand. Future projects of the group will include CAARA's contribution to addressing commitments of the Tandanya Adelaide Declaration.

Significant noncompliance with finance law

No significant instances of noncompliance with finance law were recorded in 2019–20 that required reporting to the responsible minister in accordance with the PGPA Act.

External scrutiny

The National Archives is subject to scrutiny from a number of external bodies, including the Australian National Audit Office, Commonwealth Ombudsman, various parliamentary committees and the courts.

Administrative Appeals Tribunal

The National Archives makes decisions on access to Australian Government records under the Archives Act. People who are dissatisfied with a decision can, in certain circumstances, seek a review from the Administrative Appeals Tribunal (AAT).

In 2019–20, the AAT received two appeals. Thirty appeals were carried over from the previous financial year. The National Archives responded to 27 of the appeals during the year, with five appeals remaining before the AAT at 30 June 2020.

Federal Court of Australia

There were no cases on matters relating to the National Archives before the Federal Court of Australia in 2019–20.

High Court of Australia

The National Archives had one case before the High Court of Australia in 2019–20: an application filed by Professor Jennifer Hocking appealing the decision of the Full Bench of the Federal Court in *Hocking v. Director-General of the National Archives of Australia*. The appeal was heard by the Full Bench of the High Court on 4 and 5 February 2020. The court's judgement was handed down on 29 May 2020.

By a 6:1 majority, the High Court decided that written correspondence (and attachments) between Her Majesty The Queen (or the Queen's Private Secretary) and the former Governor-General Sir John Kerr from the period of Kerr's tenure as Governor-General, are 'Commonwealth records' within the meaning of the Archives Act. The court ordered that the National Archives reconsider its decision on access to the records sought by the appellant under the Archives Act and pay the appellant's costs of the appeals to the Federal Court and High Court. The National Archives reviewed the records and made a decision on Professor Hocking's application. The records were released in full on 14 July 2020.

Australian National Audit Office

The multi-portfolio performance audit report on the implementation of the DC 2020 Policy was finalised in October 2019. A total of seven recommendations were made regarding improvements to the administration, monitoring and evaluation arrangements. Five of the recommendations related directly to the National Archives have been implemented, including improvements to internal administrative arrangements to oversee the

implementation of the policy. There has been a delay in the implementation of the other recommendations due to the impacts of COVID-19. All recommendations are expected to be implemented by the end 2020–21.

Commonwealth Ombudsman

One investigation relating to the handling of a reference inquiry was undertaken by the Commonwealth Ombudsman during 2019–20. Following investigation, the Ombudsman decided to take no further action.

Parliamentary committees

There were no submissions to federal parliamentary committees. On 1 May 2020, the National Archives lodged a submission to the NSW Social Issues Committee in response to its inquiry into the *State Records Act 1998* and the policy paper on its review.

Office of the Australian Information Commissioner

The Information Commissioner made no reports concerning actions taken by, or practices of, the National Archives during 2019–20.

Legal services and expenditure

The Legal Services Directions 2017, issued by the Attorney-General under the *Judiciary Act 1903*, require Australian Government agencies to ensure that legal services expenditure is appropriately recorded and monitored. The National Archives' total expenditure on external legal services for 2019–20 was \$709,034 (GST exclusive).

Human resource management

Work continued to reshape the capacity and capability of the agency's workforce during 2019–20, including through the development and implementation of digital archiving capability online training materials available to all staff on demand. Four e-learning modules (Digital Formats, Metadata, Digital Archiving and Digital Preservation) were made available on Learnhub, the agency's online learning platform, in January 2020 along with complementary external modules and videos.

Further assessment of the National Archives' culture principles (The Archives Way) was undertaken to ensure that they are embedded across the agency. A manager's toolkit was developed to provide assistance in moving the organisation towards more innovative ways of working, and improved leadership and management at all levels.

Challenges through the year included the impacts of bushfires, a destructive hailstorm in the ACT and COVID-19 on National Archives staff.

The National Archives' response to COVID-19 has included:

- the introduction of work-at-home arrangements for all staff (the incidence of work from home continues to vary according to each location and jurisdiction of the agency's offices)
- the rapid rollout of ICT infrastructure and systems to support remote working by staff, supported by protocols and measures to support cybersecurity
- a weekly newsletter developed and issued to staff to offer up-to-date information and resources to help them manage their workloads, work from home and maintain good mental health.

Managing and developing employees

Workforce planning, staff turnover and retention

The number of ongoing employees at the National Archives rose slightly during 2019–20. There was an increase in the number of temporary employees due mainly to project work, but the workforce was carefully managed within the National Archives' constrained financial resourcing.

National Archives workforce demographics at 30 June 2020 are provided in the mandatory tables in Appendix B. In summary, the National Archives' workforce:

- is predominantly female (57.4 per cent)
- uses flexibility to achieve its objectives, employing both part-time (22.3 per cent) and temporary (21.0 per cent) workers
- is largely Canberra based (71.8 per cent), but has a geographical 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 2019–20 was 4.3 per cent, which was a decrease from the 2018–19 rate of 15.6 per cent, and includes all separations such as terminations, redundancies, resignations, retirements and movements to other Australian Government entities. The 2018–19 rate was much higher mainly due to the voluntary redundancy program run during that year, which accounted for almost half of the ongoing separations.

Instruments of employment

During 2019–20, the National Archives of Australia Enterprise Agreement 2017–20 was the main employment instrument. A total of 385 employees were covered by the agreement, including two employees acting in Senior Executive Service (SES) roles. Three Executive Level employees and one APS level employee had individual flexibility arrangements covering remuneration in place under clauses 10–15 of the agreement. Four SES employees were covered by determinations under subsection 24(1) of the *Public Service Act 1999* (PS Act).

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

Mandatory tables relating to the National Archives' employment arrangements and salary details are provided in Appendix B.

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 of the PS Act. 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 the work performed and approval arrangements. Benefits may include the provision of laptop computers, tablets and mobile devices; airline lounge membership; a car-parking fringe benefit; 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.

Mandatory tables relating to executive remuneration are provided in Appendix C.

Workforce strategies

Inclusion and diversity

The National Archives places a high value on reflecting the diversity of its clients and stakeholders and embracing the diverse skills, perspectives and experiences of the agency's staff to improve service delivery.

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 that 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 2020, 1.3 per cent of National Archives employees identified as Indigenous. The agency is continuing to look for innovative ways to increase overall Indigenous workforce participation.

The National Archives is continuing to build employees' cultural capability by including Core Indigenous Awareness modules developed by the Australian Institute of Aboriginal and Torres Strait Islander Studies in mandatory staff training. During 2019–20, Core Indigenous Awareness training completion rates rose significantly, including 142 staff members who went ahead to complete the entire program of 10 modules.

At 30 June 2020, female employees made up 57.4 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 and women are well represented at senior levels. At 30 June 2020, 71 per cent of the agency's SES staff were female.

Six per cent of National Archives staff who responded to the 2019 APS Employee Census identified as lesbian, gay, bisexual, trans and/or intersex (LGBTI+).

The 2019 APS Employee Census found that a majority of employees believe that the National Archives is committed to creating a diverse workforce, and an increasing number of employees felt that the agency supports and actively promotes an inclusive workplace culture (a 4 per cent improvement from the previous census). The agency also registered improved results in related areas: 93 per cent of staff (up by 5 per cent) stated that people in their work group behave in an accepting manner towards people from diverse backgrounds; there was a 5 per cent increase in staff stating that their SES manager actively supports people of diverse backgrounds; and 87 per cent of staff (up by 2 per cent) stated that their supervisor actively supports people from diverse backgrounds.

Online training programs are available to staff on managing mental health risks at work; diversity and discrimination; building disability confidence; and the multicultural learning program developed by SBS. The National Archives continues to look for innovative ways to support and promote the benefits of a diverse and inclusive workforce.

Disability reporting

The *National Disability Strategy 2010–2020* is Australia's overarching framework for disability reform. It acts to ensure that the principles underpinning the United Nations Convention on the Rights of Persons with Disabilities are incorporated into Australia's policies and programs that affect people with disability, their families and their carers.

All levels of government will continue to be held accountable for the implementation of the strategy through biennial progress reporting to the Council of Australian Governments or its successor body. Progress reports can be found at dss.gov.au.

Disability reporting is included in the Australian Public Service Commission's *State of the Service* reports and the *APS Statistical Bulletin*. These reports are available at apsc.gov.au.

Learning and development

During 2019–20, 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 undertake 44 individual courses or seminars, with more than 500 enrolments.

Corporate training requirements and requests were determined through individual work plan discussions or identified in the Cultural Action Plan and expertise development and capability frameworks. Staff were encouraged to attend training sessions held by the Australian Public Service Commission and the Attorney-General's Department, which 78 employees attended.

An Executive Level leadership program was to be delivered in the last quarter of the financial year. However, the program was postponed due to the COVID-19 pandemic. As well as the leadership program, all other face-to-face training was cancelled or postponed during the last quarter of 2019–20, and the focus moved to online training.

During 2019–20, the National Archives' Digital Archives Taskforce developed four online digital archiving modules to integrate into the agency's e-learning platform. Once the agency moved to work-from-home arrangements in response to the pandemic, the four modules, along with annual refresher training, were the primary focus for professional development.

There were 528 completions of the digital archiving modules and a further 408 completions of other recommended digital archive training, including modules from Pericles and the Australian Society of Archivists.

E-learning packages continued to be popular with staff in 2019–20. All staff are instructed to complete the National Archives' induction and four annual refresher courses. Staff completed 552 courses on the online learning platform LinkedIn Learning, either in lieu of, or together with, face-to-face training. The most popular courses addressed working from home, digital capability and project management.

Thirteen employees were supported through financial assistance, study leave or both, as part of the National Archives' Studies Assistance Program in 2019–20. Studies assistance has built organisational capabilities and provided an incentive for staff to further their education.

Health and wellbeing

The National Archives' 2019–20 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 awareness and influenza vaccinations. Each state office received a subsidy to spend on healthier work practices. The National Archives' health and wellbeing program achieved platinum status under the ACT Healthier Work initiative.

Performance management

The organisation's performance management framework facilitates effective performance conversations. Performance review and development are supported to ensure that the National Archives has the skills and capabilities it needs into the future. The performance management scheme applies to all employees and includes mid-cycle check-ins and an end-of-cycle review and rating. Regular informal performance conversations are also encouraged.

Performance conversation guides were developed and published in 2019–20 to assist all employees to engage effectively in the performance management process. Additionally, resources were provided to managers to help them identify and address underperformance.

Probation continues to be applied as a condition of engagement for all new ongoing and non-ongoing employees.

Work health and safety

During 2019–20, 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 the agency's health and wellbeing program.

A correction action plan continues to be worked through to address a number of issues identified in a 2018–19 Comcare audit. Specifically, due diligence training was provided to SES officers; procedures were developed to define the agency's work health and safety processes to reduce risk including hazard identification, risk assessment and use of a hierarchy of controls to manage risk; and a number of policies were drafted including the Drug and Alcohol Policy, Electrical Safety Policy and Personal Protective Equipment Policy.

Through contracted services from an external provider, the Employee Assistance Program was maintained to provide professional counselling for employees and their immediate family members experiencing personal or work-related problems. A service providing managers with help to resolve workplace issues is also available.

During the last quarter of 2019–20, the National Archives' main work health and safety focus was in response to the COVID-19 pandemic. The COVID-19 Task Force established to manage the agency's response to the pandemic supported staff as they transitioned between office and home-based working arrangements.

During 2019–20, the National Archives had three accepted compensation claims (Table 8). The mechanisms of injury were falls, trips and slips, and body stressing.

There was a large increase in the number of employees receiving the influenza vaccination during 2019–20, from 197 in 2018–19 to 264.

Table 8 | Work health and safety performance, 2017–18 to 2019–20

	2017–18	2018–19	2019–20
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	2	3
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	19	17	11
Number of staff who received the influenza vaccination	192	197	265
Number of accepted compensation claims	0	0	3

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 and future accommodation occupancy projects.

In 2019–20, the National Archives continued to mitigate its impact on the environment by:

- using follow-me printers and implementing digital authorisations and workflow approvals
- encouraging a segregated waste management policy to correctly handle paper, cardboard, mixed recyclables, toners, chemicals and waste to landfill

- using electronic document management systems and web-based information-sharing tools
- reviewing the portfolio to reduce the property footprint while maintaining the integrity of the repositories and the provision of access and public engagement services
- ensuring that leases complied with the Australian Government's energy-efficiency policy while making sure that the room temperatures and relative humidity levels required for the long-term preservation of collection material 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
- 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 that operational requirements were effectively met while minimising any potential environmental impacts.

NABERS energy rating

The National Australian Built Environment Rating System (NABERS) measures the environmental performance of 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 in the Canberra suburb of Mitchell, the National Archives is required to achieve a 4.5-star NABERS tenancy rating. In June 2020, the agency achieved a 5.3-star NABERS energy tenancy rating.

Table 9 | Ecologically sustainable development and environmental performance, 2017–18 to 2019–20

	2017–18	2018–19	2019–20
Electricity consumption (kilowatt hours)	3,693,390	3,756,700	3,960,123
Natural gas consumption (megajoules)	4,481,812	4,245,026	6,915,276
Solar energy generated – Cannon Hill, Qld and Parkes, ACT (kilowatt hours)	62,784	59,325	63,163
Reduction in CO ₂ emissions – Cannon Hill, Qld and Parkes, ACT (kilograms)	36,141	34,289	35,930
Paper used (reams)	945	1,286	1,429
Water consumption (kilolitres)	16,844	14,164	18,129
Waste produced by ACT sites (kilograms)	3,297	5,822	12,877
Waste produced by non-ACT sites (kilograms)	17,904	17,742	15,546
Recycling – all sites (kilograms)	12,981	7,863	27,713

Asset management, purchasing and grants

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 the 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 more than \$1.5 billion.

The National Archives is responsible for caring for the most significant records of the Australian Government. Most of those 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 people, science and the environment, and much more.

Curatorial and preservation policies for heritage and cultural assets can be accessed via the National Archives' website.

Capital works

The National Archives progressed significant capital works projects during 2019–20 to accommodate current and future operational needs.

The works included:

- the completion of the refurbishment of the Mitchell storage facility in the ACT to provide 75 kilometres of storage and shelving capacity
- the completion of the significant refurbishment of the ground floor exhibition and public-facing facilities at the National Office in Canberra.

A number of smaller capital works projects were also undertaken at the Chester Hill, NSW, facility as part of minor upgrades. They were:

- the procurement of two 'Walkie Stacker' forklifts and the disposal of two units that had reached the end of their service life
- the replacement of several very early smoke detection apparatus units that had reached the end of their service life

- the completion of the design documentation and procurement process for a building contractor to undertake the refurbishment of the audiovisual preservation laboratory and digitisation studios
- the commencement of the replacement of several dehumidifier units that had reached the end of their service life
- the commencement of the procurement process for the replacement of the rotor in the dehumidifier servicing the Working Film Vault.

Purchasing

Procurement

The National Archives' approach to the procurement of goods and services, including consultancies, is consistent with the requirements of the Commonwealth Procurement Rules. The rules are applied to procurement activities through accountable authority instructions and supporting guidelines and templates.

In 2019–20, the National Archives sourced goods and services through mandated Australian Government panels and cooperative procurement arrangements, such as panels established by Australian Government agencies deemed appropriate to meet the National Archives' requirements. Open approaches to market included procurements of:

- emergency management, training and documentation services
- outsourced digitisation services for audiovisual records
- outsourced digitisation services for paper and printed materials
- exhibition freight services.

Procurement initiatives to support small business

The National Archives supports small business participation in the Australian 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 Treasury website at treasury.gov.au.

Small and medium-sized enterprise and small enterprise participation statistics are available on the Department of Finance website at finance.gov.au.

Consultants

During 2019–20, the National Archives entered into seven new consultancy contracts involving total actual expenditure of \$430,355 (including GST). In addition, nine ongoing consultancy contracts were active during the period, involving total actual expenditure of \$437,414 (including GST).

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 at tenders.gov.au.

Contracts

Australian National Audit Office access clauses

No contracts of \$100,000 or more (including GST) were let during 2019–20 that did not provide for the Auditor-General to have access to the contractor's premises.

Exempt contracts

During 2019–20, the National Archives had no exempt contracts.

Advertising and market research

During 2019–20, the National Archives conducted the media advertising listed in Table 10.

Table 10 | Advertising amounts of \$14,000 or more paid, including GST, 2019–20

Organisation	Purpose	Cost (\$)
CINEads Australia Pty Ltd	Advertising for exhibitions	14,096
GoTransit Media Group Pty Ltd	Advertising for exhibitions	20,515
News Pty Ltd	Advertising for exhibitions and events	22,000
Schwartz Media	Advertising for exhibitions and events	30,800
Universal McCann	Advertising for exhibitions and events	26,834
Total		114,245

Grant programs

Information on grants awarded by the National Archives during 2019–20 is available at naa.gov.au.

GWALWA DARANIKI ! **THIS IS OUR LAND !**

The British settlers took our land. No treaties were signed with the tribes. Today we are REFUGEES. Refugees in the country of our ancestors. We live in REFUGEE CAMPS— without land, without employment, without justice.

The British Crown signed TREATIES with the Maoris in New Zealand and the Indians in North America.

We appeal to the Queen to help us, the Aboriginal people of Australia.

We need land rights and political representation now. SIGNED:

Petition to HM The Queen from the Larakia/Larrakia people regarding land rights for presentation during HRH Princess Margaret's visit to Darwin, 1973.

NAA: A2354, 1973/86 ATTACHMENT 1

PART 4

FINANCIAL STATEMENTS

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Financial statements and supporting notes for the year ending 30 June 2020

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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 2020:

- (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 2020 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 as at 30 June 2020 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 (including Independence Standards)* (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
38 Sydney Avenue FORREST ACT 2603
Phone (02) 6203 7300 Fax (02) 6203 7777

Auditor's responsibilities for the audit of the financial statements

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

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

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

I communicate with 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



Mark Vial
Senior Director
Delegate of the Auditor-General

Canberra
1 September 2020

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 2020 comply with subsection 42(2) of the *Public Governance, Performance and Accountability Act 2013* (PGPA Act), and are based on properly maintained financial records as per subsection 41(2) of the PGPA Act.

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



David Fricker
Director-General

31 August 2020.



Liyan Jia
Acting Chief Financial Officer

31 August 2020

Statement of Comprehensive Income

for the period ended 30 June 2020

		2020	2019	Original Budget 2020
	Notes	\$'000	\$'000	\$'000
NET COST OF SERVICES				
Expenses				
Employee benefits	1.1A	33 655	37 347	32 503
Suppliers	1.1B	13 550	36 901	42 741
Depreciation and amortisation	2.2	34 401	11 237	12 290
Grants		34	20	-
Finance costs	1.1C	12 017	44	30
Write-down and impairment of assets	1.1D	411	1 340	-
Losses from asset sales		-	-	500
Total expenses		94 068	86 889	88 064
Own-source income				
Own-source revenue				
Revenue from contracts with customers	1.2A	1 646	2 299	2 395
Rental income	1.2B	143	44	-
Other revenue	1.2C	7 635	7 955	7 575
Total own-source revenue		9 424	10 298	9 970
Gains				
Other gains		-	-	-
Gains from asset sales		21	9	-
Total gains		21	9	-
Total own-source income		9 445	10 307	9 970
Net cost of services		84 623	76 582	78 094
Revenue from Government Appropriations	3.1A	67 633	62 492	67 861
Surplus/(Deficit)		(16 990)	(14 090)	(10 233)
OTHER COMPREHENSIVE INCOME				
Items not subject to subsequent reclassification to net cost of services				
Revaluation increment/(decrement)		-	16 538	-
Total other comprehensive income		-	16 538	-
Total comprehensive income/(loss)		(16 990)	2 448	(10 233)
Total comprehensive income/(loss) attributable to the Australian Government		(16 990)	2 448	(10 233)

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 2020

Budget Variances Commentary

The original budget is as presented in the 2019-20 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 an increase of the accrued leave expenses as a result of the decreasing 10 year bond rate and extension of the Digital Archives Taskforce which were not anticipated in the original budget.

Supplier

The variance to the budget is primarily due to the implementation of new Australian Accounting Standard Board (AASB) 16 - Leases. All operating lease expenses have been eliminated and replaced by depreciation and interest expenses (finance costs). See the Overview note. COVID -19 has also impacted the Agency's business activities, which has caused delays in expenditure.

Depreciation and amortisation

The variance to the budget is primarily due to the implementation of new accounting standard AASB 16. Depreciation of right-of-use assets was not included in the original budget but was updated in the revised budget.

Finance costs

The variance to the budget is substantially due to the implementation of new accounting standard AASB 16. The original budget did not incorporate the effect of AASB 16. See the Overview note.

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 2019-20 and will not be budgeted for in future years, as Heritage and Cultural Assets classified as temporary are now recognised as an impairment.

Revenue from contracts with customers

The variance to the original budget is due to delays of externally funded projects resulting from the impacts of COVID-19. Sponsorship revenue is recognised when expenses are incurred, and due to the requirement to close all National Archives galleries around Australia, expenses relating to exhibitions were not incurred from March to June, which resulted in no revenue being recognised for that period.

Statement of Financial Position

as at 30 June 2020

	Notes	2020 \$'000	2019 \$'000	Original Budget 2020 \$'000
ASSETS				
Financial assets				
Cash and cash equivalents	2.1A	264	861	277
Trade and other receivables	2.1B	22 591	21 891	18 787
Total financial assets		22 855	22 752	19 064
Non-financial assets¹				
Buildings	2.2	486 332	-	-
Property, plant and equipment	2.2	22 569	21 637	11 208
Heritage and cultural	2.2	1 483 024	1 481 836	1 479 535
Intangibles	2.2	18 205	16 611	17 848
Inventories		145	165	140
Other non-financial assets - Prepayments		761	2 146	1 418
Total non-financial assets		2 011 036	1 522 395	1 510 149
Total assets		2 033 891	1 545 147	1 529 213
LIABILITIES				
Payables				
Suppliers	2.3A	2 264	15 044	19 219
Other payables	2.3B	1 407	1 095	1 003
Total payables		3 671	16 139	20 222
Interest bearing liabilities				
Leases	2.4	495 114	-	-
Total interest bearing liabilities		495 114	-	-
Provisions				
Employee provisions	4.1	13 016	11 746	10 648
Other provisions	2.5	937	925	2 087
Total provisions		13 953	12 671	12 735
Total liabilities		512 738	28 810	32 957
Net assets		1 521 153	1 516 337	1 496 256
EQUITY				
Contributed equity		60 732	52 539	58 382
Reserves		382 396	382 396	370 909
Retained surplus		1 078 025	1 081 402	1 066 965
Total equity		1 521 153	1 516 337	1 496 256

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

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

1. Right-of-use assets are included in the following line items: Buildings \$486.3m; Property, Plant and Equipment \$0.058m.

Statement of Financial Position

as at 30 June 2020

Budget Variances Commentary (continued)

Refer to the Statement of Comprehensive Income for budget variances thresholds.

Statement of Financial Position

Trade and other receivables

The value of trade and other receivables was greater than budget primarily due to lower Appropriation drawdown during the year as a result of delays in activities due to COVID-19.

Buildings

The variance is due to the implementation of the new accounting standard AASB 16 Leases, which was not included in the original budget. Refer to the Overview note.

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, which was not included in the original budget, but was updated in the revised budget.

Heritage and cultural

Heritage and cultural was greater than budget due to an increased value as a result of a revaluation undertaken, which was not included in the original budget.

Other non-financial assets - Prepayments

The value of prepayments was less than budget due to the implementation of the new accounting standard AASB 16 Leases.

Suppliers

The variance is primarily due to the implementation of the new accounting standard AASB 16 Leases, which was not included in the original budget. Straight-lining of lease expenses have been eliminated. Refer to the Overview note.

Other payables

The value of other payables was higher than budget due to external funding received for the Royal Australian Air Force History Digitisation Project, which was not anticipated in the original budget.

Leases

The variance is due to the implementation of the new accounting standard AASB 16 Leases, which was not included in the original budget.

Employee provisions

The value of employee provision was greater than budget due to the decrease of the 10 year bond rate.

Other provisions

The provision for restoration was less than the original budget as a result of a revaluation undertaken in June 2019, which determined that make good was not required for a number of the leased buildings.

Contributed equity

The value of contributed equity was greater than budget as a result of additional funding received for the Digitisation of World War II records, which was not anticipated when developing the original budget.

Retained surplus

The variance is mainly due to the implementation of the new accounting standard AASB 16 Leases, which was not included in the original budget.

Statement of Changes in Equity

for the period ended 30 June 2020

	Notes	2020 \$'000	2019 \$'000	Original Budget 2020 \$'000
CONTRIBUTED EQUITY				
Opening balance				
Balance carried forward from previous period		52 539	46 701	52 539
Contributions by owners				
Departmental capital budget		8 193	5 838	5 843
Closing balance as at 30 June		60 732	52 539	58 382
RETAINED EARNINGS				
Opening balance				
Balance carried forward from previous period		1 081 401	1 095 491	1 077 198
Adjustment on initial application of AASB 16		13 613	-	-
Adjusted opening balance		1 095 014	1 095 491	1 077 198
Comprehensive income				
(Deficit) for the period		(16 990)	(14 090)	(10 233)
Closing balance as at 30 June		1 078 025	1 081 401	1 066 965
ASSET REVALUATION RESERVE				
Opening balance				
Balance carried forward from previous period		382 396	365 859	370 909
Comprehensive income				
Revaluation increment/(decrement)		-	16 538	-
Closing balance as at 30 June		382 396	382 396	370 909
TOTAL EQUITY				
Opening balance				
Balance carried forward from previous period		1 516 337	1 508 051	1 500 646
Adjustment on initial application of AASB 16		13 613	-	-
Adjusted opening balance		1 529 950	1 508 051	1 500 646
Comprehensive income				
Surplus/(Deficit) for the period		(16 990)	(14 090)	(10 233)
Revaluation increment/(decrement)		-	16 538	-
Total comprehensive income		(16 990)	2 448	(10 233)
Transactions with owners				
Contributions by owners				
Departmental capital budget		8 193	5 838	5 843
Total transactions with owners		8 193	5 838	5 843
Closing balance as at 30 June		1 521 153	1 516 337	1 496 256

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 Changes in Equity
for the period ended 30 June 2020

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)

Refer to the Statement of Comprehensive Income for budget variances thresholds.

Statement of Changes in Equity

Departmental capital budget

Additional funding of \$2.5m was received for the digitisation of World War II records, which was not included in the original budget.

Adjustment on initial application of AASB 16

A \$13.6m adjustment was made to eliminate the rent straightlining provision and two lease incentives on initial application of AASB 16. Refer to the Overview note.

Deficit for the period

The deficit for the period was greater than the original budget primarily due to higher than expected employee expenses and the implementation of the new accounting standard AASB 16 Leases.

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 2020

			Original Budget 2020 \$'000
Notes	2020 \$'000	2019 \$'000	
OPERATING ACTIVITIES			
Cash received			
Appropriations	72 710	68 839	67 861
Sale of goods and rendering of services	2 942	1 988	2 345
Net GST received	3 973	3 593	3 301
Other	87	-	-
Total cash received	79 712	74 420	73 507
Cash used			
Employees	32 122	36 953	32 878
Suppliers	15 800	33 511	40 629
Interest payments on lease liabilities	12 005	-	-
Grants	34	20	-
Section 74 receipts transferred to OPA	6 556	3 193	-
Other	-	84	-
Total cash used	66 517	73 761	73 507
Net cash from / (used by) operating activities	13 195	659	-
INVESTING ACTIVITIES			
Cash received			
Proceeds from sales of property, plant and equipment	21	9	-
Total cash received	21	9	-
Cash used			
Purchase of property, plant and equipment	5 084	4 393	4 308
Purchase of intangibles	2 590	1 529	1 535
Total cash used	7 674	5 922	5 843
Net cash used by investing activities	(7 653)	(5 913)	(5 843)
FINANCING ACTIVITIES			
Cash received			
Contributed equity	8 192	5 838	5 843
Total cash received	8 192	5 838	5 843
Cash used			
Principal payments of lease liabilities	14 331	-	-
Total cash used	14 331	-	-
Net cash from financing activities	(6 139)	5 838	5 843
Net increase in cash held	(597)	584	-
Cash and cash equivalents at the beginning of the reporting period	861	277	277
Cash and cash equivalents at the end of the reporting period	264	861	277

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.

Cash Flow Statement

for the period ended 30 June 2020

Budget Variances Commentary (continued)

Cash Flow Statement

Refer to the Statement of Comprehensive Income for budget variances thresholds.

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. Appropriation drawdown was less than anticipated due to lower supplier expenditure as a result of the impacts of COVID-19.

Sales of goods and rendering of services

Sales of goods and rendering of services is more than budget primarily due cash received to settle prior year outstanding debtor balances which were not included in the original budget.

Employees

Employees is less than budget due to delays in recruiting positions during the second half of the year as a result of the impacts of COVID-19.

Purchase of property, plant and equipment

Cash expended was higher than budget due to the purchase of equipment for the digitisation of World War II records, which was not included in the original budget.

Purchase of intangibles

Cash expended was higher than budget due to expenses relating to World War II and Prime Ministers Digitisation not included in the original budget.

Contributed equity

Amounts received were higher than budget due to additional funding of \$2.5m received for digitisation of World War II records.

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 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:

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

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

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

New Accounting Standards

The following new standards were issued by the Australian Accounting Standards Board prior to the signing of the statement by the accountable authority and chief financial officer. They are applicable to the current reporting period and the impact on the Archives' financial statements is outlined below.

Standard/ Interpretation	Nature of change in accounting policy, transitional provisions, and adjustments to financial statements
<p>AASB 15 <i>Revenue from Contracts with Customers</i></p> <p>AASB 2016-8 <i>Amendments to Australian Accounting Standards – Australian Implementation Guidance for Not-for-Profit Entities</i></p> <p>AASB 1058 <i>Income of Not-For-Profit Entities</i></p>	<p>AASB 15, AASB 2016-8 and AASB 1058 became effective 1 July 2019.</p> <p>AASB 15 establishes a comprehensive framework for determining whether, how much and when revenue is recognised. It replaces existing revenue recognition guidance, including AASB 118 <i>Revenue</i>, AASB 111 <i>Construction Contracts</i> and Interpretation 13 <i>Customer Loyalty Programmes</i>. The core principle of AASB 15 is that an entity recognises revenue to depict the transfer of promised goods or services to customers in an amount that reflects the consideration to which the entity expects to be entitled in exchange for those goods or services.</p> <p>AASB 1058 is relevant in circumstances where AASB 15 does not apply. AASB 1058 replaces most of the not-for-profit (NFP) provisions of AASB 1004 <i>Contributions</i> and applies to transactions where the consideration to acquire an asset is significantly less than fair value principally to enable the entity to further its objectives, and where volunteer services are received.</p> <p>The details of the changes in accounting policies, transitional provisions and adjustments are disclosed below and in the relevant notes to the financial statements.</p>
AASB 16 <i>Leases</i>	<p>AASB 16 became effective on 1 July 2019.</p> <p>This new standard has replaced AASB 117 <i>Leases</i>, Interpretation 4 <i>Determining whether an Arrangement contains a Lease</i>, Interpretation 115 <i>Operating Leases - Incentives</i>, and Interpretation 127 <i>Evaluating the Substance of Transactions Involving the Legal Form of a Lease</i>.</p> <p>For lessees, AASB 16 provides a single lessee accounting model, requiring the recognition of assets and liabilities for all leases, together with options to exclude leases where the lease term is 12 months or less, or where the underlying asset is of low value.</p> <p>For lessors, AASB 16 substantially carries forward the lessor accounting in AASB 117, with the distinction between operating leases and finance leases being retained.</p> <p>The details of the changes in accounting policies, transitional provisions and adjustments are disclosed below and in the relevant notes to the financial statements.</p>

Application of AASB 15 Revenue from Contracts with Customers and AASB 1058 Income of Not-For-Profit Entities

The National Archives adopted AASB 15 and AASB 1058 using the modified retrospective approach, under which the cumulative effect of initial application is recognised in retained earnings at 1 July 2019. Accordingly, the comparative information presented for 2019 is not restated; that is, it is presented as previously reported under the various applicable AASBs and related interpretations.

Under the new income recognition model the National Archives shall first determine whether an enforceable agreement exists and whether the promises to transfer goods or services to the customer are 'sufficiently specific'. If an enforceable agreement exists and the promises are 'sufficiently specific' (to a transaction or part of a transaction), the National Archives applies the general AASB 15 principles to determine the appropriate revenue recognition. If these criteria are not met, the National Archives considers whether AASB 1058 applies.

In relation to AASB 15, the National Archives elected to apply the new standard to all new and uncompleted contracts from the date of initial application. The National Archives is required to aggregate the effect of all of the contract modifications that occur before the date of initial application.

In terms of AASB 1058, the National Archives is required to recognise volunteer services at fair value if those services would have been purchased if not provided voluntarily, and the fair value of those services can be measured reliably.

Impact on transition

There was no material impact on transition to AASB 15 and AASB 1058. Revenue has been recognised at the correct stage of the transaction.

Application of AASB 16 Leases

The National Archives adopted AASB 16 using the modified retrospective approach, under which the cumulative effect of initial application is recognised in retained earnings at 1 July 2019. Accordingly, the comparative information presented for 2019 is not restated; that is, it is presented as previously reported under AASB 117 and related interpretations.

The National Archives elected to apply the practical expedient to not reassess whether a contract is, or contains a lease at the date of initial application. Contracts entered into before the transition date that were not identified as leases under AASB 117 were not reassessed. The definition of a lease under AASB 16 was applied only to contracts entered into or changed on or after 1 July 2019.

AASB 16 provides for certain optional practical expedients, including those related to the initial adoption of the standard. The National Archives applied the following practical expedients when applying AASB 16 to leases previously classified as operating leases under AASB 117:

- Apply a single discount rate to a portfolio of leases with reasonably similar characteristics;
- Exclude initial direct costs from the measurement of right-of-use assets at the date of initial application for leases where the right-of-use asset was determined as if AASB 16 had been applied since the commencement date;
- Reliance on previous assessments on whether leases are onerous as opposed to preparing an impairment review under AASB 136 Impairment of assets as at the date of initial application; and
- Applied the exemption not to recognise right-of-use assets and liabilities for leases with less than 12 months of lease term remaining as of the date of initial application.

As a lessee, the National Archives previously classified leases as operating or finance leases based on its assessment of whether the lease transferred substantially all of the risks and rewards of ownership. Under AASB 16, the National Archives recognises right-of-use assets and lease liabilities for most leases. The National Archives has elected not to recognise right-of-use assets and lease liabilities for some leases of low value assets based on the value of the underlying asset when new or for short-term leases with a lease term of 12 months or less.

On adoption of AASB 16, the National Archives recognised right-of-use assets and lease liabilities in relation to leases of office space, and automobiles, which had previously been classified as operating leases.

The lease liabilities were measured at the present value of the remaining lease payments, discounted using the National Archives' incremental borrowing rate as at 1 July 2019. The Entity's incremental borrowing rate is the rate at which a similar borrowing could be obtained from an independent creditor under comparable terms and conditions. The weighted-average rate applied on 1 July 2019 was 2.55%.

The right-of-use assets were measured as follows:

- a) Office space: measured at an amount equal to the lease liability, adjusted by the amount of any prepaid or accrued lease payments.
- b) All other leases: the carrying value that would have resulted from AASB 16 being applied from the commencement date of the leases, subject to the practical expedients noted above.

Impact on transition

On transition to AASB 16, the National Archives recognised additional right-of-use assets and additional lease liabilities, with the difference being seen in retained earnings. The impact on transition is summarised below:

	Buildings \$'000	Vehicles \$'000
Right-of-use assets	375 860	39
Lease liabilities	(375 860)	(39)
Operating Lease Rental Payables	13 614	-
Trade creditors and accruals	(12)	-
Retained earnings	(13 602)	-

Transitional disclosure

The following table reconciles the minimum lease commitments disclosed in the National Archives' 30 June 2019 annual financial statements to the amount of lease liabilities recognised on 1 July 2019:

	Buildings \$'000	Vehicles \$'000
Minimum operating lease commitment at 30 June 2019	544 249	-
Plus: immaterial leases not recorded in commitments schedule	18	49
Less: cash flow differences in commitments schedule	(19 221)	-
Less: short-term leases not recognised under AASB 16	(44)	(8)
Plus: effect of extension options reasonably certain to be exercised	1 746	-
Undiscounted lease payments	526 748	41
Less: effect of discounting using the incremental borrowing rate as at the date of initial application	(150 888)	(2)
Lease liabilities recognised at 1 July 2019	375 860	39

Taxation

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

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

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

Events After the Reporting Period

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

The National Archives is continuing to monitor the impact of the COVID-19 pandemic on its own-source revenue and expenditure after the reporting period. It is too early to fully assess and quantify its potential financial impacts.

Financial Performance

This section analyses the financial performance of the Archives for the year ended 30 June 2020.

1.1: Expenses

	2020 \$'000	2019 \$'000
1.1A: Employee Benefits		
Wages and salaries	23 587	24 390
Superannuation		
Defined contribution plans	2 263	2 129
Defined benefit plans	2 850	3 077
Leave and other entitlements	4 743	5 754
Separation and redundancies	113	1 722
Other	99	274
Total employee benefits	33 655	37 347

Accounting Policy

Accounting policies for employee related expenses are contained in the People and Relationships section.

1.1B: Suppliers

Goods and services supplied or rendered

Office equipment and supplies	2 098	2 037
Communications	753	957
Professional services	4 330	3 836
Travel	451	1 048
Managed Services	380	150
Exhibitions and advertising	279	142
Employee related expenses	1 406	1 201
Utilities	845	773
Other property operating expenses	2 065	2 093
Other	366	664
Total goods and services supplied or rendered	12 973	12 901
Goods supplied	818	1 192
Services rendered	12 155	11 709
Total goods and services supplied or rendered	12 973	12 901

Other suppliers

Workers compensation expenses	132	109
Operating lease rentals ¹	-	23 890
Short-term leases	445	-
Total other suppliers	576	23 999
Total suppliers	13 550	36 901

1. The entity has applied AASB 16 using the modified retrospective approach and therefore the comparative information has not been restated and continues to be reported under AASB 117.

The National Archives has some tenancies which are leased on a month-to-month basis. These are short-term lease 30-day notice commitments of \$86 097 as at 30 June 2020.

The above lease disclosures should be read in conjunction with the accompanying notes 1.1C, 1.2B, and 2.2.

Accounting Policy

Short-term leases and leases of low-value assets

The National Archives has elected not to recognise right-of-use assets and lease liabilities for short-term leases of assets that have a lease term of 12 months or less and leases of low-value assets (less than \$10,000). The entity recognises the lease payments associated with these leases as an expense on a straight-line basis over the lease term.

1.1: Expenses

	2020 \$'000	2019 \$'000
1.1C: Finance Costs		
Interest on lease liabilities ¹	12 005	-
Unwinding of discounts	12	44
Total finance costs	12 017	44

1. The entity has applied AASB 16 using the modified retrospective approach and therefore the comparative information has not been restated and continues to be reported under AASB 117.

The above lease disclosures should be read in conjunction with the accompanying notes 1.1B, 1.2B, and 2.2.

1.1D: Write-Down and Impairment of Assets

Impairment of property, plant and equipment	406	1 357
Impairment of intangible assets	5	-
Bad and Doubtful Debts	-	(17)
Total write-down and impairment of assets	411	1 340

1.2: Own-Source Revenue and gains

	2020 \$'000	2019 \$'000
Own-Source Revenue		
1.2A: Revenue from contracts with customers		
Sale of goods	1 165	1 028
Rendering of services	481	1 271
Total revenue from contracts with customers	1 646	2 299
Disaggregation of revenue from contracts with customers		
Goods and services transferred at a point in time		
Digitisation for provision of records	1 143	
Shop sales	22	
Other contracts	4	
	1 169	
Goods and services transferred over time		
Sponsorships - contracts	261	
Temporary storage	201	
Exhibition hire	15	
	477	
	1 646	

Accounting Policy

Revenue from the sale of goods and services is recognised when control has been transferred to the buyer:

- An enforceable contract can be identified
- Performance obligations can be identified
- A transaction price can be determined
- The transaction price can be allocated to each performance obligation
- The performance obligations have been satisfied.

The National Archives' primary source of revenue from contracts with customers is from the provision of digitised records when requested by private or government customers. The fee is set by legislation and is on a cost recovery basis. A small amount of revenue is received from sales in the shop, and from venue hire and running of special tours.

Revenue is received from sponsorships and grants. In all cases, the agreements are enforceable and the transaction price can be readily determined. However, for some sponsorships, the performance obligations are not sufficiently identifiable and therefore cannot be classified as revenue from contracts with customers; these are classified as 'Other Revenue' (see note 1.2C). In other cases, the obligations are clearly detailed and the revenue can be classified as contracts with customers. Revenue is recognised when the money is spent as this is regarded as the point at which control of the funds pass.

The entity receives revenue from other agencies for temporary storage of their records until they are ready to transfer the records to permanent custody of the National Archives. Such revenue is recognised over the term of the storage, which is usually annually by financial year.

Occasionally, third parties hire exhibitions created by the National Archives; this revenue is recognised over the term of the loan.

The transaction price is the total amount of consideration to which the National Archives expects to be entitled in exchange for transferring the goods or services to a customer. The consideration promised in a contract with a customer may include fixed amounts, variable amounts, or both.

1.2: Own-Source Revenue and gains

	2020 \$'000	2019 \$'000
1.2B: Rental Income		
Operating lease		
Lease income	143	44
Total rental income	143	44

Operating leases

The National Archives in its capacity as lessor has sublease agreements for rental properties for fixed terms and amounts expiring 2026. Premises at Sandford Street in Mitchell, ACT, are sub-leased to two government agencies for various terms.

Maturity analysis of operating lease income receivables:

Within one year	328
One to two years	332
Two to three years	336
Three to four years	340
Four to five years	344
More than 5 years	201
Total undiscounted lease payments receivable	1 881

The above lease disclosures should be read in conjunction with the accompanying notes 1.1B, 1.1C, and 2.2.

1.2C: Other Revenue

Resources received free of charge		
Acquisition of heritage and cultural assets at no cost	7 552	7 880
Remuneration of auditors	75	75
Other		
Sponsorships - non-contracts	7	-
Other	-	1
Total other revenue	7 635	7 955

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.

Accounting Policy

Resources Received Free of Charge

Resources received free of charge are recognised as revenue 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.

Sponsorships - non-contracts

Revenue is received from sponsorships and grants. In all cases, the agreements are enforceable and the transaction price can be readily determined. However, for some sponsorships, the performance obligations are not sufficiently identifiable and therefore cannot be classified as revenue from contracts with customers; these are classified as 'Other Revenue'. In other cases, the obligations are clearly detailed and the revenue can be classified as 'Revenue from contracts with customers' (see note 1.2A).

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

	2020 \$'000	2019 \$'000
2.1A: Cash and Cash Equivalents		
Cash on hand or on deposit	264	861
Total cash and cash equivalents	264	861

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	22 166	20 688
Trade receivables	38	755
GST receivable from the Australian Taxation Office	380	362
Other	7	87
Total trade and other receivables (gross)	22 591	21 891
Total trade and other receivables (net)	22 591	21 891

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 initially recognised at fair value and 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 based on expected credit losses and using the general approach which measures the loss allowance based on an amount equal to lifetime expected credit losses where risk has significantly increased, or on an amount equal to 12-month expected credit losses if risk has not increased.

A simplified approach for measuring trade receivables is used. This approach measures the loss allowance as the amount equal to the lifetime expected credit losses. A write-off constitutes a derecognition event where the write-off directly reduces the gross carrying amount of the financial asset. The loss is recognised in the Statement of Comprehensive Income.

2.2 Non-Financial Assets

2.2: Reconciliation of the Opening and Closing Balances of Heritage and Cultural, Buildings, Plant and Equipment and Intangibles

	Buildings \$'000	Property, plant and equipment \$'000	Heritage and cultural ¹ \$'000	Computer Software ² \$'000	Other Intangibles \$'000	Total \$'000
As at 1 July 2019						
Gross book value	-	21 792	1 489 491	21 426	16 817	1 549 526
Accumulated depreciation and impairment	-	(155)	(7 655)	(17 048)	(4 584)	(29 442)
Total as at 1 July 2019	-	21 637	1 481 836	4 378	12 233	1 520 084
Recognition of right-of-use assets on initial application of AASB 16	375 860	41	-	-	-	375 901
Adjusted total as at 1 July 2019	375 860	21 678	1 481 836	4 378	12 233	1 895 985
Additions:						
Purchase	-	5 256	-	670	1 934	7 860
Right-of-use assets	133 506	52	-	-	-	133 558
Donation/gift	-	-	7 552	-	-	7 552
Revaluations and impairments recognised in other comprehensive income ³	-	-	-	-	-	-
Depreciation and amortisation	-	(3 977)	(6 364)	(1 005)	-	(11 346)
Depreciation on right-of-use assets	(23 034)	(21)	-	-	-	(23 055)
Disposals ⁴	-	(419)	-	(5)	-	(424)
Total as at 30 June 2020	486 332	22 569	1 483 024	4 038	14 167	2 010 130
Total as at 30 June 2020 represented by						
Gross book value	509 366	26 703	1 497 042	20 644	18 750	2 072 506
Accumulated depreciation and impairment	(23 034)	(4 134)	(14 019)	(16 606)	(4 584)	(62 376)
Total as at 30 June 2020 represented by	486 332	22 569	1 483 024	4 038	14 167	2 010 130
Carrying amount of right-of-use assets included above	486 332	58	-	-	-	486 390

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 \$1.183m purchased software and \$2.855m internally generated software.

3. There were no revaluations of property, plant and equipment assets in 2020 (2019 \$10.4m increment).

4. Disposals are primarily related to concluded exhibitions, replacement of a float, and the appropriate destruction of computer equipment and decommissioned software.

An annual assessment was undertaken internally to determine whether there are any indicators of impairment for Property, Plant and Equipment, Heritage and Cultural, Computer Software, and Other Intangibles asset classes. No indicators of impairment were found.

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

Revaluations of non-financial assets

No revaluations have been undertaken in any asset class in 2019-20. The National Archives has performed an assessment as at 30 June 2020 for all assets and determined that the asset carrying amounts do not materially differ from their fair value.

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

As at 30 June 2020, the Archives has contractual commitments for acquisition of intangible assets of \$32,000, and acquisition of property, plant, equipment assets of \$68,000.

2.2 Non- Financial Assets

Accounting Policy

Asset Recognition Threshold

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

The initial cost of an asset includes an estimate of the cost of dismantling and removing the item and restoring the site on which it is located. This is particularly relevant to 'make good' provisions in property leases taken up by the Archives where there exists an obligation to restore the premises to its original condition. These costs are included in the value of the Archives' plant and equipment with a corresponding provision for the 'make good' recognised. (Refer to the provision for restoration obligations in note 2.5).

Lease Right-of-Use (ROU) Assets

Leased ROU assets are capitalised at the commencement date of the lease and comprise the initial lease liability amount, initial direct costs incurred when entering into the lease, less any lease incentives received. These assets are accounted for by the National Archives as separate asset classes to the corresponding assets owned outright, but are included in the same column in the reconciliation table as where the corresponding underlying assets would be presented if they were owned.

An impairment review is undertaken for any right-of-use asset that shows indicators of impairment and an impairment loss is recognised against any right-of-use asset which is impaired.

Lease right-of-use assets continue to be recognised at cost after initial recognition in the financial statements.

Revaluations

Following initial recognition at cost, heritage and cultural and plant and equipment assets (excluding right-of-use assets) are carried at fair value (or an amount not materially different from fair value) less accumulated depreciation and accumulated impairment losses. 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
Buildings (including right-of-use assets)	1 - 30 years
Property, plant and equipment (including right-of-use assets)	2 - 30 years
Heritage and cultural	29 - 349 years
Intangibles (excluding digital collection)	2 - 20 years

2.2 Non- Financial Assets

Accounting Policy (continued)

The depreciation rates for right-of-use assets are based on the commencement date, to the earlier of the end of the useful life of the right-of-use asset or the end of the lease term.

Impairment

All assets were assessed for impairment at 30 June 2020. 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 provenance 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.

The National Archives has assessed that there is no material impact on fair values of assets as at 30 June 2020 as a result of COVID-19.

2.3: Payables

	2020 \$'000	2019 \$'000
2.3A: Suppliers		
Trade creditors and accruals	2 264	1 442
Operating lease rentals ¹	-	13 602
Total suppliers	2 264	15 044
Suppliers expected to be settled		
No more than 12 months	2 264	7 731
More than 12 months	-	7 313
Total suppliers	2 264	15 044

1. The entity has applied AASB 16 using the modified retrospective approach and therefore the comparative information has not been restated and continues to be reported under AASB 117.

Settlement terms for suppliers are 20 days for standard invoices, 7 days for small businesses, and 1 day for staff members of the National Archives.

2.3B: Other Payables

Wages and salaries	501	280
Superannuation	81	39
Prepayments received/unearned income	-	777
Contract liabilities ¹	825	-
Total other payables	1 407	1 095
Other payables to be settled		
No more than 12 months	1 407	822
More than 12 months	-	273
Total other payables	1 407	1 095

1. Contract liabilities are funds received in advance from contracts with customers where the National Archives has an obligation to transfer goods or services to the customers. The contract liabilities are associated with revenue received from sponsorships which are judged to be contracts with customers. See notes 1.2A and 1.2C.

Accounting Policy

Suppliers and other payables are initially measured at fair value net of transaction costs.

2.4: Interest Bearing Liabilities

	2020 \$'000	2019 \$'000
2.4: Interest Bearing Liabilities		
Lease Liabilities	495 114	-
Total lease liabilities	495 114	-

The entity has applied AASB 16 using the modified retrospective approach and therefore the comparative information has not been restated and continues to be reported under AASB 117.

The cash outflow for leases for the year ended 30 June 2020 was \$24.2m.

Accounting Policy

Refer Overview section for accounting policy on leases.

2.5: Other Provisions

	2020 \$'000	2019 \$'000
2.5: Other Provisions		
Provision for restoration	937	925
Total other provisions	937	925

	Provision for restoration \$'000
As at 1 July 2019	925
Amounts written-off following lease expiration negotiations	
Amounts reduced as a result of asset valuation	
Unwinding of discount or change in discount rate	12
Total as at 30 June 2020	937

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 (2019: 2) 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 last assessed 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 2020

	Appropriation Act		PGPA Act		Total Appropriation \$'000	Appropriation Applied in 2020 (current and prior years) \$'000	Variance ² \$'000
	Annual Appropriation ¹ \$'000	Advance to the Finance Minister \$'000	Section 74 Receipts \$'000	Section 75 \$'000			
Departmental							
Ordinary annual services (Revenue from Government)	67 633	-	6 556	-	74 189	73 826	363
Capital Budget ³	8 571	-	-	-	8 571	7 674	897
Equity injection	-	-	-	-	-	-	-
Total departmental	76 204	-	6 556	-	82 760	81 500	1 260

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

1. In 2019-20, there was no appropriation withheld under Section 51 of the PGPA Act.

2. Variance in 2019-20 is mainly due to a lower Appropriation drawdown requested during the year resulting from delays of projects caused by COVID-19 pandemic.

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 2019

	Appropriation Act		PGPA Act		Total Appropriation \$'000	Appropriation Applied in 2019 (current and prior years) \$'000	Variance ² \$'000
	Annual Appropriation ¹ \$'000	Advance to the Finance Minister \$'000	Section 74 Receipts \$'000	Section 75 \$'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	-	-	-	-	-	-	-
Total departmental	68 330	-	3 193	-	71 523	74 044	(2 521)

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.

3.1: Appropriations

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

	2020 \$'000	2019 \$'000
Departmental		
Appropriation Act (No. 1) Temporarily Quarantined prior to 2016-17		10
Appropriation Act (No. 1) 2016-17 Temporarily Quarantined		7
Appropriation Act (No. 1) 2017-18 Temporarily Quarantined ¹	211	211
Appropriation Bill (No. 1) 2018-19	-	16 973
Appropriation Bill (No. 1) 2018-19 - Departmental Capital Budget	-	2 487
Appropriation Bill (No. 3) 2018-19	-	1 000
Appropriation Bill (No. 1) 2019-20	19 907	-
Appropriation Bill (No. 1) 2019-20 - Departmental Capital Budget	2 259	-
Total	22 377	20 688

1. Temporary quarantined amount will lapse on 1 July 2020

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

	2020 \$'000	2019 \$'000
Note 4.1: Employee Provisions		
Annual leave	3 812	3 272
Long service leave	9 204	8 474
Total employee provisions	13 016	11 746
Employee provisions expected to be settled in:		
No more than 12 months	2 474	3 240
More than 12 months	10 542	8 506
Total employee provisions	13 016	11 746

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 2020. 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 2020 represents outstanding contributions and is recognised in other payables.

Note 4.2: Key Management Personnel Remuneration

	2020 \$'000	2019 \$'000
Short-term employee benefits		
Salary	1 313	1 321
Other Benefits and Allowances	1	6
Total short-term employee benefits	1 314	1 327
Post-employment benefits		
Superannuation	256	246
Total post-employment benefits	256	246
Other long-term employee benefits		
Annual leave	114	110
Long-service leave	37	36
Total other long-term employee benefits	151	146
Termination benefits		
Termination benefits	-	333
Total termination benefits	-	333
Total key management personnel remuneration expenses	1 721	2 052

The total number of key management personnel who are included in the above table are 8 (2019: 8).

Key Management Personnel

Key management personnel are those persons who have authority and responsibilities for planning, directing and controlling the activities of the National Archives directly or indirectly. The National 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.

5.1: Aggregate Assets and Liabilities

	2020 \$'000	2019 \$'000
5.1: Aggregate Assets and Liabilities¹		
Assets expected to be recovered in:		
No more than 12 months	22 855	22 752
More than 12 months	<u>2 011 036</u>	<u>1 522 395</u>
Total assets	<u>2 033 891</u>	<u>1 545 147</u>
Liabilities expected to be settled in:		
No more than 12 months	6 152	11 793
More than 12 months	<u>506 586</u>	<u>17 017</u>
Total liabilities	<u>512 738</u>	<u>28 810</u>

1. The entity has applied AASB 16 using the modified retrospective approach and therefore the comparative information has not been restated and continues to be reported under AASB 117.



Lobbyists from the Federal Council for the Advancement of Aborigines and Torres Strait Islanders meet with Prime Minister Harold Holt, February 1967.
from left: Gordon Bryant MP, Faith Bandler, Harold Holt, Pastor Doug Nicholls, Burnum Burnum (Harry Penrith), Win Branson and WC Wentworth MP.

NAA: A1200, L62232

PART 5

**NATIONAL ARCHIVES
OF AUSTRALIA
ADVISORY COUNCIL**

ANNUAL REPORT 2019–20



Establishment and functions

The National Archives of Australia Advisory Council (the Advisory 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 an advisory 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. During 2019–20, the council comprised:

- Dr Denver Beanland AM (Chair)
- Ms Jade Balfour
- Professor (Emeritus) Peter Boyce AO
- Mr Adam Creighton
- Ms Suzanne Hampel OAM
- Ms Anne Henderson AM
- Dr Rosemary Laing
- Dr Phil Robertson FTSE
- Professor (Emeritus) Sally Walker AM
- Professor John Williams.

Parliamentary representation

- The Hon Kevin Andrews MP
- Senator the Hon Kim Carr.

Summary of activities

The council met twice in 2019–20, in November 2019 and February 2020. The June 2020 meeting of the council was cancelled due to border restrictions imposed as a result of COVID-19.

Statements required under the Archives Act

Record disposal practices

Section 25 of the Archives Act requires the Director-General to provide the National Archives of Australia Advisory Council with a statement setting out 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 2019–20, the National Archives issued 15 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 those 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 council was notified of five applications for special access to records under section 56(2) during 2019–20. Access was granted in all five cases, and no applications brought to the notice of the council 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 11). 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 11 | National Archives of Australia Advisory Council expenditure, 2019–20

Item	Cost (\$)
Remuneration	12,148
Travel allowance	7,074
Fares	13,327
Other travel expenses	26
Hospitality and catering expenses	869
Other	1,750
Total	35,194

Year in review

Functional and Efficiency Review of the National Archives of Australia

The Advisory Council acknowledges the initiative of the Attorney-General in establishing the Functional and Efficiency Review of the National Archives of Australia by Mr David Tune. The review was announced in January 2019 with expected completion in July 2019. The council notes the high level of interest from the public, evident from the volume of submissions, and their expectation that the Tune Report will be published in a timely manner. The council notes that the review has been finalised by Mr Tune. The council looks forward to the release of the Tune Report and a favourable response from government.

Australian National Audit Office report

The Advisory Council was shocked by the findings of Auditor-General report no. 11 of 2018–19, *Implementation of the Digital Continuity 2020 Policy*, published by the Australian National Audit Office in October 2019. The report brings to light how significant the resource stresses are for the National Archives and how that is impeding the agency's ability to lead the Australian Government's digital information management transition.

The council is greatly concerned that the current situation, which, if the National Archives has not adequately overseen Australian Government information management, could expose government to significant risk of loss of information. The potential for loss of unique and irreplaceable digital records could occur at any time and in any department.

World War II service records digitisation

The Advisory Council acknowledges the \$10 million funding provided towards digitisation of World War II service records of all Australians who enlisted. This figure falls well short of the estimated \$15 million required to digitise the 1,060,000 records and properly preserve more than 140,000 service identification photographs and negatives. The council will continue to advocate for sufficient funds to complete the project, including the proper treatment of photographs, the assessment of personal information prior to release and the digital online publication.

At-risk audiovisual records

The Advisory Council is concerned about the imminent irretrievable loss of valuable audiovisual records held on magnetic tape. Due to the obsolescence of playback equipment and the deterioration of the medium itself, much of this magnetic tape material will no longer be accessible beyond 2025. Converting the remaining 160,000 items to digital preservation standard files will take a significant investment of \$25 million before 2025 if this material is to be saved.



Handover of Uluru National Park to the traditional owners, 1985.

NAA: A6135, K4/11/85/7

PART 6

APPENDIXES



Appendix A: Entity resource statements

Table 12 ■ Resources allocated to the National Archives – aggregate figures, 2019–20

	Actual available appropriation for 2019–20 (\$'000) (a)	Payments made (\$'000) 2019–20 (b)	Balance remaining (\$'000) (a) – (b)
Ordinary annual services			
Balance brought forward ¹	21,909	21,909	0
Departmental appropriation ²	82,760	59,950	22,810
Total ordinary annual services	104,669	81,859	22,810
Total net resourcing	104,669	81,859	22,810

1 Prior year departmental appropriations

2 Includes Appropriation Act No. 1 (2019–20) with an amount of \$8.571 million for the departmental capital budget.

Table 13 | Resources allocated to the National Archives – aggregate figures, 2019–20

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 2019–20 (\$'000) (a)	Actual expenses 2019–20 \$'000 (b)	Variation 2019–20 \$'000 (a) – (b)
Program 1.1: National Archives of Australia			
Departmental expenses			
Ordinary annual services	67,861	52,613	15,248
Revenue from independent sources	2,345	6,556	-4,211
Expenses not requiring appropriation in the budget year	17,858	34,899	-17,041
Total for Program 1.1	88,064	94,068	-6,004
Total expenses for Outcome 1	88,064	94,068	-6,004
Average staffing level (number)	345	339	6

Appendix B: Human resources statistics

Employee statistics

Table 14 All ongoing employees, current reporting period, 2019–20

	Male			Female			Indeterminate		
	Full-time	Part-time	Total male	Full-time	Part-time	Total female	Full-time	Part-time	Total indeterminate
NSW	17	5	22	19	2	21	0	0	0
Qld	1	0	1	5	2	7	0	0	0
SA	1	1	2	2	0	2	0	0	0
Tas.	2	0	2	1	0	1	0	0	0
Vic.	8	0	8	13	1	14	0	0	0
WA	0	0	0	5	1	6	0	0	0
ACT	88	10	98	87	34	121	0	0	0
NT	0	0	0	3	0	3	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	117	16	133	135	40	175	0	0	0
									308

Table 15 | All non-ongoing employees, current reporting period, 2019–20

	Male			Female			Indeterminate		
	Full-time	Part-time	Total male	Full-time	Part-time	Total female	Full-time	Part-time	Total indeterminate
NSW	5	0	5	6	2	8	0	0	0
Qld	0	0	0	0	2	2	0	0	0
SA	0	1	1	1	0	1	0	0	0
Tas.	0	1	1	0	0	0	0	0	0
Vic.	1	0	1	1	0	1	0	0	0
WA	0	0	0	0	1	1	0	0	0
ACT	19	6	25	18	18	36	0	0	0
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	25	8	33	26	23	49	0	0	0
									82

Table 16 All ongoing employees, previous reporting period, 2018–19

	Male			Female			Indeterminate		
	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
Qld	1	0	1	3	2	5	0	0	0
SA	1	1	2	1	0	1	0	0	0
Tas.	2	0	2	1	0	1	0	0	0
Vic.	7	1	8	11	2	13	0	0	0
WA	0	0	0	4	2	6	0	0	0
ACT	80	10	90	91	33	124	0	0	0
NT	0	0	0	3	0	3	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	111	15	126	130	43	173	0	0	0
									299

Table 17 | All non-ongoing employees, previous reporting period, 2018–19

	Male			Female			Indeterminate		
	Full-time	Part-time	Total male	Full-time	Part-time	Total female	Full-time	Part-time	Total indeterminate
NSW	5	0	5	5	2	7	0	0	0
Qld	0	0	0	0	1	1	0	0	0
SA	0	1	1	0	1	1	0	0	0
Tas.	0	1	1	0	0	0	0	0	0
Vic.	0	1	1	1	1	2	0	0	0
WA	0	0	0	1	1	2	0	0	0
ACT	12	7	19	12	12	24	0	0	0
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	0

APS employee statistics

Table 18 Australian Public Service Act ongoing employees, current reporting period, 2019–20

	Male			Female			Indeterminate		
	Full-time	Part-time	Total	Full-time	Part-time	Total	Full-time	Part-time	Total
SES 3	0	0	0	0	0	0	0	0	0
SES 2	0	0	0	0	0	0	0	0	0
SES 1	2	0	2	4	0	4	0	0	0
EL 2	8	0	8	14	1	15	0	0	0
EL 1	25	4	29	24	8	32	0	0	0
APS 6	29	2	31	31	18	49	0	0	0
APS 5	21	4	25	25	5	30	0	0	0
APS 4	14	2	16	29	8	37	0	0	0
APS 3	8	4	12	5	0	5	0	0	0
APS 2	3	0	3	2	0	2	0	0	0
APS 1	6	0	6	1	0	1	0	0	0
Other	0	0	0	0	0	0	0	0	0
Total	116	16	132	135	40	175	0	0	307

Table 19 | Australian Public Service Act non-ongoing employees, current reporting period, 2019–20

	Male			Female			Indeterminate		
	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
SES 2	0	0	0	0	0	0	0	0	0
SES 1	0	0	0	0	0	0	0	0	0
EL 2	0	0	0	0	0	0	0	0	0
EL 1	1	0	1	0	1	1	0	0	0
APS 6	2	2	4	3	1	4	0	0	0
APS 5	4	0	4	1	3	4	0	0	0
APS 4	2	2	4	8	4	12	0	0	0
APS 3	5	0	5	4	1	5	0	0	0
APS 2	2	1	3	1	10	11	0	0	0
APS 1	9	3	12	9	3	12	0	0	0
Other	0	0	0	0	0	0	0	0	0
Total	25	8	33	26	23	49	0	0	0
									82

Table 20 | Australian Public Service Act ongoing employees, previous reporting period, 2018–19

	Male			Female			Indeterminate		
	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
SES 2	0	0	0	0	0	0	0	0	0
SES 1	1	0	1	4	0	4	0	0	0
EL 2	9	0	9	14	1	15	0	0	0
EL 1	24	3	27	25	9	34	0	0	0
APS 6	25	3	28	29	14	43	0	0	0
APS 5	22	5	27	19	12	31	0	0	0
APS 4	16	3	19	26	6	32	0	0	0
APS 3	7	1	8	6	1	7	0	0	0
APS 2	3	0	3	4	0	4	0	0	0
APS 1	3	0	3	2	0	2	0	0	0
Other	0	0	0	1	0	1	0	0	0
Total	110	15	125	130	43	173	0	0	0
									298

Table 21 ■ Australian Public Service Act non-ongoing employees, previous reporting period, 2018–19

	Male			Female			Indeterminate		
	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
SES 2	0	0	0	0	0	0	0	0	0
SES 1	0	0	0	0	0	0	0	0	0
EL 2	0	0	0	0	0	0	0	0	0
EL 1	1	0	1	0	1	1	0	0	0
APS 6	1	3	4	3	1	4	0	0	0
APS 5	1	1	2	3	0	3	0	0	0
APS 4	2	3	5	4	4	8	0	0	0
APS 3	4	0	4	6	1	7	0	0	0
APS 2	1	2	3	2	8	10	0	0	0
APS 1	7	1	8	1	3	4	0	0	0
Other	0	0	0	0	0	0	0	0	0
Total	17	10	27	19	18	37	0	0	0
									64

Table 22 | Australian Public Service Act employees, by full-time and part-time status, current reporting period, 2019–20

	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	6	0	6	0	0	0	6
EL 2	22	1	23	0	0	0	23
EL 1	49	12	61	1	1	2	63
APS 6	60	20	80	5	3	8	88
APS 5	46	9	55	5	3	8	63
APS 4	43	10	53	10	6	16	69
APS 3	13	4	17	9	1	10	27
APS 2	5	0	5	3	11	14	19
APS 1	7	0	7	18	6	24	31
Other	0	0	0	0	0	0	0
Total	251	56	307	51	31	82	389

Table 23 ■ Australian Public Service Act employees, by full-time and part-time status, previous reporting 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
Other	1	0	1	0	0	0	1
Total	240	58	298	36	28	64	362

Table 24 | Australian Public Service Act employment type, by location, current reporting period, 2019–20

	Ongoing	Non-ongoing	Total
NSW	43	13	56
Qld	8	2	10
SA	4	2	6
Tas.	3	1	4
Vic.	22	2	24
WA	6	1	7
ACT	219	61	280
NT	3	0	3
External territories	0	0	0
Overseas	0	0	0
Total	308	82	390

Table 25 | Australian Public Service Act employment type, by location, previous reporting 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 26 | Australian Public Service Act Indigenous employment, current reporting period, 2019–20

	Total
Ongoing	5
Non-ongoing	0
Total	5

Table 27 | Australian Public Service Act Indigenous employment, previous reporting period, 2018–19

	Total
Ongoing	6
Non-ongoing	0
Total	6

Workplace agreements

Table 28 | Australian Public Service Act employment arrangements, current reporting period, 2019–20

	SES	Non-SES	Total
National Archives of Australia Enterprise Agreement 2017–20	2	383	385
Total	2	383	385

Table 29 | Australian Public Service Act employment salary ranges, by classification level (minimum/maximum), current reporting period, 2019–20

	Minimum salary	Maximum salary
SES 3	n.a.	n.a.
SES 2	n.a.	n.a.
SES 1	205,812	226,761
EL 2	121,210	145,000
EL 1	101,009	117,008
APS 6	81,650	93,899
APS 5	72,389	77,651
APS 4	65,656	70,749
APS 3	58,923	63,847
APS 2	52,441	57,204
APS 1	45,876	50,474
Other	n.a.	n.a.
Minimum/maximum range	45,876	226,761

Appendix C: Executive remuneration statistics

Table 30 Information about remuneration for key management personnel

Name	Position title	Short-term benefits			Post-employment benefits	Other long-term benefits		Termination benefits	Total remuneration ⁴
		Base salary ¹	Bonuses	Other benefits and allowances ²		Long-service leave ³	Other long-term benefits		
Fricker, David	Director-General	343,431	0	0	59,594	8,548	0	0	411,573
Arumugam, Yaso	Assistant Director-General, Information & Technology	235,567	0	165	40,882	5,734	0	0	282,348
Blake, Celia	Assistant Director-General, Digital Archives Taskforce (acting)	85,738	0	0	11,854	2,023	0	0	99,615
Doyle, Louise	Assistant Director-General, Access & Public Engagement	213,233	0	0	36,998	5,062	0	0	255,293

Name	Position title	Short-term benefits			Post-employment benefits	Other long-term benefits		Termination benefits	Total remuneration ⁴
		Base salary ¹	Bonuses	Other benefits and allowances ²		Long-service leave ³	Other long-term benefits		
Fox, Steven	Assistant Director-General, Collection Management	22,253	0	0	0	430	0	0	22,683
Macfarlane, Linda	Assistant Director-General, Collection Management (acting)	199,956	0	404	37,958	5,069	0	0	243,387
McGuire, Jason	Assistant Director-General, Corporate Services (acting)	208,961	0	405	31,365	5,069	0	0	245,801
Ward, Teresa	Assistant Director-General, Digital Archives Taskforce	115,576	0	405	39,385	5,293	0	0	160,659

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

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

3 Includes Long Service Leave (LSL) paid and the net movement in LSL balance in the current reporting period

4 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 31 ■ Information about remuneration for senior executives

Total remuneration bands	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 long-service leave	Average other long-service leave		
\$0 – \$220,000	2	53,995	0	202	24,497	9,856	0	0	94,175
\$220,001 – \$245,000	2	157,766	0	203	37,958	5,069	0	0	243,387
\$245,001 – \$270,000	2	211,097	0	285	34,182	5,066	0	0	250,547
\$270,001 – \$295,000	1	235,567	0	165	40,882	5,734	0	0	282,347
\$295,001 – \$320,000	0	0	0	0	0	0	0	0	0
\$320,001 – \$345,000	0	0	0	0	0	0	0	0	0
\$345,001 – \$370,000	0	0	0	0	0	0	0	0	0
\$370,001 – \$395,000	1	343,431	0	0	59,594	8,548	0	0	411,573
\$395,001 – \$420,000	0	0	0	0	0	0	0	0	0
\$420,001 – \$445,000	0	0	0	0	0	0	0	0	0
\$445,001 – \$470,000	0	0	0	0	0	0	0	0	0
\$470,001 – \$495,000	0	0	0	0	0	0	0	0	0
\$495,001 –	0	0	0	0	0	0	0	0	0



Evonne Goolagong-Cawley, 1972.
NAA: K27/1/72/17

PART 7

GLOSSARY AND INDEXES



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> .
Application	A request for access to a record under the Archives Act.
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.
Exempt	As defined in the Archives Act 1983 (Cwlth) https://www.legislation.gov.au/Details/C2019C00005
Folio	A single leaf of paper or a page of a register, usually numbered only on one side.
Item	The smallest intellectually indivisible archival unit; for example, a letter, memorandum, report, photograph or sound recording.
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 identify 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.

Abbreviations and acronyms

AAG	Aboriginal Advisory Group
AASB	Australian Accounting Standards Board
AAT	Administrative Appeals Tribunal
APS	Australian Public Service
CAARA	Council of Australasian Archives and Records Authorities
DC2020	Digital Continuity 2020 Policy
DFAT	Department of Foreign Affairs and Trade
EGIM	Expert Group on Indigenous Matters (ICA)
EL	Executive level
FOI	freedom of information
IAMS	Integrated Archival Management System
ICA	International Council on Archives
IPS	Information Publication Scheme
NAA	National Archives of Australia
NABERS	National Australian Built Environment Rating System
PAC	Project Assurance Committee
PBS	Portfolio Budget Statements
PS Act	<i>Public Service Act 1999</i>
RAP	Reconciliation Action Plan
SES	Senior Executive Service
SMEs	small and medium-sized enterprises

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–v
17AJ(b)	N/A	Alphabetical index.	Mandatory	151–156
17AJ(c)	Glossary	Glossary of abbreviations and acronyms.	Mandatory	134–136
17AJ(d)	List of requirements	List of requirements.	Mandatory	137–148
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	1–7

PGPA Rule reference	Part of report	Description	Requirement	Page
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	10
17AE(1)(a)(ii)	Organisational structure	A description of the organisational structure of the entity.	Mandatory	12–13
17AE(1)(a)(iii)	Outcome and program structure	A description of the outcomes and programmes administered by the entity.	Mandatory	11
17AE(1)(a)(iv)	Purpose, role and functions	A description of the purposes of the entity as included in corporate plan.	Mandatory	11
17AE(1)(aa)(i)	Accountable authority	Name of the accountable authority or each member of the accountable authority.	Mandatory	12
17AE(1)(aa)(ii)	Accountable authority	Position of the accountable authority or each member of the accountable authority.	Mandatory	12
17AE(1)(aa)(iii)	Accountable authority	Period as the accountable authority or member of the accountable authority within the reporting period.	Mandatory	12
17AE(1)(b)	N/A	An outline of the structure of the portfolio of the entity.	Portfolio departments – mandatory	
17AE(2)	N/A	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	

PGPA Rule reference	Part of report	Description	Requirement	Page
17AD(c)	Report on the performance of the entity			
Annual performance Statements				
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	17–37
17AD(c)(ii)	Report on financial performance			
17AF(1)(a)	Financial performance	A discussion and analysis of the entity's financial performance.	Mandatory	38–39
17AF(1)(b)	Appendix A: Entity resource statements	A table summarising the total resources and total payments of the entity.	Mandatory	114–115
17AF(2)	N/A	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	
17AD(d)	Management and accountability			
Corporate governance				
17AG(2)(a)	Fraud measures	Information on compliance with section 10 (fraud systems).	Mandatory	50–51
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

PGPA Rule reference	Part of report	Description	Requirement	Page
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
17AG(2)(c)	Governance	An outline of structures and processes in place for the entity to implement principles and objectives of corporate governance.	Mandatory	42–51
17AG(2)(d) – (e)	Significant noncompliance with finance law	A statement of significant issues reported to Minister under paragraph 19(1)(e) of the Act that relates to noncompliance with Finance law and action taken to remedy noncompliance.	If applicable, mandatory	55
<i>Audit Committee</i>				
17AG(2A)(a)	Audit and Risk Committee	A direct electronic address of the charter determining the functions of the entity's audit committee.	Mandatory	44
17AG(2A)(b)	Audit and Risk Committee	The name of each member of the entity's audit committee.	Mandatory	44
17AG(2A)(c)	Audit and Risk Committee	The qualifications, knowledge, skills or experience of each member of the entity's audit committee.	Mandatory	44

PGPA Rule reference	Part of report	Description	Requirement	Page
17AG(2A)(d)	Audit and Risk Committee	Information about the attendance of each member of the entity's audit committee at committee meetings.	Mandatory	44
17AG(2A)(e)	Audit and Risk Committee	The remuneration of each member of the entity's audit committee.	Mandatory	44
External scrutiny				
17AG(3)	External scrutiny	Information on the most significant developments in external scrutiny and the entity's response to the scrutiny.	Mandatory	56–57
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	56–57
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	56–57
17AG(3)(c)	N/A	Information on any capability reviews on the entity that were released during the period.	If applicable, mandatory	
Management of Human Resources				
17AG(4)(a)	Human resource management	An assessment of the entity's effectiveness in managing and developing employees to achieve entity objectives.	Mandatory	60–63

PGPA Rule reference	Part of report	Description	Requirement	Page
17AG(4)(aa)	Workforce planning, staff turnover and retention	<p>Statistics on the entity's employees on an ongoing and non-ongoing basis, including the following:</p> <ul style="list-style-type: none"> (a) statistics on full-time employees (b) statistics on part-time employees (c) statistics on gender (d) statistics on staff location. 	Mandatory	116–126
17AG(4)(b)	Workforce planning, staff turnover and retention	<p>Statistics on the entity's APS employees on an ongoing and non-ongoing basis; including the following:</p> <ul style="list-style-type: none"> • statistics on staffing classification level • statistics on full-time employees • statistics on part-time employees • statistics on gender • statistics on staff location • statistics on employees who identify as Indigenous. 	Mandatory	116–127
17AG(4)(c)	Instruments of employment	Information on any enterprise agreements, individual flexibility arrangements, Australian workplace agreements, common law contracts and determinations under subsection 24(1) of the <i>Public Service Act 1999</i> .	Mandatory	59
17AG(4)(c)(i)	Workplace agreements	Information on the number of SES and non-SES employees covered by agreements etc. identified in paragraph 17AG(4)(c).	Mandatory	127

PGPA Rule reference	Part of report	Description	Requirement	Page
17AG(4)(c)(ii)	Workplace agreements	The salary ranges available for APS employees by classification level.	Mandatory	128
17AG(4)(c)(iii)	Workplace agreements	A description of non-salary benefits provided to employees.	Mandatory	59
17AG(4)(d)(i)	N/A	Information on the number of employees at each classification level who received performance pay.	If applicable, mandatory	
17AG(4)(d)(ii)	N/A	Information on aggregate amounts of performance pay at each classification level.	If applicable, mandatory	
17AG(4)(d)(iii)	N/A	Information on the average amount of performance payment, and range of such payments, at each classification level.	If applicable, mandatory	
17AG(4)(d)(iv)	N/A	Information on aggregate amount of performance payments.	If applicable, mandatory	
<i>Asset 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	67–68
<i>Purchasing</i>				
17AG(6)	Purchasing	An assessment of entity performance against the Commonwealth Procurement Rules	Mandatory	68

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	69
17AG(7)(b)	Consultants	A statement that During [reporting period], [specified number] new consultancy contracts were entered into involving total actual expenditure of \$[specified million]. In addition, [specified number] ongoing consultancy contracts were active during the period, involving total actual expenditure of \$[specified million].	Mandatory	69
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	69

PGPA Rule reference	Part of report	Description	Requirement	Page
17AG(7)(d)	Consultants	A statement that 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.	Mandatory	69
Australian National Audit Office Access Clauses				
17AG(8)	Contracts	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	69
Exempt contracts				
17AG(9)	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	Not applicable

PGPA Rule reference	Part of report	Description	Requirement	Page
Small business				
17AG(10)(a)	Procurement initiatives to support small business	A statement that [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.	Mandatory	68–69
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	68–69
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 [Name of entity] recognises the importance of ensuring that small businesses are paid on time. The results of the Survey of Australian Government Payments to Small Business are available on the Treasury's website.	If applicable, mandatory	69
Financial statements				
17AD(e)	Financial statements	Inclusion of the annual financial statements in accordance with subsection 43(4) of the Act.	Mandatory	73–105
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	129–131

PGPA Rule reference	Part of report	Description	Requirement	Page
17AD(f)	Other mandatory information			
17AH(1)(a)(i)	Advertising and market research	<p>If the entity conducted advertising campaigns, a statement that</p> <p>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.</p>	If applicable, mandatory	Not applicable
17AH(1)(a)(ii)	Advertising and market research	If the entity did not conduct advertising campaigns, a statement to that effect.	If applicable, mandatory	70
17AH(1)(b)	Grant programs	<p>A statement that</p> <p>Information on grants awarded by [name of entity] during [reporting period] is available at [address of entity's website].</p>	If applicable, mandatory	70
17AH(1)(c)	Disability reporting	Outline of mechanisms of disability reporting, including reference to website for further information.	Mandatory	61
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	52
17AH(1)(e)	N/A	Correction of material errors in previous annual report.	If applicable, mandatory	

PGPA Rule reference	Part of report	Description	Requirement	Page
17AH(2)	About the National Archives Advisory Council	Information required by other legislation.	Mandatory	107–111

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