



NATIONAL ARCHIVES OF AUSTRALIA

ANNUAL REPORT 2021–22



NATIONAL ARCHIVES OF AUSTRALIA

NATIONAL ARCHIVES OF AUSTRALIA ADVISORY COUNCIL

ANNUAL REPORT 2021–22

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Cover image collage: Various National Archives events and exhibitions.

Letter of transmittal

Our reference: 2022/1875

The Hon Tony Burke MP
Minister for the Arts
PO Box 6022
Parliament House
CANBERRA ACT 2600

13 October 2022

Dear Minister

We present to you the annual report on the operations of National Archives of Australia and National Archives of Australia Advisory Council for the year ended 30 June 2022.

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 National Archives of Australia and National Archives of Australia Advisory Council to prepare and provide annual reports to you for presentation to the parliament.

National Archives' annual performance statement has been prepared in accordance with paragraph 39(1)(a) of the PGPA Act and accurately presents the entities' performance for the 2021–22 financial year in accordance with subsection 39(2) of the PGPA Act.

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

We, as the Director-General and Chair, certify that 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*. 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 National Archives. No instances of fraud have been identified during the period.



Simon Froude
Director-General



Dr Denver Beanland AM
Chair, Advisory Council

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DIRECTOR- GENERAL'S REVIEW



National Archives of Australia contributes to and works collaboratively with other national collecting institutions to protect and promote Australian content, culture and history. Among national collecting institutions, National Archives is unique. This is because National Archives has an additional responsibility to provide a general right of access to Commonwealth records, is the Australian Government's information management standards and regulatory body, and is a research, education and exhibition service provider with a presence in every Australian state and territory.

The national archival collection is priceless and irreplaceable. It is made up of tens of millions of records that tell the story of the Australian nation and its people, and it underpins accountability and transparency in Commonwealth administration. National Archives continues to provide leadership in best practice management of the official record of the Commonwealth. It ensures Australian Government information of enduring significance is secured, preserved and made available to government agencies, researchers and the Australian community.

In 2021–22, Australians continued to live in a time of uncertainty. The impact of the COVID-19 pandemic, extreme weather events and international events caused enormous disruption to our lives. Rising costs of living and an ever-changing strategic position in the geopolitical region has presented significant challenges to government and ordinary Australians.

By preserving and making accessible records of Australian Government decisions, National Archives provides the most comprehensive mechanism for accountability in government decision-making. This allows future generations of Australians the opportunity to know about and understand their identity and heritage, significant historical events and Australia's democratic journey.

Engagement

In 2021–22, National Archives continued to find ways to engage with its stakeholders and the Australian community, as well as deliver public engagement programs, despite the barriers faced due to COVID-19 lockdowns. The start of 2022 saw the opening of 2 highly regarded National Archives exhibitions: *Marion: the other Griffin* and *Reception this way – motels: a sentimental journey with Tim Ross*. Online engagements through National Archives' websites, social media channels and RecordSearch, the online collection database noticeably increased in 2021–22.

The NAA Members Program provides new opportunities for Australians to experience National Archives and join the archives community. This year, membership increased significantly, and we now have over 1,000 members supporting National Archives' vital work to preserve and provide access to the nation's memory for generations to come.

National Archives understands the privilege and responsibility of being the custodians of records that have ongoing meaning as evidence and memory of our nation. The importance of these records to First Nations peoples can never be underestimated. In 2022, we commemorated the 25th anniversary of the release of the *Bringing Them Home Report*. This report highlights the importance of records and access to records, and its messages resonate as clearly today as they did when it was released. National Archives has continued to lead improved engagement with First Nations peoples as we look to ensure our activities and services meet community and cultural needs.

Preservation of at-risk records

National Archives is committed to ensuring information and data of enduring significance is preserved. Our well-established digitisation program is being progressively scaled up to support high-volume digitisation of archival records. This year, over 850,000 at-risk items were preserved and digitised, with increased resources allocated to strategic projects such as the Second World War Service Records Digitisation project and Defend the Past, Protect the Future program.

A generous donation of \$1 million, from philanthropist Barbara Mason, is helping National Archives to preserve the service files of the Royal Australian Air Force, commencing with 50,000 photographic negatives as part of the Putting a Face to the Name project. This digitisation project complements and enhances the current government-funded initiative to digitise Second World War service records of people who have served in the Army and Air Force. When complete, these records will join those of the Royal Australian Navy in being freely accessible to all Australians online.

Transfer of digital records

The continued growth of digital records being produced by Commonwealth agencies means it is imperative for National Archives to ensure digital archival records can be identified, transferred into the collection and preserved in digital form for future generations. In 2021–22, National Archives continued to transform and improve digital archival practices.

This year, National Archives was successful in piloting its capability to transfer digital archival records into the national archival collection using end-to-end digital processes. The pilot supported National Archives' ability to refine and upscale its processes for the identification, transfer and ingest of digital archival records and supporting metadata held by Commonwealth agencies.

Building trust in the public record

In 2021–22, National Archives completed the implementation of the *Digital continuity 2020 policy* (2015–20) and commenced implementation of the *Building trust in the public record: managing information and data for government and community policy* (2021). Following the final Check-up survey under the *Digital continuity 2020 policy*, National Archives was

pleased to have the opportunity to engage in discussions with a number of Commonwealth agencies about their information management challenges, receive an update on their progress and maturity, and provide advice, which will inform the way we undertake our work in the coming years.

National Archives' role in the integrity and accessibility of government information and data, in the national archival collection, has never been more important. In a globally connected digital world, societies are experiencing significant change and disruption, struggling with cyber-threats, the negative influence of disinformation and a failing trust in public institutions. Authentic Commonwealth records, as evidence of Government decisions and actions, are critical in rebuilding that trust.

The year ahead

Since commencing my tenure as Director-General in May 2022, I have been impressed by the rich knowledge of National Archives' staff and their unwavering commitment to our stakeholders and the Australian community. I commend the professionalism, diligence and passion our staff have for their work, particularly during what we all understand to be challenging times.

National Archives has established our long-term direction in our 10-year vision document *Strategy 2030: a transformed and trusted National Archives*. To achieve our objective of being a world-leading digital archive, we have embarked on a period of necessary change, setting out strategies to enable, secure, connect and innovate our digital capability and service delivery.

In the coming year, National Archives also seeks to create new opportunities for engagement, collaboration and learning with government agencies, researchers and the Australian community. Other priorities include continuing to engage with First Nations communities to improve access to government records for First Nations peoples and others impacted by past government practice, improving legislation, scaled-up capability to digitise and preserve at-risk collections, growing workforce capability and using technologies to assist Commonwealth agencies better manage information and data.

PART 1

ABOUT THE NATIONAL ARCHIVES

Purpose, role and functions

Purpose

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

National Archives was established under the *Archives Act 1983* (Archives Act). It 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*.

National Archives provides advice and assurance that the Australian Government has access to authentic, reliable and usable Commonwealth records to enable evidence-based decisions, provide sound advice, develop good policy, deliver programs effectively, and to facilitate access to the archival resources of the Commonwealth of Australia.

National Archives:

- sets information management requirements for Australian Government entities
- ensures the Australian Government creates and keeps records of its actions and decisions to demonstrate accountability to the community and as evidence of the integrity of the operations of the Australian Public Service
- authorises destruction of information assets with no ongoing value to government or the community
- selects and preserves the most significant records of the Australian Government, and makes these available to government and the public as a national resource to enrich and inform how Australians live today and into the future.

Guiding principles

Vision

Australia's cultural identity and democracy is strengthened through connecting people with the evidence of Australian Government activities and decisions.

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 2021–22 Portfolio Budget Statements set out National Archives' outcome and program structure, 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.

Program 1.1: 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

National Archives has the following 4 strategies to deliver its program:

- **Enable** best practice information and data management by Australian Government entities.
- **Secure** and preserve nationally significant Australian Government information and data.
- **Connect** Australians to the national archival collection.
- **Innovate** to lead archival practice in the digital age.

Accountable authority

The Director-General is the National Archives' accountable authority. Following the expiration of David Fricker's term as Director-General, 2 senior executives acted as interim Director-General until the appointment of the new Director-General was formalised. National Archives' accountable authority during 2021–22 was as follows:

- 1 July 2021 to 31 December 2021: David Fricker, Director-General
- 1 January 2022 to 11 February 2022: Steven Fox, Director-General (acting)
- 12 February 2022 to 30 April 2022: Yaso Arumugam, Director-General (acting)
- 1 May 2022 to 22 May 2022: Steven Fox, Director-General (acting)
- 23 May 2022 to 30 June 2022: Simon Froude, Director-General

Organisational structure

At 30 June 2022, National Archives operated under a 4-branch structure. The primary function of each branch is summarised as follows:

- **Access and Public Engagement** branch ensures access to the collection through digital platforms, research centres, reference services, access examination, education and public programs, exhibitions, publishing, marketing, media engagement and corporate events.
- **Collection Management** branch protects records of archival value by transferring them into custody; manages the collection to ensure its authenticity, integrity, preservation, digitisation, usability and availability, and sets whole-of-government information management standards. The branch is also responsible for delivery of services through the network of National Archives offices in each capital city.
- **Corporate Services** branch provides the enabling services of governance, human resources, finance, procurement, property, security management; undertakes research and innovation in digital archival management, special corporate projects and capability development.
- **Data and Digital** branch work towards National Archives' transformation to a state-of-the-art digital archive, supports the achievement of strategic goals through services, technology, infrastructure, software and governance of information assets. It also works with Australian Government agencies to build their information and data management maturity by providing advice and guidance on compliance with the Archives Act and National Archives' requirements and standards, including the disposal and retention arrangements for Australian Government records.

Figure 1: Organisational structure as at 30 June 2022



PART 2

REPORT ON PERFORMANCE

Statement of preparation

I, Simon Froude, as the accountable authority of National Archives of Australia, present National Archives' annual performance statement for the period from 1 July 2021 to 30 June 2022, as required under paragraph 39(1)(b) of the *Public Governance, Performance and Accountability Act 2013* (PGPA Act) and performance measures outlined in *National Archives of Australia Corporate Plan 2021–22 to 2024–25*, and as published in National Archives Portfolio Budget Statements.

In my opinion, the annual performance statement is based on properly maintained records, accurately reflects the performance of National Archives, and complies with subsection 39(1)(b) of the PGPA Act and section 16F of the *Public Governance, Performance and Accountability Rule 2014*.



Simon Froude
Director-General
National Archives of Australia
13 October 2022

Annual performance statement

National Archives’ annual performance statement for 2021–22 provides a comprehensive overview of how the organisation performed throughout the year.

Reporting framework

National Archives achieves its purpose through one outcome, delivered through a single program, as outlined in the Portfolio Budget Statements (PBS) 2021–22. The annual performance statement provides an analysis of the agency’s performance in 2021–22 against the performance criteria and targets that are also set out in the 2021–22 PBS and *Corporate Plan 2021–22 to 2024–25*.

Performance overview

Table 1 details National Archives’ results against the 6 performance measures set out for 2021–22 in the corporate plan and the PBS (pages 265–84).

Table 1: Summary of results against 2021–22 performance measures

Performance measure	Performance target	Result
1. National Archives leads Australian Government entities in achieving digital continuity and effective management of Australian Government information assets (records, information and data) through whole-of-government information policy, standards and advice.	Delivery of timely and fit-for-purpose guidance to support implementation of the <i>Building trust in the public record policy</i> by Australian Government entities.	Achieved.
	With policy stakeholders, National Archives to undertake a first-year review of its delivery of the <i>Building trust in the public record policy</i> , and its implementation by Australian Government entities.	Achieved.

Performance measure	Performance target	Result
2. Australian Government entities are surveyed against National Archives information management requirements, including the <i>Building trust in the public record policy</i> and outcomes reported to the Minister.	A new survey of Australian Government entities to support the <i>Building trust in the public record policy</i> is designed and launched.	Achieved.
	Outcome of the <i>Digital continuity 2020 policy</i> reported to the Minister.	Achieved.
	Information Management report, post- <i>Digital continuity 2020 policy</i> , published.	Achieved.
	Engage with entities reporting low maturity to provide advice and support to improve their information and data management practices.	Achieved.
3. Information and data of enduring national significance is identified and preserved in the national archival collection.	Improve progress towards sustained comprehensive agency retention and disposal coverage across Australian Government by issuing at least 20 disposal and retention instruments by 30 June 2022.	Partially achieved (16 disposal and retention instruments).
	Qualitative and quantitative evaluation of the programs to preserve at-risk records in the national archival collection.	Achieved.
	Migration and ingest of 700 terabytes (TB) of data from fragile platforms to National Archives, secure platforms by 30 June 2022.	Partially achieved (84%).
	Digital records are ingested into National Archives, Integrated Archival Management System (IAMS) from 2 government agencies.	Achieved.
	Qualitative and quantitative evaluation of the progress towards ingesting the digital records from 2 agencies, using case studies.	Achieved.

Performance measure	Performance target	Result
4. The national archival collection is accessible, promoted and made available through multiple channels, regardless of original format.	4% annual increase in public engagement with National Archives.	
	Onsite visitors (104,000)	Partially achieved (33,784 visitors).
	Offsite visitors (115,000)	Partially achieved (61,841 visitors).
	Online visits to our websites (4,160,000)	Achieved.
	Social media engagements (520,000)	Achieved.
	Potential media audience (12,480,000)	Achieved.
	Online interactions with RecordSearch (3,016,000)	Achieved.
	Digitised images made available online to the public (2,600,000)	Achieved.
	Digitised items made available online to the public (104,000)	Achieved.
5. Exploit new and emerging technology, with contemporary approaches to governance, to modernise the operation of National Archives.	Qualitative evaluation of the accessibility and engagement with the national archival collection, the channels used and cooperation with other stakeholders, using case studies.	Achieved.
	Qualitative evaluation of the effectiveness and refinement of changes to the technologies and governance framework, using case studies.	Achieved.
	Application and implementation of amendments to the <i>Archives Act 1983</i> to modernise its operations, subject to Government agreement.	Not achieved.

Performance measure	Performance target	Result
6. Implement and maintain an integrated end-to-end digital archival solution.	Deliver the implementation of the IAMS preservation platform, and search and discovery phases by 30 June 2022.	Achieved.
	Qualitative evaluation of integrations and implementation of phases of the Integrated Archival Management System, using case studies.	Achieved.

Performance results

Performance measure 1

National Archives leads Australian Government entities in achieving digital continuity and effective management of Australian Government information assets (records, information and data) through whole-of-government information policy, standards and advice.

Targets	<p>Delivery of timely and fit-for-purpose guidance to support implementation of the <i>Building trust in the public record policy</i> by Australian Government entities.</p> <p>With policy stakeholders, National Archives to undertake a first-year review of its delivery of the <i>Building trust in the public record policy</i>, and its implementation by Australian Government entities.</p>
Source	<p>Portfolio Budget Statements 2021–22, page 273.</p> <p>National Archives of Australia <i>Corporate Plan 2021–22 to 2024–25</i></p>
Delivery strategy	Enable best practice information and data management by Australian Government entities.
Result	Achieved.

Analysis of performance

Under the *Building trust in the public record policy*, National Archives provides resources to agencies through the Public Release Schedule (PRS), which is published on the website at naa.gov.au and promoted through public forums.

All 17 products listed for delivery on the PRS in 2021–22 were completed, as well as 3 extra items. The PRS was also revised to make it more accessible. As there was no whole-of-APS Check-up survey undertaken during the first year of the policy, a survey of the first 12 months of the implementation of the policy was conducted with members of the Agency Advisory Group.

Highlights of the Public Release Schedule No 2

National Archives released an internal progress monitoring template to make it easier for agencies to track their implementation of the *Building trust in the public record policy*. The risks and benefits relevant to completion of each policy action are included in the template and can help inform agencies about:

- any further action that can be taken to address specific information management issues
- how to prepare reports for an agency's Information Governance Committee
- strategies to meet the agency's policy requirements.

The template can help agencies to identify information management issues for priority action and to prepare responses for the annual Check-up survey.

National Archives developed and released 4 e-learning modules under the Digital Preservation Program: digital formats, archiving and preservation and metadata. These modules are available on LearnHub hosted by the Department of Education and Department of Employment and Workplace Relations. In 2021–22, 938 people completed at least one module.

National Archives released new and updated advice in relation to the data management plan template, the minimum metadata set and new reference tables, metadata management and digital transfers, as well as a capability gap analysis template that can help an agency measure current and future resource needs.

Different channels were used to inform agencies about the *Building trust in the public record policy* and new and updated resources, and to seek their feedback or conduct short and focused surveys. These channels included the National Archives' Government Agencies Information Network (GAIN) bulletins and forums as well as meetings of the Australian Society of Archivists and Records and Information Management Professionals Australasia.

Performance measure 2

Australian Government entities are surveyed against National Archives information management requirements, including the *Building trust in the public record policy* and outcomes reported to the Minister.

Targets	<p>A new survey of Australian Government entities, to support the <i>Building trust in the public record policy</i>, is designed and launched, open to agencies in July 2022.</p> <p>Outcome of the <i>Digital continuity 2020 policy</i> reported to the Minister.</p> <p>Information Management report, post-<i>Digital continuity 2020 policy</i>, published.</p> <p>Engage with entities reporting low maturity to provide advice and support to improve their information and data management practices.</p>
Source	<p>Portfolio Budget Statements 2021–22, page 273.</p> <p>National Archives of Australia <i>Corporate Plan 2021–22 to 2024–25</i>.</p>
Delivery strategy	<p>Enable best practice information and data management by Australian Government entities.</p>
Result	<p>Achieved.</p>

Analysis of performance

In 2021–22, National Archives and Australian Government agencies completed the implementation of the *Digital continuity 2020 policy* (2015–20) and began implementing its *Building trust in the public record policy* (2021).

The final annual Check-up survey under the *Digital continuity 2020 policy* was conducted in 2020–21. The survey measured the progress of government agencies’ information management maturity between 2015 and 2020. In 2021–22, the data collected was analysed and reported to the Minister. The report on implementation of the *Digital continuity 2020 policy* by Australian Government agencies was published on National Archives’ website in March 2022.

After the final survey, National Archives provided advice and support to entities reporting low maturity to help them improve their information and data management practices. National Archives offered direct assistance to 43 agencies (42 in March 2022 and one in June 2022, following an Australian National Audit Office audit). Eleven of these agencies took the opportunity to discuss their information management challenges with National Archives and to provide an update on progress since the survey.

In general, agencies reported improvements in their information management and sought advice in relation to their particular challenges. Issues raised by agencies included new staff in information management roles, recruitment difficulties, M365 implementation or migration

planning, records authorities and disposal coverage. National Archives responded with tailored advice, as well as by updating advice made available on its website, promoting vacancies through its GAIN bulletin and connecting information managers who had an interest in ongoing networking.

To assist agencies with implementing the *Building trust in the public record policy*, the Check-up survey was reviewed, redesigned and launched in July 2022.

Case study: *Digital continuity 2020 policy*

National Archives issued the *Digital continuity 2020 policy* in 2015 in accordance with its legislated power to specify requirements for Australian Government information management. Under the policy, agencies were to integrate robust digital information management into all government business processes to support digital transformation, efficiency, innovation, information re-use and accountability.

The policy required agencies to meet targets around 3 principles:

1. Information is valued
2. Information is managed digitally
3. Information, systems and processes are interoperable.

Completing the annual Check-up survey between 2015 and 2020 was mandatory for all Australian Government agencies, and required approval by the agency heads before being submitted to National Archives.

The analysis of the survey data collected over the duration of the *Digital continuity 2020 policy* (2015–20) measures the progress made by Australian Government agencies under the policy towards information and data management maturity.

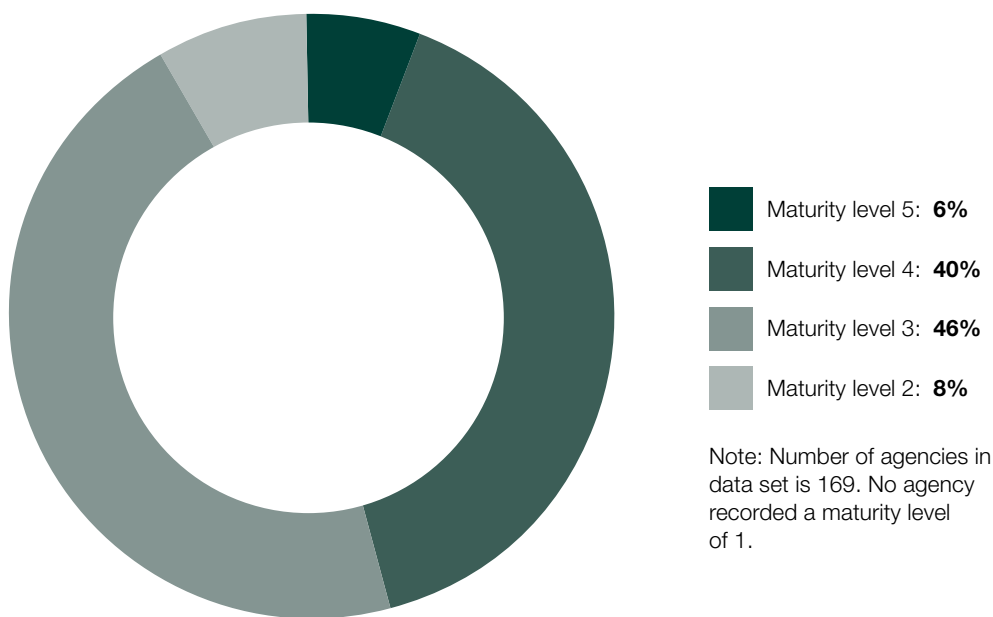
2020 Check-up survey results

The results of the 2020 Check-up survey showed that 92% of Australian Government agencies were achieving overall information management maturity levels of adequate and above. This can be compared to 55% in 2014. To reach adequate or above, an agency must have an overall maturity index of 3, 4 or 5, indicating that information management processes in effect are on average ‘often’, ‘usually / most of the time’ or ‘almost always / always’.

Despite this progress, the survey also highlighted that a considerable number of agencies are yet to consistently implement key information governance principles and practices. Only 6% of agencies recorded the highest overall information maturity level of 5, indicating better practice activities are undertaken ‘almost always / always’ on average.

The survey also indicated that there were 13 agencies (8%) that recorded an ‘inadequate’ overall information maturity level of 2, indicating better practice activities are only implemented ‘sometimes’ on average.

Figure 2: Overall distribution of agency maturity levels in 2020

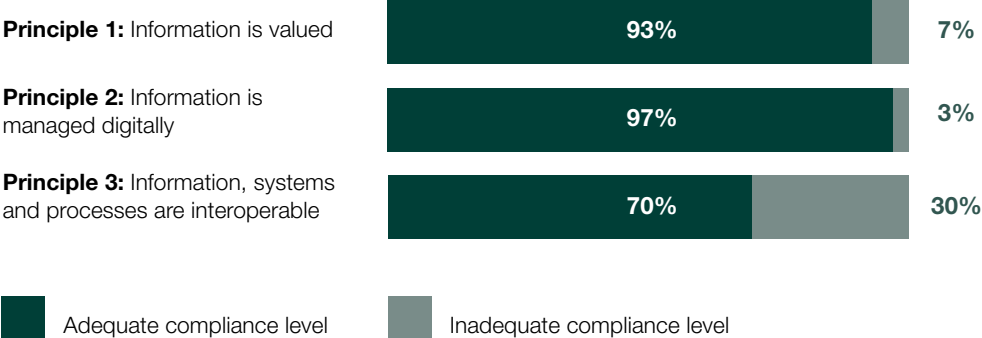


The survey showed that over 90% of agencies recorded adequate maturity in implementing the recommended actions under **principles 1: Information is valued and principle, and 2: information is managed digitally.**

However, there was considerable scope for improvement toward implementing recommended actions under Principle 3: Information, systems and processes are interoperable. Over a quarter of agencies recorded ‘inadequate’ maturity – an overall maturity index below 3 – in several key areas within this principle, including:

- adopting relevant metadata standards at the appropriate level
- collecting metadata in line with the Information Management Standard
- ensuring new or updated business systems and services have the capacity to manage information in place for its whole life.

Figure 3: Proportion of agencies that recorded adequate information management maturity against the 3 principles of the *Digital continuity 2020 policy*



Performance measure 3

Information and data of enduring national significance is identified and preserved in the national archival collection.

Targets	<p>Improve progress towards sustained comprehensive agency retention and disposal coverage across Australian Government by issuing at least 20 disposal and retention instruments by 30 June 2022.</p> <p>Qualitative and quantitative evaluation of the programs to preserve at-risk records in the national archival collection.</p> <p>Migration and ingest of 700 terabytes (TB) of data from fragile platforms to National Archives, secure platforms by 30 June 2022.</p> <p>Digital records are ingested into National Archives’ IAMS from 2 government agencies.</p> <p>Qualitative and quantitative evaluation of the progress towards ingesting the digital records from 2 agencies, using case studies.</p>
Source	<p>Portfolio Budget Statements 2021–22, page 273–4.</p> <p>National Archives of Australia <i>Corporate Plan 2021–22 to 2024–25</i>.</p>
Delivery strategy	Secure and preserve nationally significant Australian Government Information and data.
Result	Partially achieved.

Analysis of performance

Most measures under this performance criterion were met or exceeded. The goal of this criterion is to preserve archival records so that they are accessible for current and future generations. This is achieved through a range of activities across National Archives.

The target of issuing at least 20 disposal and retention instruments by 30 June 2022 was partially achieved by issuing 16 instruments. Four more instruments were prepared at the operational level, however the presentation of these instruments for final issue was delayed due to the impacts of the COVID-19 pandemic on staff availability.

Programs to preserve at-risk and digital records increased in output this year. Over 850,000 at-risk items were preserved and digitised against an overall target of 250,000. The significant increase was due to expanded activity with strategic projects, including the Second World War Service Records Digitisation project and Defend the Past, Protect the Future program. Defend the Past, Protect the Future has provided \$19.5 million over 4 years to digitise at-risk records in the collection through inhouse capability and outsourced bulk digitisation.

The annual target for the successful completion of digital transfers from 2 Australian Government agencies was met and exceeded. Additionally, 12,293,567 digital files were ingested into our digital asset management systems, Preservica and Mediaflex. These systems form part of National Archives' IAMS.

The target to ingest 700 TB of data to secure platforms was partially achieved (84%). The delivery of this target was impacted by nation-wide COVID-19 lockdowns, as well as ongoing and critical work to scale up National Archives' digital platforms to alleviate the pressure of high quantities of data through-put on information and technology systems.

Case study: Transfer of digital records

The continued growth of digital records being produced by Australian Government agencies places an imperative on National Archives to ensure that digital archival records can be identified, transferred into the collection, and preserved in digital form for future generations. As such, National Archives continues to transform and improve its digital archival practices.

In collaboration with the Attorney-General's Department, a pilot was successfully undertaken in 2021–22 to increase National Archives' capability to transfer digital archival records into the national archival collection using end-to-end digital processes. The transfer consisted of records exported from the Attorney-General's Department's Electronic Document Record Management System. These records had been identified as 'Retain as national archives' through a current records authority issued under the *Archives Act 1983* (Archives Act). The records were provided to National Archives via a secure online platform and ingested into National Archives' Integrated Archival Management System for ongoing preservation.

This pilot has supported National Archives' ability to refine and upscale its processes for the identification, transfer and ingest of digital archival records, and supporting metadata, held by Australian Government agencies. Lessons learned from the pilot, and other related work within the organisation, have helped to inform infrastructure and systems requirements, supported workflows and governance processes, and targeted advice for agencies for the transfer of digital records.

The pilot and supporting work have also increased the ability for digital archival records to be prepared and transferred to National Archives in a fit-for-purpose and timely manner.

Preservation of at-risk records

The Defend the Past, Protect the Future program has provided \$19.5 million over 4 years to digitise at-risk records in the collection through inhouse capability and outsourced bulk digitisation. Over the life of the project, National Archives will digitise 270,000 of the most critical at-risk records, with a focus on the preservation of items that will be progressively lost over the next 5 to 10 years due to inherent deterioration or obsolescence.

In 2021–22, National Archives:

- established the digitisation program and commenced planning for the next 3 years, including progressively scaling up operations to support high-volume digitisation of archival records
- selected 148,247 items for digitisation and sent 131,081 items to selected vendors
- completed digitisation of 70,356 at-risk items, exceeding the yearly target of 65,000
- released 11,536 items (227,432 digital images) to the public through RecordSearch
- conducted an open approach to market and established a panel for outsourced photographic digitisation providers
- established a Digitisation Hub in Canberra for the digitisation of paper-based records
- contracted 13 vendors to digitise at-risk formats, including audio, video, motion-picture films, photographic negatives and prints, aerial films, documents, volumes, maps and plans.

Key records digitised in 2021–22 include historically significant colonial-era documents from South Australia (including petitions for South Australia colonial patents), registers for British ships, lighthouse logbooks, records of the Postmaster General's Department, and photographs of Darwin after tropical cyclone Tracy.

Performance measure 4

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

Targets	4% annual increase in public engagement with National Archives. Qualitative evaluation of the accessibility and engagement with the national archival collection, the channels used and cooperation with other stakeholders, using case studies.
Source	Portfolio Budget Statements 2021–22, page 274. National Archives of Australia <i>Corporate Plan 2021–22 to 2024–25</i> .
Delivery strategy	Connect Australians to National Archives and the national archival collection.
Result	Partially achieved.

Table 2: 2021–22 targets and results for visitation

Target	Result
Onsite visitors (104,000)	Partially achieved (33,784)
Offsite visitors (115,000)	Partially achieved (61,841)
Online visits to our websites (4,160,000)	Achieved (6,549,130)
Social media engagements (520,000)	Achieved (679,351)
Potential media audience (12,480,000)	Achieved (82,400,132)
Online interactions with RecordSearch (3,016,000)	Achieved (2,873,369)
New digitised images made available online (2,600,000)	Achieved (4,733,627)
New digitised items made available online (104,000)	Achieved (455,392)

Analysis of performance

Onsite and offsite visitation targets were significantly impacted by nation-wide COVID-19 lockdowns, restrictions and the general public's apprehension to engage in face-to-face public engagement programs and services once National Archives offices reopened. However, a positive increase in onsite and offsite visitation was observed in the second half of the year, although has not yet returned to pre-COVID-19 levels.

There was a noticeable increase in online engagements with National Archives' websites. Social media channels outperformed targets, while interactions with RecordSearch was marginally lower than the target. The number of images and items digitised and made available to the public significantly exceeded targets.

Impact of COVID-19

With the impact of COVID-19 lockdown and ongoing restrictions, National Archives developed different approaches to ensure the ongoing delivery of public engagement programs and services. Onsite and offsite programs planned for the first half of 2021–22 were rescheduled, while delivery of online public engagement and services increased.

It was a challenging year for visitor engagement at the National Office, with approximately 3 months of COVID-19 lockdowns disrupting development and delivery of public engagement programs and services. Nonetheless, the last 2 quarters saw a strong recovery by all measures, supported by the delivery of 2 well-received National Archives exhibitions, *Marion: the other Griffin* and *Reception this way – motels: a sentimental journey with Tim Ross*.

For the period 11 February to 8 May 2022, the Marion exhibition received 6,829 visitors, and 449 people attended associated lifelong learning programs. For the period 27 May to the end of the financial year, *Reception this way* received 3,376 visitors, and 297 people attended associated lifelong learning programs.

The National Office was closed from 13 August to 31 October 2021, due to the ACT's COVID-19 lockdown. Visitor numbers remained low from November 2021 through to January 2022 due to weekend closures, closure to the public over the Christmas shutdown period and protest action in the Parliamentary Triangle. Additionally, due to the ongoing impact of COVID-19 restrictions and the impact on staff availability, the decision was taken to close Gallery 3, the temporary exhibition gallery, from 22 November 2021 to 10 February 2022. This closure contributed to the slow recovery post lockdown.

From February, visitation to the National Office increased. Delivery of lifelong learning and school programs recommenced in March 2022. In the final 3 months of 2021–22, lifelong learning programs at the National Office reached similar attendance figures to the period between the 2020 and 2021 lockdowns. The Australian curriculum school programs reached an 80% equivalence to school attendees for the entire 2020–21 financial year.

Access examination

Records are released in response to applications for access from the public, or as part of National Archives' program of proactive release. In 2021–22, 622,573 records were access examined for release. Of those, 595,121 records were examined proactively and 27,452 were examined in response to applications for access by the public.

The Archives Act 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 Archives Act. Before they are released, records are examined for any information that should be exempt. When required, policy agencies are consulted to inform the assessment process.

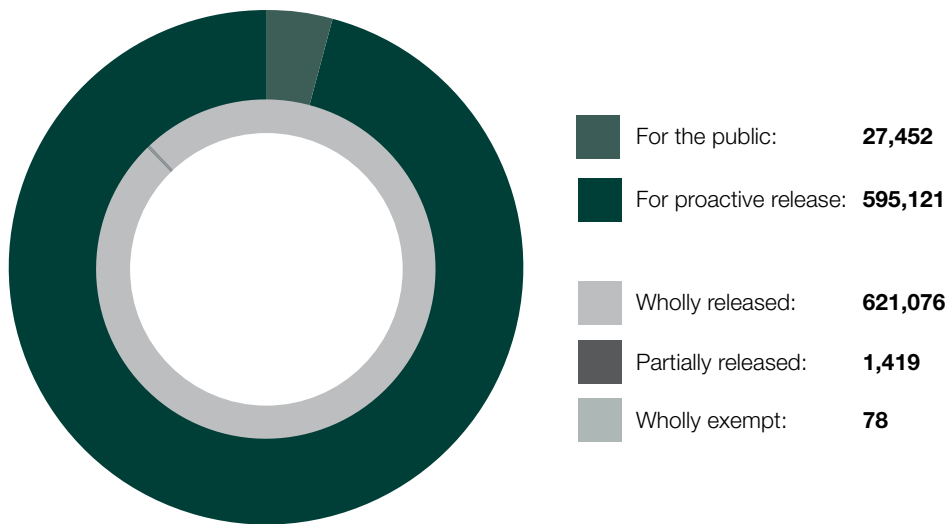
Proactive release of records

National Archives has a program of proactively examining records that supports the delivery of public engagement programs and services onsite, online and offsite. The 595,121 proactive releases included Second World War service records, Tasmanian light stations, index cards from the migrant reception and training centre Bonegilla, bankruptcy and sequestrations orders, war service homes standard designs, Australian National Railways correspondence, civil aviation correspondence, First World War medical files, Air Force pay histories, logbooks of ships arriving in South Australia, plans of Mascot airport and key Cabinet records from 2001.

Applications from the public

In 2021–22, National Archives received 33,522 new applications for access to records and released 27,452 records that were subject to applications from the public. In some cases, more than one applicant may apply for access to a record, and therefore the examination of a single record may complete more than one application. There were also 19,765 existing applications for access to records. See Figure 4 for the number of records access examined and decisions on access made in 2021–22.

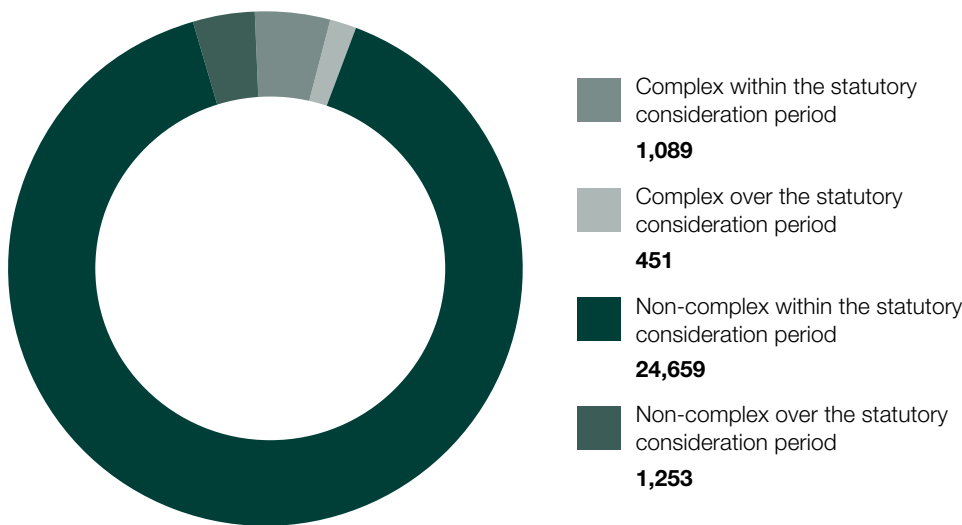
Figure 4: Number of records access examined and decisions on access, 2021–22



The standard time (statutory consideration period) for access examination is 90 business days for public applications. In 2021–22, 19,070 records were released within the statutory

consideration period. Of the 1,704 where the access examination was over the statutory consideration period 451 were non-complex cases and 1,253 were complex cases. See Figure 5 for the time taken for access examinations.

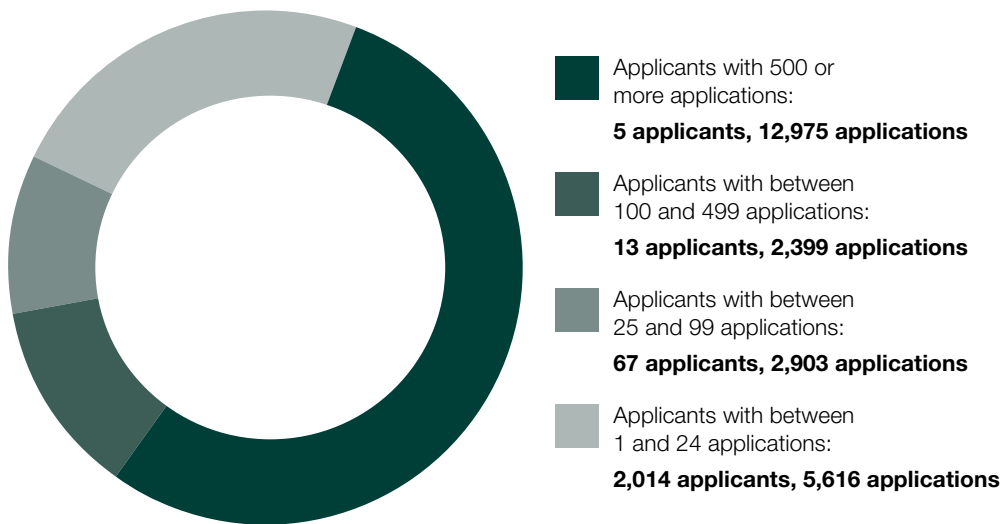
Figure 5: Time taken for complex and non-complex access examinations. 2021–22



National Archives manages the flow of examination to ensure that high-volume requests do not disadvantage access to records for most researchers.

A small number of researchers account for a large number of applications. For example, 5 applicants account for 12,975 applications. Figure 6 provides a breakdown of the number of applications requested by the high-volume applicant group.

Figure 6: Number of applications by applicant group at 30 June 2022



The application cap, which came into effect with legislative amendments in April 2019, has reduced the impact of those high-volume applications, 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.

At 30 June 2022, there were 2,910 records relating to 6,461 applications on referral to agencies for advice on continuing sensitivity. There were 17,334 applications yet to be processed, a significant proportion of which were for records that require referral to the Department of Foreign Affairs and Trade. See Table 3 for the number of records on referral to agencies at 30 June 2022.

Table 3: Records on referral to agencies at 30 June 2022

Records currently on referral to agencies	Number of records
Attorney-General's Department	33
Australian Federal Police	30
Australian Security Intelligence Organisation	299
Department of Defence	451
Department of Foreign Affairs and Trade	1,673
Department of Home Affairs	44
Department of the Prime Minister and Cabinet	237
Office of National Intelligence	128
Other	15
Total	2,910

At 30 June 2022, there were 21,590 current applications from the public for access to records pending examination.

National Archives continues to manage the queue of applications in addition to responding to new requests for access. See Table 4 for application progress statistics.

Table 4: Application progress, 2010–11 to 2021–22

Financial year	Records released without exemption (%)	Records released with some exemptions (%)	Records wholly exempt (%)	Records withheld pending advice from agencies (%)	Applications withdrawn by applicant (%)	Applications still to be processed* (%)	Total applications received
Business as usual							
2021–22	79.7	5.0	0.4	2.4	1.8	10.8	34,100
Backlog (To be examined under Measure 3.2)							
2020–21	81.5	7.2	0.9	1.1	6.7	2.7	47,177
2019–20	86.0	7.3	0.2	0.7	4.5	1.3	45,297
2018–19	87.0	7.7	0.5	0.7	2.0	2.3	46,298
2017–18	82.3	8.5	0.5	1.1	1.7	6.0	43,325
2016–17	72.9	11.5	0.6	0.7	10.5	3.9	46,613
2015–16	83.5	9.5	1.3	0.9	3.1	1.7	53,477
2014–15	76.7	16.6	1.0	1.5	2.3	1.9	56,112
2013–14	79.9	10.3	0.9	1.2	4.0	3.7	60,607
2012–13	83.9	9.8	0.6	1.5	3.7	0.4	48,228
2011–12	81.6	10.1	0.9	1.4	2.8	3.1	57,914
2010–11	84.0	11.3	0.5	0.3	3.9	0.0	44,927

Performance measure 5

Exploit new and emerging technology, with contemporary approaches to governance, to modernise the operation of National Archives.

Targets	Qualitative evaluation of the effectiveness and refinement of changes to the technologies and governance framework, using case studies. Application and implementation of amendments to the <i>Archives Act 1983</i> to modernise its operations, subject to Government agreement.
Source	Portfolio Budget Statements 2021–22, page 275. National Archives of Australia <i>Corporate Plan 2021–22 to 2024–25</i> .
Delivery strategy	Innovate to develop National Archives’ capability and capacity to lead archival change in the digital age.
Result	Partially achieved.

Analysis of performance

Modernisation of corporate governance

In 2021–22, National Archives continued its efforts to modernise National Archives’ corporate governance processes. This included:

- enhancing improvements to information governance, policy and practices by developing and increasing the use of guidance documentation, templates and checklists, all of which streamlined processes and maximised efficiencies
- improving internal communications within the organisation by providing information more regularly and in a timely manner on the National Archives’ intranet, enabling staff to better understand their obligations and where to seek guidance and assistance
- minimising the impact of COVID-19 restrictions on critical operations through flexible working arrangements and by using technology while balancing the work, health and safety needs of staff
- continuing to implement the *Risk Management Framework* and *Policy communication plan*, and ensuring that the strategic and operational risk registers continue to be reviewed and updated in a proactive manner.

National Archives has sought for many years to amend its legislation. Working with the Attorney-General’s Department, National Archives has identified proposed amendments to the Archives Act that will complement its digital transformation program and provide certainty around its functions, powers and responsibilities. The application and

implementation of amendments to the Archives Act to modernise its operations are subject to Government agreement. National Archives will continue to progress proposed legislative amendments in 2022–23.

Performance measure 6

Implement and maintain an integrated end-to-end digital archival solution.

Targets	<p>Deliver the implementation of the IAMS preservation platform, and search and discovery phases by 30 June 2022.</p> <p>Qualitative evaluation of integrations and implementation of phases of the IAMS, using case studies.</p>
Source	<p>Portfolio Budget Statements 2021–22, page 275.</p> <p>National Archives of Australia <i>Corporate Plan 2021–22 to 2024–25</i>.</p>
Delivery strategy	Innovate to develop National Archives' capability and capacity to lead archival change in the digital age.
Result	Achieved.

Analysis of performance

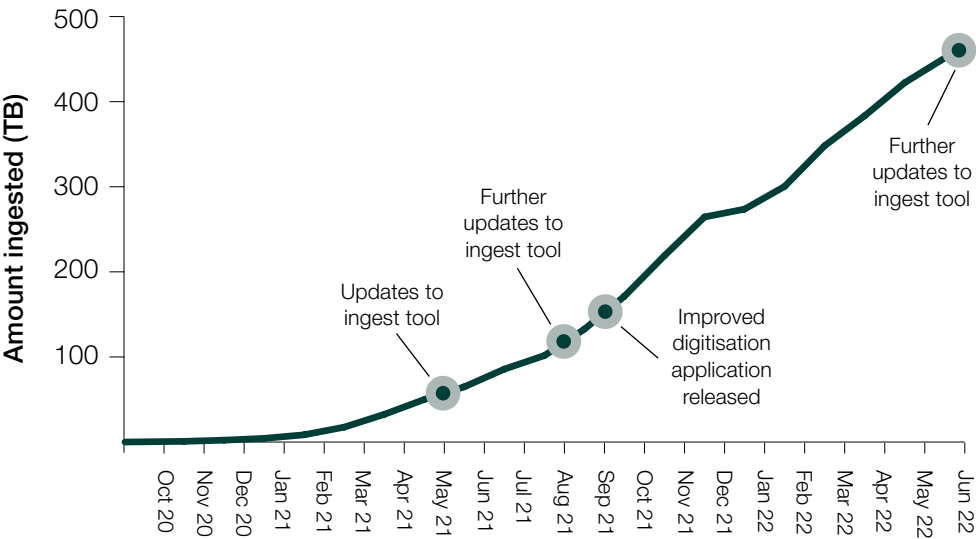
In 2021–22, the IAMS program delivered Preservica, a specialist digital preservation platform, and Nyanyi, a new collection discovery platform for staff. Essential infrastructure, hardware and software upgrades were also delivered on time to support implementation of the IAMS. This allowed improvements to be realised quickly in collaboration with business areas.

Case study: Improving transfers into the digital preservation system

Preservica is the digital preservation system for National Archives. More than 13 million digital records (over 500 TB of digital collection items) have been ingested (uploaded) into Preservica since its implementation in October 2020 as part of the IAMS program.

Implementing Preservica in phases, starting with a basic capability, allowed additional features to be developed, tested and released to business areas quickly. The next focus was increasing the ingest rate to meet National Archives' increasing digitisation activities by improving both tools and business processes. The increase in ingest rates shown in Figure 7 was achieved following updates to the ingest tool, which increased processing capability.

Figure 7: Preservica ingest progress: qualitative evaluation



An improved digitisation application released in August 2021 resulted in significant automation and efficiencies for digitisation of records, including validating and directing digital collection items to Preservica for upload. National Archives has almost completed the migration of 250 TB of legacy digital records into Preservica.

Developing the staff collection discovery platform: Nyanyi

The staff collection discovery platform was transformed under the IAMS program. Called ‘Nyanyi’ (pronounced *nyun-yi*), which means ‘search for’ in Warlpiri, the platform is a powerful search tool for staff to respond to complex reference enquiries from the public.

In 2021–22, Nyanyi was customised to meet specialist archival requirements. New features were released to staff for testing, while additional features for the next release were developed. The first release provided the foundations for staff to search the collection using different levels: Items, Series, Agencies, Commonwealth Persons and Organisations. New releases were promoted to staff, and feedback sought on future improvements.

Nyanyi uses contemporary search technology and provides improved capabilities, including display of full search results, ranking of results according to relevance, custom facets to filter results, faster processing and searching of other archival systems such as Preservica. Other improvements include a new ‘gallery viewer’ for viewing and downloading collection images.

Improving online transfer and ingest of government agency data

The IAMS program team completed 2 trials to evaluate and improve online transfer capabilities.

Sample digital data from the Parliamentary Document Management System (PDMS) was ingested into National Archives' digital preservation platform. PDMS is used by over 54 Australian Government agencies to manage their parliamentary documents. The trial identified areas where the transfer process can be streamlined to reduce the number of steps and manual processes involved. A key challenge is to improve the current methods designed for physical collection items to harness system-generated information to describe and search for parliamentary documents.

Access to records in the national archival collection is based on metadata provided by Australian Government agencies. When assessing PDMS, the IAMS team discovered that additional metadata available in the system could be extracted and provided to National Archives. This has provided an opportunity to develop reusable design decisions to improve the quality of metadata available for search and will lead to improving access to records in the collection.

Financial performance

National Archives receives ongoing funding from the Australian Government to secure, preserve and make available Australian Government records of enduring significance. The collection under its management incurs a substantial depreciation and amortisation expense which is not funded and means that National Archives will report a deficit for the year.

In 2021–22, excluding depreciation and amortisation, National Archives had a surplus of \$20.99 million, \$3.44 million over budget of (\$24.43 million). National Archives remains in a sound financial position largely due to the increase in funding provided by the Defend the Past, Protect the Future measure in 2021–22 for 4 years. While this measure was announced this year, some 2021–22 funding will be reported in 2022–23. Including unfunded depreciation and amortisation, National Archives recorded a net deficit of \$13.86 million, \$3.47 million over a budgeted deficit of (\$10.39 million), and total comprehensive loss of \$13.24 million.

Statement of comprehensive income

Income

Total income for 2021–22 was \$83.91 million, \$4.24 million over budget (\$79.67 million) and an increase of \$3.22 million over 2020–21. The increase in income was primarily due to the intake of records from other agencies of \$11.02 million, \$0.95 million over budget (\$10.08 million) and \$3.10 million in additional appropriation associated with the preserving

Australia's cultural heritage budget measure (Defend the Past, Protect the Future). While a further \$7.2 million appropriation funding was announced in MYEFO 2021–22, due to timing of passage of appropriation bills, this funding will be recognised in full in 2022–23.

Expenditure

Total operating expenditure was \$97.77 million, \$7.71 million over budget (\$90.06 million) and \$6.46 million more than 2020–21. The increase in expenditure related to supplier costs being \$8.14 million over budget (\$8.33 million) as a result of engaging contractors associated with delivering on Defend the Past, Protect the Future.

Balance sheet

Assets

Total assets at 30 June 2022 were \$2.05 billion, a reduction of \$12.66 million from 2020–21. The net decrease was driven by reduction in lease right-of-use assets (\$21.41 million) offset by asset additions (\$8.53 million).

Liabilities

Total liabilities were \$485.37 million as at 30 June 2022, a decrease of \$12.83 million from 2020–21. The decrease reflects the reduction in lease liabilities (\$13.27 million) offset by provisions of \$0.20 million.

Equity

Total equity at 30 June 2022 was \$1.57 billion, a marginal increase of \$0.17 million from 2020–21. The net increase was driven by an increase in the contributed equity (\$13.41 million) which was almost completely offset by the operating result deficit for 2021–22 (\$13.86 million). While a further \$4.0 million appropriation funding was announced in MYEFO 2021–22, due to timing of passage of appropriation bills, this equity funding will be recognised in full in 2022–23.

PART 3

MANAGEMENT AND ACCOUNTABILITY

Governance

National Archives' Corporate Governance Framework outlines the key authorities, principles and processes required for embedding good governance across the agency. It incorporates National Archives' legislative and policy obligations, and acts as a principled guide to achieve agency-wide understanding and implementation of governance.

Governance structure

The main governance bodies of National Archives as at 30 June 2022 are the Executive Board and 5 supporting governance committees. An important objective of the committees is to provide assurance and recommendations to the Executive Board, enabling risk-based decision-making consistent with the strategic direction of National Archives.

Executive Board

The Executive Board is National Archives' principal governance and decision-making body. It provides overall corporate governance and ensures National Archives' activities are aligned with its strategic goals. The Executive Board meets monthly. It is comprised of the Director-General (Chair); Chief Operating Officer; Assistant Director-General, Access and Public Engagement; Assistant Director-General, Collection Management; and Assistant Director-General, Data and Digital.

Audit and Risk Committee

The Audit and Risk Committee provides independent advice to the accountable authority, the Director-General, and assists him to meet his duties and obligations. The Committee provides advice on financial reporting, performance reporting, systems of risk oversight and management and systems of internal control.

Its charter is available online at naa.gov.au/about-us/our-organisation/accountability-and-reporting/audit-and-risk-committee-charter. The Committee met 6 times in 2021–22 to:

- review the financial statements and provide advice to the Director-General, including recommending the statements be signed by the Director-General
- review the performance statements and provide advice
- review the systems and processes for preparing financial reporting information and the inclusion of the financial statements in the annual report
- review system of risk oversight and management
- review system of fraud control and internal control

- review internal and external audit reports and track the implementation of recommendations
- facilitate communication between the department and the Australian National Audit Office.

Members

Table 5: Audit and Risk Committee members, 2021–22

Member	Qualifications, knowledge, skills or experience		
Geoff Knuckey	<p>Geoff Knuckey was appointed to the Audit and Risk Committee in 2011. He has extensive experience as an audit committee member and chair in the public and private sectors. In 2009, after a 32-year career with Ernst & Young he became a full-time company director and member of audit committees. Mr Knuckey has a Bachelor in Economics, and is a Fellow of the Institute of Chartered Accountants Australia (FICA), Graduate of the Australian Institute of Company Directors and a registered Company Auditor.</p>		
	Number of meetings attended	Total annual remuneration (GST inc)	Additional information
	6/6	\$11,000	Committee Chair
Dr Wendy Southern	<p>Dr Wendy Southern is a retired senior public servant. She has been a member of the Audit and Risk Committee since February 2021. She previously held the roles of Deputy Director-General at the Australian Security Intelligence Organisation and Deputy Secretary at both the Department of Health and the Department of Immigration and Border Protection. Her responsibilities ranged across strategic policy, program management, organisational reform and governance and corporate management.</p>		
	Number of meetings attended	Total annual remuneration (GST inc)	Additional information
	6/6	\$18,000	Member

Member	Qualifications, knowledge, skills or experience		
Dr. Margaret Wade	Dr Margaret Wade FCPA was a member of the Audit and Risk Committee from 2015 to December 2021. She has also served as an independent member of numerous audit committees since 1990. Prior to her retirement in 2005, she was a tenured member of staff at the University of Canberra.		
	Number of meetings attended	Total annual remuneration (GST inc)	Additional information
	4/6	\$4,800	Member, until 31 January 2022
Janine McMinn	Janine McMinn has over 32 years' experience in internal audit and information technology, and was Internal Audit & ICT Security Partner at Oakton before she retired. She has worked with several large and small federal government clients and has gained practical experience of the issues faced by government agencies in achieving outcomes. She is currently serving on audit and risk committees for both commonwealth and state entities, and is a member of the Audit and Risk Committee for the Australian National University.		
	Number of meetings attended	Total annual remuneration (GST inc)	Additional information
	2/6	\$6,000	Member, commenced on 28 February 2022.

Project Assurance Committee

The Project Assurance Committee provides assurance to the Executive Board and Director-General about the management of significant or complex projects being undertaken by National Archives by monitoring projects to ensure:

- adequate project management measures are in place
- projects remain within approved scope, or that scope change is managed
- projects are meeting scheduled outcomes; in particular, monitoring budget variance and schedule variance against project plans

- change initiatives address and achieve strategic objectives
- pre-commencement and emerging risks are identified and mitigated
- resource or priority conflicts that may adversely affect project performance are identified early, addressed and resolved
- potentially conflicting resource demands between projects and business-as-usual requirements can be managed and coordinated at an organisational level
- any ongoing requirements for financial and human resources following completion of the project are identified and addressed.

The Committee Chair is Clive Lines (external appointment), and the members are Rochelle Fittler (external member) and the Chief Operating Officer. The Project Assurance Committee met 5 times in 2021–22.

Security Committee

The Security Committee is an advisory body that ensures National Archives is implementing effective security strategies, programs and measures to protect National Archives on security matters relating to physical, personnel, information and governance.

The Committee Chair is the Chief Operating Officer, and the members are Director, Cyber Security, and Director, Property and Security. The Security Committee met 4 times in 2021–22.

Workplace Relations Committee

The Workplace Relations Committee is a consultative forum to seek views from employees on employment-related matters. It supports open communication and consultation between management and employees on the development and review of employment-related policies and matters that have significant impact across National Archives.

The Committee Chair is the Chief Operating Officer, and members are the Director, People and Culture, up to 2 management representatives nominated by the Director-General, and up to 4 employee representatives, including a state office representative. The Workplace Relations Committee met 3 times in 2021–22.

Information and Data Governance Committee

The Information and Data Governance Committee provides oversight, assurance and direction for National Archives' response to meeting whole-of-government policies and standards for information and data governance. The Committee is responsible for the governance of National Archives information and data assets. It makes strategic information governance decisions; ensures a consistent and systematic whole-of-agency approach to

managing information; ensures coordination of governance activities for information and data assets including the development of frameworks, policies, controls and standards; and monitors the effectiveness of information and data governance activities.

The Committee Chair is the Assistant Director-General, Data and Digital, and the members are Assistant Director-General, Access and Public Engagement; Chief Information Governance Officer; Director, Collection Operations; and Director, Corporate Governance and Risk. The Information and Data Governance Committee met 4 times in 2021–22.

Corporate governance and risk

Corporate governance

National Archives' work program focuses 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.

In 2021–2, National Archives continued to improve its governance practices by developing and increasing the use of guidance documentation, templates and checklists to streamline its processes and maximise efficiencies.

Risk management

In 2021–22, National Archives' Strategic Risk Register was reviewed, and the identified risk and risk factors were updated. Risk tolerances were revised, and causes, consequences and controls were updated in relation to key risk areas.

Four specific risk registers – Business Continuity, Fraud and Corruption Control, Security, and Information Governance – were also reviewed.

As part of educating staff and promoting awareness of risk management, training workshops were held, and risk awareness cards were provided to all staff.

Internal audit

National Archives' Internal Audit Framework is delivered by contracted professional auditors in consultation with the Executive Board. Audits are based on strategic priorities, risk management and governance controls. In 2021–22, internal audits were conducted or finalised on:

- IT Strategy and Data Strategy
- Digital Archives Innovation and Research

- Review of Performance Measurement and Reporting
- Collection Management Phase 2
- Digital Programs / Digital Outreach.

Fraud measures

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

In early 2021–22, consistent with the *Public Governance, Performance and Accountability Rule 2014*, National Archives finalised a fraud and corruption risk assessment that had commenced in 2020–21. No instance of fraud was reported in 2021–22.

Ethical standards

National Archives operates a program of mandatory online learning for staff to understand ethical standards and behaviour expectations. The program schedule includes courses such as protective security, fraud awareness and Commonwealth resource management. New staff also participate in an induction program that includes training on ethical standards.

Freedom of Information

In 2021–22, National Archives received 13 valid freedom of information (FOI) requests. The results of those requests were as follows:

- 12 requests were finalised within the required timeframe, granting access either in full or in part
- 1 request was still being processed as at 30 June 2022.

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.

National Archives complies with the requirement to public 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 National Archives' website at naa.gov.au.

Privacy

National Archives has a privacy policy and a privacy management plan consistent with its obligations under the Privacy (Australian Government Agencies – Governance) APP Code 2017. National Archives has one ongoing matter that is listed with the Information Commissioner. In 2021–22, National Archives received 6 Privacy Impact Assessments for review, all of which were finalised within the financial year.

Information governance

National Archives aims to be forward-looking and innovative, employing best practice approaches for the management of information and data assets. This includes implementing its *Building trust in the public record policy* and the Information Management Standard for Australian Government as well as meeting other whole-of-government requirements.

National Archives' Information and Data Governance Framework:

- affirms 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
- ensures that its information and data management practices meet legal obligations, accountability requirements, business needs and stakeholder expectations.

In 2021–22, National Archives continued to strengthen its information governance framework, policies and processes. A revised Information and Data Governance Framework was issued. Progress was made on meeting the targets identified in the *Building trust in the public record policy* and the Foundational Four requirements of the Office of the National Data Commissioner, with planned targets met.

Implementation of National Archives' *Data strategy 2020–2022* is in progress, with a new data strategy for the next 3 years under development. A Digital Asset Register was established and improved with branch dashboards, and requirements for managing information when working with Microsoft Office (M365) were assessed.

External engagement

Multicultural access and equity

National Archives continues to develop and deliver programs that contribute to a shared understanding and appreciation of Australia's diverse heritage. A plan of initiatives to increase multicultural access and equity in 2021–22 focused on staff awareness of cultural diversity, exhibitions, projects featuring shared documentary history with partner countries, and writing information in plain English.

Initiatives during the year included a focus on training, publication, collection analysis, exhibitions and events. These initiatives featured records in permanent exhibitions that tell stories of Australia's diverse heritage. In 2021–22, National Archives:

- held events that engaged a culturally diverse audience, such as the NAA Members reference workshop 'Finding families in the NAA collection', which had a key focus on immigration records
- participated in the Dutch-Australian Shared Histories project supported by the Embassy of the Kingdom of the Netherlands, involving the identification, digitisation and promotion of Dutch-Australian migrant records
- collaborated with the Bonegilla Migrant Experience, supported by the Wodonga City Council, involving arranging the registration of migrant registration cards
- built a strong relationship with Black Diasporas Melbourne project to connect African-Australian communities with the collection
- promoted exhibitions and content relevant to a culturally diverse audience, such as the *Lasting impressions: love, family and the White Australia Policy* exhibition featuring early migrant stories, which was promoted to the local audience in Western Australia
- continued to provide translated reference services via telephone
- actively identified opportunities to rewrite website content in plain English for maximum accessibility regardless of background
- increased publication of blog stories featuring migrant journeys and experiences.

Recognising and respecting First Nations heritage

Reconciliation Action Plan

In November 2021, the National Reconciliation Conference was held for the first time in over 20 years. A landmark event, the conference was held over 3 days, with 30 sessions, all of which were conducted virtually, bringing together almost 100 speakers from around the world.

Two members of the Reconciliation Action Plan Working Group (RAP Working Group) attended the conference and key information was provided back to National Archives.

A refreshed RAP Working Group, comprised of staff from around Australia, held their first meeting in June 2021 to set priorities for the upcoming year, including key calendar events.

As part of recognising and respecting First Nations peoples' heritage, key activities took place. During National Reconciliation Week, teams in offices across Australia held morning teas and were encouraged to focus on identifying Country, both for their workplace and home. The week concluded with internal and external messaging to promote the theme of reconciliation as a personal action.

The RAP Working Group ran a successful internal NAIDOC Week campaign for all staff, with a high level of participation and positive feedback. This campaign focused on the history of NAIDOC Week, as well as celebrating and sharing information about First Nations events across Australia and the Torres Strait Islands.

National Archives also promoted key Aboriginal and Torres Strait Islander events throughout the year on all social media channels, promoting significant historical documents dates. It also presented its Constitution Day Forum, which discussed the recognition of Indigenous peoples and a Voice to Parliament.

Work continues toward finalising the *Innovation RAP 2022–24*, with key deliverables continuing to be met, including:

- building relationships by celebrating National Reconciliation Week
- building respect for Aboriginal and Torres Strait Islander cultures and histories by celebrating NAIDOC Week
- promoting reconciliation through National Archives' sphere of influence
- communicating National Archives' commitment to reconciliation externally, specifically through its website, social media channels and scheduled public talks
- exploring opportunities to positively influence external stakeholders to drive reconciliation outcomes
- promoting positive race relations through anti-discrimination strategies
- including information on the website of the Traditional Custodians of the places where each National Archives' state and territory office is located, as well as the Aboriginal and Torres Strait Islander peoples' history of the site
- demonstrating respect to Aboriginal and Torres Strait Islander peoples by observing cultural protocols
- establishing and maintaining an effective RAP Working Group to drive governance of the Reconciliation Action Plan.

Engagement with Aboriginal and Torres Strait Islander peoples

In 2021–22, National Archives continued to engage with Aboriginal and Torres Strait Islander peoples.

In August 2021, the 'Discovering kin and Country' all-day workshop about researching Aboriginal family history was held. It was jointly presented by National Archives' South Australia office, State Records South Australia, South Australian Museum and Nunkuwarrin Yunti of South Australia. There were 206 onsite registrations and over 105 people attended online.

National Archives provided training and information about its services, programs and resources throughout 2021–22, including training workshops to:

- 31 people from the Victorian Aboriginal Community Controlled Health Organisation, Social and Emotional Well-Being staff, Bringing Them Home workers, and Link-Up Victorian Aboriginal Child Care Agency in December 2021
- Gunaikurnai Land and Waters Aboriginal Corporation, which included an online tour of National Archives' website information and resources.

The Bringing Them Home name index is used for linking individuals with family and community. In 2021–22, 162 inquiries were received, 371 names searched and 917 names found. Information provided also supported a Link-Up family reunion. A total of 84 Memorandum of Understanding access applications were received for family and community history information.

Training was provided on the use of the Bringing Them Home name index to family history staff of the Australian Institute of Aboriginal and Torres Strait Islander Studies, Link-Up staff of Northern Territory Stolen Generations Aboriginal Corporation, and Central Australian Aboriginal Congress.

Upgrades to the Bringing Them Home name index were completed also in 2021–22 to ensure the index remains on a secure platform so that Aboriginal and Torres Strait Islander peoples are able to access relevant records to connect to their family and community.

National Archives acknowledges support of John T Reid Charitable Trusts to undertake deeper engagement with Aboriginal and Torres Strait Islander peoples, organisations and communities from 2022 to 2024. As a result, a non-ongoing APS Level 5 Aboriginal and Torres Strait Islander Project Engagement Officer was engaged in April 2022 and has commenced engagement with Aboriginal organisations in Darwin.

The Northern Territory Aboriginal Advisory Group met 3 times in 2021–22. On 22 November 2021, papers were presented and discussed on the Aboriginal and Torres Strait Islander Engagement section and Defend the Past, Protect the Future program's collection consolidation. On 27 April 2022, the group received an update about the Northern Territory office collections consolidation and provided comments about Indigenous-related collections. The group met the new Director-General on 1 June 2022.

A Memorandum of Understanding was signed in February 2022 between National Archives and National Indigenous Australians Agency (NIAA) for research services and provision of records for the Territories Stolen Generations Redress Scheme. The MOU provides for a 0.5 part-time staff resource funded by NIAA, working on related inquiries and providing copies of records for claims.

In April 2022, National Archives forwarded a letter of condolence to family on the passing of Aunty Kathy Mills, valued former member of the Northern Territory Aboriginal Advisory Group from 2010 to 2017. National Archives acknowledged her insightful contributions to archival issues related to Aboriginal and Torres Strait Islander peoples.

External scrutiny

Australian National Audit Office

The Australian National Audit Office did not undertake any reports on operations of National Archives in 2021–22.

Commonwealth Ombudsman

The Commonwealth Ombudsman did not undertake any investigations in relation to National Archives in 2021–22.

Administrative Appeals Tribunal

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 2021–22, the AAT received 19 new appeals, and 21 were carried over from 2020–21 financial year.

National Archives attended hearings for 2 AAT matters during the year. The AAT has reserved its decisions in these matters while it considers the evidence and exempted information.

The AAT affirmed 2 decisions made by National Archives, one applicant withdrew their application, and the AAT varied the decision in 2 matters and the records were released to the applicant. A total of 34 appeals remained before the AAT as at 30 June 2022.

Federal Court of Australia

There were no cases on matters relating to National Archives before the Federal Court of Australia in 2021–22.

High Court of Australia

There were no cases on matters relating to National Archives before the High Court of Australia in 2021–22.

Parliamentary committees

In 2021–22, National Archives provided submissions to the following committees and parliamentary inquiries:

- Current capability of the Australian Public Service – Senate Finance and Public Administration References Committee – September 2021
- Senate Standing Committee on Legal and Constitutional Affairs – Supplementary Budget Estimates – October 2021
- Senate Standing Committee on Legal and Constitutional Affairs – Additional Estimates – February 2022.

The Director-General appeared at hearings before the Joint Committee of Public Accounts and Audit and the Legal and Constitutional Affairs Committee to support evidence provided in the National Archives' submission.

Office of the Australian Information Commissioner

The Information Commissioner made no reports concerning actions taken by, or practices of, National Archives in 2021–22. National Archives has 2 ongoing matters that are with the Information Commissioner for consideration.

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. National Archives' total expenditure on external legal services for 2021–22 was \$519,548.

Significant non-compliance with finance law

No significant instances of non-compliance with finance law were recorded in 2021–22 that required reporting to the responsible minister in accordance with the *Public Governance, Performance and Accountability Act 2013*.

Our people

In 2021–22, National Archives updated several key workforce strategies that built on progress made in previous years, reinforcing our frameworks to guide attraction and retention, development, engagement and management of our people.

Staff profile, separations and employment

At 30 June 2022, the number of ongoing employees at National Archives was slightly higher than the number on the same date in 2021 (from 314 in 2021 to 324 in 2022). There were approximately 20% more temporary (non-ongoing and casual) employees on this date (from 66 to 79), due mainly to project work. The workforce was carefully managed within National Archives' constrained financial resourcing.

National Archives workforce demographics at 30 June 2022 are provided in the tables in Appendix B. In summary, National Archives' workforce:

- is predominantly female (58.8%)
- includes part-time (16.6%) and temporary (19.6%) workers to ensure flexibility to achieve its objectives
- is largely Canberra-based (71.7%) with 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 2021–22 was 11.9%, an increase from the 2020–21 rate of 6.8%. The separation rate includes all separations (terminations, resignations and retirements) excluding promotions and permanent transfers to other Commonwealth agencies. Approximately half of the separations were mature age employees and employees reaching retirement age leaving the workforce. As part of the Workforce plan 2021–25, a staff exit survey has been implemented to better understand other factors that may contribute to employee separations.

Instruments of employment

In 2021–22, National Archives' non-SES employees were covered by *National Archives Enterprise Agreement 2017–2020* and a determination made under section 24(1) of the *Public Service Act 1999* (PS Act), effective from 26 June 2020.

As at 30 June 2022, 4 Senior Executive Service (SES) employees were covered by individual determinations under subsection 24(1) of the PS Act.

No employees in National Archives had provisions for performance pay. Mandatory tables relating to National Archives' employment arrangements and salary details are provided in Appendix B.

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

Senior Executive Service remuneration

Remuneration for SES employees is governed by the APS executive remuneration management policy and National Archives' *Senior Executive Service remuneration policy*.

Base salaries are negotiated between the Director-General and individual SES employees under subsection 24(1) Determinations of the PS Act consistent with National Archives' *Senior Executive Service remuneration policy*. Each SES employee developed an individual work plan with the Director-General, which is assessed against a 5-point scale rating system.

A range of non-salary benefits are available to SES employees, including the provision of a laptop, tablet and mobile device; airline lounge membership; car-parking; and support for professional development. No bonuses are payable to SES employees.

Workforce strategies

Workforce planning

Building on the *Workforce plan 2021–25*, the *Workforce plan 2022–27* was released in 2021–22 to set an organisation-wide approach to strengthen workforce capability and achieve the outcomes outlined in *Strategy 2030: a transformed and trusted National Archives* and *National Archives Corporate Plan 2021–22 to 2024–25*.

Four key priorities were identified through research, data analysis and consultation with senior managers. These included uplifting recruitment and attraction strategies, strengthening retention, enhancing professional management capabilities, and amplifying digital skills.

The 2022–27 plan builds on key achievements of the previous plan, which include:

- the release of an inclusive employee value proposition
- a comprehensive review of recruitment and onboarding processes
- improvements to workforce data analytics and reporting
- the development or refresh of policies and initiatives, such as the Succession Planning Framework, *Capability implementation plan: leadership*, and Health and Wellbeing Program
- the implementation of a staff exit survey.

Inclusion and diversity

National Archives values and supports a diverse and inclusive workplace. It is committed to fostering a culture of belonging and empowerment, where its people's ability to contribute is maximised.

National Archives places a high value on reflecting the diversity of its clients and stakeholders and embracing the diverse skills, perspectives and experiences of its staff to improve service delivery. In 2021–22, National Archives launched the Diversity plan 2022–25, with a specific focus on increasing the representation of young people (aged less than 25 years), people with a disability and Aboriginal and Torres Strait Islander peoples.

The plan acknowledges that diversity is multifaceted and encompasses cultural backgrounds, ethnicity, age, gender identity, disability, sexual orientation, cultural sensitivities, religious diversity, language and education, as well as characteristics such as professional skills, working styles, location and life experiences.

In the 4 months from its launch to June 2022, 2 key actions of the plan were completed. These were the use of the Recruitability scheme for all vacancies as part of standard recruitment practices, and promoting National Archives as an inclusive and diverse workplace on its website, naa.gov.au.

The website outlines our commitment to diversity and inclusion as well as initiatives such as the Diversity plan, Reconciliation Action Plan, Tandanya Declaration and the Australian Breastfeeding Association information.

The diversity plan also includes nominating an Assistant Director-General Diversity Champion to lead diversity education and acceptance at National Archives.

In 2021–22, National Archives continued to build employees’ cultural capability. Online cultural awareness training packages developed by SBS were available to staff and built into the ongoing mandatory training program.

The table below details workforce representation of National Archives as at 30 June 2022.

Table 6: Workforce representation as at 30 June 2022

Diversity group	Workforce representation (%)
Women	58.8
Gender X	0.2
Mature age (>50)	40.2
Cultural and linguistically diverse (CALD)	19.6
LGBTIQ+	11% (from 2021 employee census)

Diversity group	Workforce representation (%)
Disability	5.5
Young people (<25)	4.7
Indigenous	1.2

In 2022–23, National Archives will implement other actions of the diversity plan to promote an inclusive culture, and to support employees in voluntarily disclosing and discussing information and participating equally in aspects of working life.

Disability reporting

Australia’s disability strategy 2021–2031 sets out a plan to change the lives of people with disability over 10 years, and the supporting *Employment targeted action plan* sets the target of 7% of employees with disability in the APS by 2024. This target is also included in the *Australian Public Service disability employment strategy 2020–25*. Inclusion and diversity workforce information, including but not limited to information relating to National Archives employees with disability, is publicly reported in the APS employment data release, and 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

National Archives supports employees to pursue learning and development opportunities to meet the professional needs of both National Archives and the employee. This maintains a high performing workforce that can achieve National Archives’ strategic goals. The focus of 2021–22 was on professional development capabilities such as leadership and management, communication, technical skills, mentoring and digital capabilities.

National Archives continued to provide a comprehensive suite of professional development programs as part of the corporate professional development calendar. Courses, seminars, workshops and in-house programs were delivered in partnership with external providers, the Australian Public Service Commission and the Attorney-General’s Department, with over 420 places filled. More than 1,000 e-learning programs were completed through the learning management systems. The most popular courses related to working with data, increasing effectiveness, communication skills and customer service.

In June 2022, the *Capability implementation plan: leadership* was finalised as part of the *Workforce plan 2022–27*. The capability implementation plan outlines National Archives’ approach to developing and strengthening leadership capability. It includes pathways

to build leadership capability, formally and informally, through on-the-job and off-the-job training and initiatives. National Archives continued its Leadership Program and Mentoring Program targeted at Executive Level employees in 2021–22.

The Studies Assistance Program provides employees with the opportunity to complete relevant study supported with financial assistance, study leave or both. In 2021–22, 13 employees accessed the Studies Assistance Program. Areas of study included information management, data management, library and information studies and history.

The challenges posed by the COVID-19 pandemic meant that National Archives had to move the delivery of its learning and development programs online. Although this commenced in the previous year, online training practices were refined and further cemented as business as usual in 2021–22. As a geographically dispersed agency, virtual delivery provided a consistent experience to all employees regardless of their location.

In 2021–22 employees undertook an approved program of online mandatory training to strengthen cultural and disability awareness and maintain compliance with regulatory requirements.

Performance management

National Archives' *Performance management policy* supported organisational performance and development by providing the opportunity to align individual standards, behaviours and professional development to organisational goals set out in National Archives' *Strategy 2030*, corporate plan and agency business plan. The policy applied to all employees and included mid-cycle check-ins and an end-of-cycle review. Work commenced on the review of the *Performance management policy*, and an updated policy is expected to be released in 2022–23.

Regular informal performance conversations were encouraged, and performance conversation guides were provided to assist employees to engage effectively in the performance management process. Resources were provided to managers to help them identify and address underperformance. Probation continued to be applied as a condition of engagement for all new ongoing and non-ongoing employees.

Health and Wellbeing Program

National Archives remains committed to providing and maintaining a safe and healthy working environment for all employees through workplace audits, support for injured and ill workers, and initiatives under the Health and Wellbeing Program.

In 2021–22, National Archives established the Health and Safety Committee (HSC) to facilitate cooperation between employees and management on work health and safety matters. The HSC met twice during the year and will meet at least 4 times annually.

National Archives provides an annual program of health and wellbeing activities to engage staff in healthier work practices. Activities during 2021–22 included influenza vaccinations, individual health checks, physical health activities and monthly wellbeing webinars.

In 2021–22, National Archives received no compensation claims. A total of 223 staff received the influenza vaccination. See Table 7 for National Archives' work health and safety performance statistics.

Table 7: Work health and safety performance, 2019–20 to 2021–22

Action	2021–22	2020–21	2019–20
Investigations conducted that relate to businesses or undertakings by National Archives, including any notices received under Part 10 of the <i>Work Health and Safety Act 2011</i> (WHS Act)	0	0	0
Incidents reported to Comcare under Part 3, Section 35 of the WHS Act	0	1	3
Investigations carried out, or notices given, under Part 10 of the WHS Act	0	0	0
Work-related incidents notifiable as per National Archives' work health and safety incident reporting and hazard management policy	0	14	11
Number of employees who received the influenza vaccination	223	212	265
Number of accepted compensation claims	0	0	3

National Archives' Health and Wellbeing Program was recognised by the ACT Healthier Work Program and maintained Platinum+ status in 2021–22.

National Archives continued to provide an Employee Assistance Program to employees and their immediate family members, to support both work-related and personal issues. Available services included career advice, manager assistance and financial counselling.

National Archives continued to monitor government health directions in relation to the changing COVID-19 pandemic and maintained hygiene and social-distancing arrangements. National Archives communicated regularly with employees where government health directions varied and continued to ensure a COVID-safe workplace and the delivery of services to the public and the Australian Government.

Environmental performance

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

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 2021–22, the impact of COVID-19 saw significant changes to workplace practices including the move to enhance digital platforms to support working from home arrangements. These arrangements allowed for flexible workplaces to support continued business operations. Due to the mandated closures and gradual return to work arrangements, staff and visitor presence in offices, research centres and galleries was significantly reduced across National Archives' facilities.

Although services such as waste, recycling and paper usage was reduced during this time, energy resources were sustained to ensure the continued preservation and security of collection material and heritage artefacts in temperature-controlled galleries and repositories.

National Archives continued to mitigate its impact on the environment by:

- implementing digital authorisations and workflow approvals and using follow-me printers
- 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
- working closely with landlords to maximise the efficiency of base building plant and control systems
- reviewing the agency's 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 as well as the room temperatures and relative humidity levels required for the long-term preservation of collection material housed in repositories
- 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 6 leased vehicles to ensure that operational requirements were effectively met while minimising any potential environmental impacts.

See Table 8 for National Archives' ecologically sustainable development and environmental performance statistics.

Table 8: Ecologically sustainable development and environmental performance, 2019–20 to 2021–22

Measure	2021–22	2020–21	2019–20
Electricity consumption (kWh)	3,489,892.91	4,763,669	3,960,123
Natural Gas consumption (MJ)	6,017,131.77	6,771,442	6,915,276
Solar energy generated (kWh) Qld & ACT	384,508.78	54,235	63,163
Reduction in CO2 emissions (kg) Qld & ACT	33,373.32	30,708	35,930
Paper used (reams)	432.00	1,458	1,429
Water consumption (kl)	5,392.81	17,106	18,129
Waste produced by ACT sites (kg)	9,184.00	28,713	12,877
Waste produced by non-ACT sites (kg)	152,750.00	21,250	15,546
Recycling – all sites (kg)	75,927.42	58,329	27,713

National Australian Built Environment Rating System energy rating

The National Australian Built Environment Rating System (NABERS) measures the environmental performance of buildings, tenancies and homes. It measures the energy efficiency, water usage, waste management and indoor environment quality and its impact on the environment. In June 2022, National Archives achieved a 6-star NABERS energy rating for the Peter Durack Building (National Archives Preservation Facility).

Asset management, purchasing and grants

Asset management

National Archives manages diverse and complex assets, including:

- the national archival collection
- building plant supporting critical infrastructure, such as low-temperature storage vaults
- intangible assets, such as digital copies of collection items
- fit out of office, storage, preservation and exhibition spaces
- preservation equipment
- high-quality digital imaging equipment and cameras
- exhibition infrastructure, and
- information technology infrastructure supporting corporate and archival systems.

Asset management policy

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 National Archives form part of the national archival collection. This irreplaceable collection is valued at more than \$1.5 billion.

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.

Curatorial and preservation policies for heritage and cultural assets can be accessed via National Archives' website at naa.gov.au.

Capital works

National Archives progressed significant capital works projects during 2021–22 to accommodate current and future operational needs, including:

- a specialised fit-for-purpose digitisation facility (located within an existing storage facility) to expand the capability to digitise at-risk collection items
- refurbishing the Research Centre at the National Office in Canberra, and developing a cross-functional space for venue hire, lifelong learning programs, events, and school holiday programs
- converting an underutilised space at the National Office in Canberra into a functional meeting space
- converting an existing office space at National Archives Preservation Facility, Canberra, to better enable workplace flexibility.

Purchasing

Procurement

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 2021–22, 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 National Archives' requirements. Open approaches to market included procurements of:

- preservation digitisation of paper and printed material records
- outsourced digitisation services for audiovisual format material
- delivery and implementation of Essential Eight Maturity level measures
- delivery and implementation of Microsoft 365 software platform
- provision of onsite digitisation at Mitchell repository
- provision of fit-out works for the digitisation hub
- provision of electricity supply to the Chester Hill repository.

Procurement initiatives to support small business

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.

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.

Contracts

Consultancy contracts

Annual reports contain information about actual expenditure on reportable consultancy contracts. Information on the value of reportable consultancy contracts is available on the AusTender website.

In 2021–22, National Archives entered into 9 new consultancy contracts, involving total actual expenditure of \$301,794. In addition, 2 ongoing consultancy contracts were active during the period, involving total actual expenditure of \$142,322.

Decisions to engage consultants were made in accordance with the *Public Governance, Performance and Accountability Act 2013* and related regulations, including the Commonwealth Procurement Rules and relevant internal policies. National Archives selects consultants via panel arrangements or by making an open approach to market.

Typical reasons for engaging consultancy services included a requirement for specialist or professional skills, independent research or assessment. Information on the value of reportable consultancy contracts is available on the AusTender website at tenders.gov.au.

Non-consultancy contracts

In 2021–22, National Archives entered into 120 new reportable non-consultancy contracts, involving total actual expenditure of \$30,123,528. In addition, 91 ongoing reportable non-consultancy contracts were active during the period, involving total actual expenditure of \$21,218,964.

Annual reports contain information about actual expenditure on reportable non-consultancy contracts. Information on the value of reportable non-consultancy contracts is available on the AusTender website at tenders.gov.au.

Organisations receiving reportable contracts

Organisations receiving amounts under reportable consultancy contracts or reportable non-consultancy contracts are listed on the Austender website at tenders.gov.au

Australian National Audit Office access clauses

No contract of \$100,000 or more (including GST) was let during 2021–22 that did not provide for the Auditor-General to have access to the contractor's premises.

Exempt contracts

In 2021–22, National Archives had no exempt contracts.

Advertising and market research

In 2021–22, National Archives did not conduct any media advertising or advertising campaigns.

Grant programs

Information on grants awarded by National Archives during 2021–22 is available at naa.gov.au.

PART 4

FINANCIAL STATEMENTS



INDEPENDENT AUDITOR'S REPORT

To the Minister for the Arts

Opinion

In my opinion, the financial statements of the National Archives of Australia (the Entity) for the year ended 30 June 2022:

- (a) comply with Australian Accounting Standards – Simplified Disclosures 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 2022 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 2022 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 Entity, 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 – Simplified Disclosures 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.

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



Racheal Kris
Senior Director
Delegate of the Auditor-General

Canberra
27 September 2022

GPO Box 707, Canberra ACT 2601
38 Sydney Avenue, Forrest ACT 2603
Phone (02) 6203 7300

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 2022 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.



Simon Froude
Director-General

23 September 2022



Bernadette Pont
Chief Financial Officer

23 September 2022

Statement of Comprehensive Income
for the period ended 30 June 2022

	Notes	2022 \$'000	2021 \$'000	Original Budget \$'000
NET COST OF SERVICES				
Expenses				
Employee benefits	1.1A	34,136	32,396	34,716
Suppliers	1.1B	16,466	11,651	8,330
Depreciation and amortisation	2.2	34,849	34,880	34,812
Finance costs	1.1C	11,956	12,255	11,951
Impairment loss on financial instruments		-	1	-
Write-down and impairment of assets		365	126	250
Total expenses		97,772	91,309	90,059
Own-source income				
Own-source revenue				
Revenue from contracts with customers	1.2A	1,720	2,143	1,670
Rental income	1.2B	338	328	332
Other revenue	1.2C	96	1,216	-
Total own-source revenue		2,154	3,687	2,002
Gains				
Intake of records from other agencies		11,024	13,344	10,075
Gains from asset sales		6	9	-
Other gains		28	-	-
Total gains		11,058	13,353	10,075
Total own-source income		13,212	17,040	12,077
Net (cost of)/contribution by services		(84,560)	(74,269)	(77,982)
Revenue from Government	3.1A	70,697	67,335	67,597
Surplus/(Deficit)		(13,863)	(6,934)	(10,385)
OTHER COMPREHENSIVE INCOME				
Items not subject to subsequent reclassification to net cost of services				
Change in asset revaluation reserve		620	46,910	-
Total comprehensive income/(loss)		(13,243)	39,976	(10,385)

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

Statement of Financial Position

as at 30 June 2022

	Notes	2022 \$'000	2021 \$'000	Original Budget \$'000
ASSETS				
Financial assets				
Cash		5,061	1,744	265
Trade and other receivables	2.1	10,994	18,707	19,978
Total financial assets		16,055	20,451	20,243
Non-financial assets				
Buildings ¹	2.2	440,990	462,402	438,929
Plant and equipment ¹	2.2	29,018	23,936	23,241
Heritage and cultural	2.2	1,525,555	1,521,320	1,490,194
Heritage and cultural digital	2.2	15,776	15,533	-
Software	2.2	3,605	3,790	2,645
Other intangibles	2.2	22,933	18,882	20,766
Inventories		140	111	145
Prepayments		626	934	761
Total non-financial assets		2,038,643	2,046,908	1,976,681
Total assets		2,054,698	2,067,359	1,996,924
LIABILITIES				
Payables				
Suppliers		2,982	3,122	2,588
Other payables	2.3	1,427	1,051	1,451
Total payables		4,409	4,173	4,039
Interest-bearing liabilities				
Leases	2.4	468,614	481,883	466,468
Total interest-bearing liabilities		468,614	481,883	466,468
Provisions				
Employee provisions	4.1	10,214	11,197	13,266
Other provisions	2.5	2,136	949	961
Total provisions		12,350	12,146	14,227
Total liabilities		485,373	498,202	484,734
Net assets		1,569,325	1,569,157	1,512,190
EQUITY				
Contributed equity		82,171	68,760	76,983
Reserves		429,926	429,306	382,397
Retained surplus		1,057,228	1,071,091	1,052,810
Total equity		1,569,325	1,569,157	1,512,190

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

1. Right-of-use assets are included in the following line items: Buildings, Plant and Equipment.

Statement of Changes in Equity
for the period ended 30 June 2022

	Notes	2022 \$'000	2021 \$'000	Original Budget \$'000
CONTRIBUTED EQUITY				
Opening balance				
Balance carried forward from previous period		68,760	60,732	68,972
Transactions with owners				
Equity injection - Appropriations		5,400	-	-
Departmental capital budget	3.1A	8,011	8,028	8,011
Closing balance as at 30 June		82,171	68,760	76,983
RETAINED EARNINGS				
Opening balance				
Balance carried forward from previous period		1,071,091	1,078,025	1,063,195
Comprehensive income				
Deficit for the period		(13,863)	(6,934)	(10,385)
Closing balance as at 30 June		1,057,228	1,071,091	1,052,810
ASSET REVALUATION RESERVE				
Opening balance				
Balance carried forward from previous period		429,306	382,396	382,397
Comprehensive income				
Revaluation	2.2	1,795	46,910	-
Re-measurement of provision	2.5	(1,175)	-	-
Closing balance as at 30 June		429,926	429,306	382,397
TOTAL EQUITY				
Closing balance as at 30 June		1,569,325	1,569,157	1,512,190

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

Cash Flow Statement
for the period ended 30 June 2022

	2022 \$'000	2021 \$'000	Original Budget \$'000
OPERATING ACTIVITIES			
Cash received			
Appropriations	79,448	73,543	67,173
Sale of goods and rendering of services	1,956	2,133	2,002
Net GST received	4,936	4,212	3,265
Other	15	1,112	-
Total cash received	86,355	81,000	72,440
Cash used			
Employees	35,075	34,138	34,441
Suppliers	21,524	16,639	11,446
Interest payments on lease liabilities	11,944	12,243	11,939
Section 74 receipts transferred to OPA	2,520	2,270	-
Total cash used	71,063	65,290	57,826
Net cash from/(used by) operating activities	15,292	15,710	14,614
INVESTING ACTIVITIES			
Cash received			
Proceeds from sales of non-financial assets	6	9	-
Total cash received	6	9	-
Cash used			
Purchase of non-financial assets	11,926	9,003	8,011
Total cash used	11,926	9,003	8,011
Net cash used by investing activities	(11,920)	(8,994)	(8,011)
FINANCING ACTIVITIES			
Cash received			
Contributed equity	15,670	8,028	8,011
Total cash received	15,670	8,028	8,011
Cash used			
Principal payments of lease liabilities	15,725	13,264	14,614
Total cash used	15,725	13,264	14,614
Net cash from/(to) financing activities	(55)	(5,236)	(6,603)
Net increase/(decrease) in cash held	3,317	1,480	-
Cash at the beginning of the reporting period	1,744	264	265
Cash at the end of the reporting period	5,061	1,744	265

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

Budget Variances Commentary

for the period ended 30 June 2022

The following table provides high-level commentary on major variances between the budgeted information for the National Archives as published in the 2021–22 Portfolio Budget Statements, and the final financial outcome as presented in accordance with Australian accounting standards.

Major variances are those relevant to an analysis of the performance of the National Archives and not focused merely on numerical differences between budget numbers and actual outcomes.

Explanation of major variances	Variance to budget		Affected line items
	\$'000	%	
The preserving Australia's cultural heritage budget measure (Defend the Past, Protect the Future - DPPF) was announced in MYEFO 2021–22. This measure included \$67.7 million of funding over four years, of which \$3.1 million of departmental appropriation was recognised in 2021–22, as well as \$5.4 million worth of departmental capital budget funding. The measure progressed during the year through additional contractors.	8,136	98%	Statement of Comprehensive Income, Suppliers
	3,100	5%	Statement of Comprehensive Income, Revenue from Government
	5,400	100%	Statement of Changes in Equity, Equity Injection
The Department of Finance's cash facility was not available to agencies as the implementation of administrative arrangement orders were taking effect 1 July 2022. Additional funds were drawn in advance by the National Archives to service operational needs.	4,796	1,810%	Statement of Financial Position, Cash
National Archives' triennial revaluation of plant and equipment saw increases to plant and equipment as well as make good provisions.	5,777	25%	Statement of Financial Position, Plant and equipment
	1,175	122%	Statement of Financial Position, Other provisions

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: 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 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 - including simplified disclosures for Tier 2 Entities under AASB 1060 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.

New Accounting Standards

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

Standard/ Interpretation	Nature of change in accounting policy, transitional provisions, and adjustment to financial statements
AASB 1060 <i>General Purpose Financial Statements – Simplified Disclosures for For-Profit and Not-for-Profit Tier 2 Entities</i>	AASB 1060 applies to annual reporting periods beginning on or after 1 July 2021 and replaces the reduced disclosure requirements (RDR) framework. The application of AASB 1060 involves some reduction in disclosure compared to the RDR with no impact on the reported financial position, financial performance and cash flows of the entity.

Taxation

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

Events After the Reporting Period

There were no events that occurred after the balance date that would affect the balances in the Financial Statements.

Breach of Section 83 of the Constitution

There have been no known breaches of Section 83 of the Constitution for the reporting period.

Financial Performance

This section analyses the financial performance of the National Archives for the year ended 30 June 2022.

1.1: Expenses

	2022 \$'000	2021 \$'000
1.1A: Employee Benefits		
Wages and salaries	24,614	23,871
Superannuation		
Defined contribution plans	2,561	2,435
Defined benefit plans	2,845	2,842
Leave and other entitlements	3,989	3,138
Other	127	110
Total employee benefits	34,136	32,396

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	2,826	2,742
Communications	995	926
Professional services	5,752	1,793
Travel	246	242
Managed Services	938	665
Exhibitions and advertising	198	216
Employee related expenses	947	971
Utilities	837	895
Grants	49	18
Other property operating expenses	2,256	2,362
Other	979	507
Total goods and services supplied or rendered	16,023	11,337

Other suppliers

Workers compensation expenses	87	104
Short-term leases	356	210
Total other suppliers	443	314
Total suppliers	16,466	11,651

The National Archives has short-term lease commitments of \$38,728 as at 30 June 2022 (2021: \$74,839).

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.

1.1C: Finance costs

Interest on lease liabilities	11,944	12,243
Unwinding of discount	12	12
Total finance costs	11,956	12,255

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

1.2: Own-Source Revenue

	2022 \$'000	2021 \$'000
1.2A: Revenue from contracts with customers		
Sale of goods	545	1,133
Rendering of services	1,175	1,010
Total revenue from contracts with customers	1,720	2,143
Disaggregation of revenue from contracts with customers		
Goods and services transferred at a point in time		
Provision of digital records	809	1,109
Shop sales	29	24
Other contracts	42	83
	880	1,216
Goods and services transferred over time		
Sponsorships	106	137
Grants	131	409
Notional payments	322	-
Temporary storage	268	342
Exhibition hire	13	39
	840	927
	1,720	2,143

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.

Description of principal revenue-raising activities

The primary source of revenue from contracts with customers for the National Archives is from the provision of digitised records when requested by private or government entities. The fee is set by legislation and is on a cost recovery basis. A small amount of revenue is received from sales by the shop, venue hire and running of exhibition 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 they 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. The revenue is deferred until it is earned.

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 hire.

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

	2022	2021
	\$'000	\$'000
1.2B: Rental Income		
Operating lease income	338	328
Total rental income	338	328

Operating leases

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

Maturity analysis of future operating lease income receivables:

Within one year	348	338
One to two years	358	348
Two to three years	369	358
Three to four years	232	369
Four to five years	-	232
Total undiscounted future operating lease income receivables	1,307	1,645

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		
Remuneration of auditors	75	75
Gifted assets	6	-
Other		
Donations	15	1,139
Other	-	2
Total other revenue	96	1,216

Accounting Policy

Resources Received Free of Charge

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

Financial Position

This section analyses the National 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

	2022 \$'000	2021 \$'000
2.1: Trade and Other Receivables		
Appropriations receivable	9,739	18,228
Trade receivables	413	39
GST receivable from the ATO	666	404
Other	176	36
Total trade and other receivables (gross)	10,994	18,707

Credit terms for goods and services were within 20 days (2021: 20 days).

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.

2.2 Non-Financial Assets

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

	Buildings \$'000	Plant and equipment \$'000	Heritage and cultural ¹ \$'000	Heritage and cultural digital ¹ \$'000	Software ² \$'000	Other intangibles \$'000	Total \$'000
As at 1 July 2021							
Gross book value	509,371	31,598	1,521,860	15,533	18,620	23,466	2,120,448
Accumulated depreciation and impairment	(46,969)	(7,662)	(540)	-	(14,830)	(4,584)	(74,585)
Total as at 1 July 2021	462,402	23,936	1,521,320	15,533	3,790	18,882	2,045,863
Additions							
Purchase	-	6,887	-	-	931	4,108	11,926
Right-of-use assets	2,835	14	-	-	-	-	2,849
Intake of records from other agencies	-	-	10,781	243	-	-	11,024
Revaluations and impairments recognised in other comprehensive income	-	-	-	-	-	-	-
Impairments recognised in net cost of services	-	1,795	-	-	-	-	1,795
Depreciation and amortisation	-	-	-	-	(117)	-	(117)
Depreciation on right-of-use assets	(23,884)	(3,452)	(6,546)	-	(940)	-	(10,938)
Other movements of right-of-use assets	(363)	(27)	-	-	-	-	(23,911)
Disposals	-	(132)	-	-	(59)	-	(366)
Total as at 30 June 2022	440,990	29,018	1,525,555	15,776	3,605	22,333	2,037,877

Total as at 30 June 2022 represented by

Gross book value	510,797	29,062	1,532,515	15,776	18,723	27,222	2,134,095
Accumulated depreciation and impairment	(69,807)	(44)	(6,960)	-	(15,118)	(4,289)	(96,218)
Total as at 30 June 2022	440,990	29,018	1,525,555	15,776	3,605	22,333	2,037,877

Carrying amount of right-of-use assets included above

	440,990	42	-	-	-	-	441,032
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1. The National Archives changed its accounting policy on the presentation of heritage and cultural assets that are born-digital. These assets have now been moved to a newly created heritage and cultural digital asset class. Balances as at 1 July 2021 have been restated to reflect the transfer of \$15,533m from the heritage and cultural asset class.

See *Depreciation and Amortisation, Heritage and Cultural Digital Assets and Change in Accounting Policy* in the accompanying accounting policy note.

2. The carrying amount of computer software included \$2,916m purchased software and \$0,689m internally generated software.

Revaluations of non-financial assets

Revaluations were conducted in accordance with the *Revaluation* policy shown in the Accounting Policy notes. The National Archives has performed an assessment as at 30 June 2022 for all assets and determined that the asset carrying amounts do not materially differ from their fair value. The heritage and cultural collection was valued professionally by an independent valuer on 30 April 2021. Plant and equipment classes of furniture and fittings, ICT, shelving, and leasehold improvements were valued professionally on 30 June 2022.

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

As at 30 June 2022, the National Archives has contractual commitments for acquisition of assets, comprising:

	\$'000
Property, plant, equipment	2,113
Software	505
Other intangibles	8,867
	<u>11,485</u>

2.2 Non-Financial Assets

Accounting Policy

Assets are recorded at cost on acquisition except as stated below. The cost of acquisition includes the fair value of assets transferred in exchange and liabilities undertaken. Financial assets are initially measured at their fair value plus transaction costs where appropriate.

Assets acquired at no cost, or for nominal consideration, are initially recognised as assets and income at their fair value at the date of acquisition, unless acquired as a consequence of restructuring of administrative arrangements. In the latter case, assets are initially recognised as contributions by owners at the amounts at which they were recognised in the transferor's accounts immediately prior to the restructuring.

Asset Recognition Threshold

Asset purchases are recognised initially at cost in the statement of financial position, except for purchases costing less than \$2,000 (excl GST). Where the cost 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 National Archives where there exists an obligation to restore the premises to its original condition. These costs are included in the value of the National 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 National Archives, General Government Sector and Whole of Government financial statements.

Revaluation

Following initial recognition at cost, heritage and cultural, heritage and cultural digital, 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.

2.2 Non-Financial Assets

Depreciation and Amortisation

Depreciable buildings, property, plant and equipment, and heritage and cultural assets are written-off to their estimated residual values over their estimated useful lives to the National Archives using, in all cases, the straight-line method of depreciation.

Heritage and cultural digital assets and other intangibles are not amortised as their useful lives have been determined as indefinite. The useful lives of these assets are reviewed annually to determine whether events and circumstances continue to support an indefinite useful life assessment.

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

Assets class	Useful life
Buildings (<i>all right-of-use assets</i>)	2 – 30 years
Plant and equipment (<i>including right-of-use assets</i>)	2 – 30 years
Heritage and cultural	29 – 349 years
Heritage and cultural digital	Indefinite
Other intangibles	Indefinite
Software	2 – 20 years

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. 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 classes of assets are assessed for impairment annually. 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 National 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. Curatorial and preservation policies for heritage and cultural assets can be accessed at the National Archives website at naa.gov.au.

Heritage and Cultural Digital Assets

The heritage and cultural digital asset class is made up of born-digital assets (received in a digital format). Heritage and cultural digital assets are held at fair value and are subject to the same curatorial and preservation policies as the rest of the collection.

Other Intangibles

The National Archives' other intangibles comprise of a digitised collection that is both internally and externally digitised. Intangibles are held at cost.

2.2 Non-Financial Assets

Significant accounting estimates and judgements

The fair value of plant and equipment is taken to be the depreciated replacement cost or market value of similar assets. An assessment is conducted 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. A sampling methodology is adopted for some categories and an average value applied to the entire collection category. Some collection categories use value per shelf metre or file size. Values for the sample are determined by reference to the archival materials markets. The National Archives has made significant estimates of the impact of provenance to the value of collection objects.

The valuation of the collection is subject to a high level of estimation uncertainty. This is due to: the unique nature of many of the collection items; very few comparable transactions; the limited (if any) active market for most of the items in the collection; there is no sale activity to validate market testing; and the significant scale and diversity of the collection relies on sampling with its inherent risks.

Change in accounting policy

The National Archives continuously reviews its vast heritage and cultural assets in order to enhance disclosure. As part of a recent review, a new heritage and cultural digital asset class was created. Specific consideration was given to born-digital assets for inclusion in this class from the heritage and cultural class.

The National Archives acknowledges the future composition of the collection will change with the rise in digital assets. Given the scale of the analogue collection, there will be a generational shift towards a dominance in digital assets.

This change in accounting policy is not material and the comparative information for 2020–21 has been restated. The effect of the change can be seen in note 2.2

2.3: Payables

	2022	2021
	\$'000	\$'000
2.3: Other Payables		
Salaries and wages	718	556
Superannuation	124	102
Contract liabilities ¹	585	393
Total other payables	1,427	1,051

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. Contract liabilities should be read in conjunction with notes 1.2A and 1.2C.

2.4: Interest Bearing Liabilities

	2022 \$'000	2021 \$'000
2.4: Interest Bearing Liabilities		
Lease Liabilities	468,614	481,883
Total leases	468,614	481,883
Maturity analysis - contractual undiscounted cash flows		
Within one year	25,241	25,259
One to five years	108,438	106,255
More than 5 years	500,695	527,559
Total leases	634,374	659,073

The cash outflow for leases for the year ended 30 June 2022 was \$27.7m (2021: \$25.5m).

The National Archives has a number of long term property leases for storage facilities and office space in locations around Australia, for terms ranging from 3 to 30 years, some with up to two options of 1 to 5 years. These leases contain a wide range of terms and conditions. There are also a small number of leased vehicles with fixed terms of 3 years.

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

Accounting Policy

For all new contracts entered into, the National Archives considers whether the contract is, or contains a lease. A lease is defined as 'a contract, or part of a contract, that conveys the right to use an asset (the underlying asset) for a period of time in exchange for consideration'.

Once it has been determined that a contract is, or contains a lease, the lease liability is initially measured at the present value of the lease payments unpaid at the commencement date, discounted using the interest rate implicit in the lease, if that rate is readily determinable, or the department's incremental borrowing rate.

Subsequent to initial measurement, the liability will be reduced for payments made and increased for interest. It is remeasured to reflect any reassessment or modification to the lease. When the lease liability is remeasured, the corresponding adjustment is reflected in the right-of-use asset or profit and loss depending on the nature of the reassessment or modification.

2.5: Other Provisions

2.5: Other Provisions

	Provision for restoration \$'000
As at 1 July 2021	949
Amounts increased as a result of asset re-measurement	1,175
Unwinding of discount or change in discount rate	12
Total as at 30 June 2022	2,136

The National Archives currently has 2 (2021: 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. The provision was informed by independent valuer, Colliers Valuation & Advisory Services, in June 2022.

Accounting Policy

The National Archives recognises the cost of restoring its leased premises. At 30 June 2022 following advice from the valuer, the change in cost is treated as a re-measurement which is the process of re-establishing the value of an asset to provide a more accurate financial record of its value. This is accounted for through the asset revaluation reserve.

Funding

This section identifies the National Archives' funding structure.

3.1: Appropriations

	2022 \$'000	2021 \$'000
3.1A: Annual Appropriations ('Recoverable GST exclusive')		
Departmental		
Ordinary annual services	70,697	67,335
Capital Budget ¹	8,011	8,028
Equity Injection	5,400	-
Annual Appropriation	84,108	75,363
PGPA Act Section 74 receipts (ordinary annual services)	2,520	2,542
Total Appropriation	86,628	77,905
Appropriation Applied		
Ordinary annual services	79,448	70,359
Capital Budget	10,270	9,731
Equity Injection	5,400	-
Total Appropriation Applied	95,118	80,090
Variance	(8,490)	(2,185)

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

Funding of \$11.2m in 2021-22, \$9.6m in 2022-23, \$8.0m in 2023-24 and \$7.9m in 2024-25 was provided to the National Archives for the MYEFO measure *National Archives of Australia – preserving Australia's cultural heritage*, not published in PAES.

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

Departmental		
Appropriation Act (No. 1) 2020-21	-	18,228
Appropriation Act (No. 1) 2021-22	9,739	-
Cash	5,061	1,744
Total	14,800	19,972

3.2: Net Cash Appropriation Arrangements

Total comprehensive income/(loss) - as per the Statement of Comprehensive Income	(13,863)	(6,916)
Plus: depreciation/amortisation of assets funded through appropriations (departmental capital budget funding and/or equity injections) ¹	4,392	4,490
Plus: depreciation of right-of-use assets ²	23,911	23,965
Less: lease principal repayments ²	(15,725)	(13,264)
Net Cash Operating Surplus/(Deficit)	(1,285)	8,275

1. From 2010-11, the Government introduced net cash appropriation arrangements where revenue appropriations for depreciation/amortisation expenses of non-corporate Commonwealth entities and selected corporate Commonwealth entities were replaced with a separate capital budget provided through equity injections. Capital budgets are to be appropriated in the period when cash payment for capital expenditure is required. Depreciation expenses relating to heritage and cultural assets have been excluded from this calculation as they are not funded through appropriations.

2. The inclusion of depreciation/amortisation expenses related to ROU leased assets and the lease liability principal repayment amount reflects the impact of AASB 16 Leases, which does not directly reflect a change in appropriation arrangements.

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

	2022 \$'000	2021 \$'000
Note 4.1: Employee Provisions		
Annual leave	3,854	3,722
Long service leave	6,360	7,475
Total employee provisions	10,214	11,197

Accounting policy

Liabilities for short-term employee benefits and termination benefits expected within twelve months of the end of reporting period are measured at their nominal amounts.

Other long-term employee benefits are measured as net total of the present value of the defined benefit obligation at the end of the reporting period minus the fair value at the end of the reporting period of plan assets (if any) out of which the obligations are to be settled directly.

Leave

The liability for employee benefits includes provision for annual leave and long service 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 employer superannuation contribution rates pertinent to the National Archives, 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 the long service leave shorthand model issued by the Department of Finance. The estimate of the present value of the liability takes into account attrition rates and pay increases through promotion and inflation.

Superannuation

The National Archives' staff are members of the Commonwealth Superannuation Scheme (CSS), the Public Sector Superannuation Scheme (PSS), or the PSS accumulation plan (PSSap), or other 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 National 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 National Archives accounts for the contributions as if they were contributions to defined contribution plans. The liability for superannuation recognised as at 30 June 2022 represents outstanding contributions and is recognised in other payables.

Note 4.2: Key Management Personnel Remuneration

	2022	2021
	\$'000	\$'000
Note 4.2: Key Management Personnel Remuneration		
Short-term employee benefits	1,200	1,516
Post-employment benefits	197	250
Long-term employee benefits	29	35
Total key management personnel remuneration expenses	1,426	1,801

The total number of key management personnel who are included in the above table are 6 (2021: 6).
Current year comparatives are affected by less than a full year of service for 1 KMP.

Key Management Personnel

Key management personnel are those persons having authority and responsibility 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 National 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 National Archives, it has been determined that there are no related party transactions to be separately disclosed.

Other information

5.1: Current/non-current distinction for assets and liabilities

	2022	2021
	\$'000	\$'000
5.1: Current/non-current distinction for assets and liabilities		
Assets expected to be recovered in:		
No more than 12 months		
Cash	5,061	1,744
Trade and other receivables	10,994	18,707
Inventories	140	111
Prepayments	611	934
Total no more than 12 months	16,806	21,496
More than 12 months		
Buildings	440,990	462,402
Plant and equipment	29,018	23,936
Heritage and cultural	1,525,555	1,521,320
Heritage and cultural digital	15,776	15,533
Software	3,605	3,790
Other intangibles	22,933	18,882
Prepayments	15	-
Total more than 12 months	2,037,892	2,045,863
Total assets	2,054,698	2,067,359
Liabilities expected to be settled in:		
No more than 12 months		
Suppliers	2,982	3,122
Other payables	1,427	1,051
Leases	15,616	13,750
Employee provisions	4,585	3,138
No more than 12 months	24,610	21,061
More than 12 months		
Leases	452,998	468,133
Employee provisions	5,629	8,059
Other provisions	2,136	949
More than 12 months	460,763	477,141
Total liabilities	485,373	498,202

PART 5

**NATIONAL
ARCHIVES OF
AUSTRALIA
ADVISORY
COUNCIL
ANNUAL REPORT
2021–22**

Establishment and functions

National Archives of Australia Advisory Council (the Council) is established under subsection 10(1) of the *Archives Act 1983*. The main purpose of the Council is to provide advice to the minister responsible for National Archives and the Director-General on matters that relate to 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 3 years and may serve an additional term. During 2021–22, the Council comprised:

- Dr Denver Beanland AM (Chair)
- Suzanne Hampel OAM
- Anne Henderson AM
- Dr Rosemary Laing
- Professor (Emeritus) Sally Walker AM
- Associate Professor Joseph Suttie
- Dr Bella D'Abrera
- Rachel Connors

- Dr Anthony Dillon
- Alice Spalding
- Amy Low
- Dr Phil Robertson FTSE
- Professor John Williams
- Jade Balfour.

Parliamentary representation:

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

The terms of Professor John Williams and Jade Balfour expired on 23 November 2021, and Dr Phil Robertson on 4 May 2022.

The Hon Kevin Andrews MP and Senator the Hon Kim Carr membership expired in May 2022, following the Australian Federal Election.

Summary of activities

The Council met 4 times in 2021–22:

- 3 September 2021
- 3 December 2021
- 18 March 2022
- 15 June 2022.

Statement required under the Archives Act

Record disposal practices

Section 25 of the Archives Act requires the Director-General to provide the Council with a statement setting out practices relating to the disposal of Commonwealth records. At each Council meeting, National Archives also provides information on records authorities issued to Australian Government agencies.

In 2021–22, National Archives issued 16 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 access 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 Advisory Council meeting, National Archives tables a statement detailing requests for, and decisions relating to, access under section 56(2).

In 2021–22, the Advisory Council was notified of one new application for special access to records under section 56(2). One additional application lodged in 2019 is still under consideration. The Advisory Council was notified that further consultation about the application was paused due to COVID-19 pandemic response priorities. Progress on this application is being reviewed.

Financial information and secretariat services

The Council's operation is funded from National Archives' budget appropriation (see Table 9). Major expenditure items consist of members' remuneration, travel allowances and airfares to attend Council and other associated meetings. In addition to direct financial support, National Archives also provides secretariat and administrative services to the Council.

Table 9: National Archives of Australia Advisory Council expenditure, 2021–22

Item	Cost (\$)
Remuneration	22,663
Travel	42,281
Hospitality and Catering	9,672
Other	381
Total	74,997

Year in review

Functional and efficiency review of National Archives

The Australian Government initiated an independent *Functional and efficiency review of the National Archives of Australia* to examine the purpose, role and functions of the agency and recommend the appropriate level of resourcing it should receive. In March 2021, the review was released publicly. In August 2021, the Australian Government agreed, or agreed in principle, to all 20 recommendations made by the review.

To address the current challenges faced by National Archives, and in response to the review, the Australian Government increased National Archives' base appropriation by \$67.7 million over 4 years for the Defend the Past, Protect the Future program to:

- digitise and preserve National Archives' at-risk collection over an accelerated 4-year digitisation program
- provide additional staffing and capability to address backlogs for 'access applications' for Commonwealth records and provide an improved digitisation-on-demand service
- invest in cybersecurity and further development of National Archives' Next Generation Digital Archive to facilitate secure and timely transfer of records to National Archives' custody, and their preservation and digital access.

The Council is pleased to note that significant progress continued to be made in 2021–22 toward completing this important work.

Amendments to the Archives Act

National Archives has sought for many years to amend its legislation. The Archives Act was drafted in the pre-digital world and requires modernisation to meet the challenges of the digital age and changing technology.

Working with the Attorney-General's Department, National Archives has identified proposed amendments to the Archives Act that will complement its digital transformation program, providing certainty around its functions, powers and responsibilities.

The amendments would better position National Archives to drive delivery of its information policy objectives to further improve the management of government records, information and data. This will ensure that National Archives and the Australian Government has a public record that can be trusted for all its uses by government and the community. It will also create opportunities for future partnerships and commercial activities.

The Advisory Council supports the proposed legislative amendments to enable National Archives to provide certainty around its functions, powers and responsibilities, and to facilitate its digital transformation program.

Palace letters

National Archives holds correspondence, known as the Palace letters, between Australia's former governors-general and Queen Elizabeth II. Following the decision of the *High Court in Hocking v Director-General of National Archives of Australia*, National Archives received further applications for public access to the correspondence between other former governors-general and the Queen that had been deposited with National Archives.

Following a review of that correspondence, National Archives released further Palace letters. Material released under the Archives Act was digitised, and a copy made available to the public on National Archives' website. In reviewing the correspondence, National Archives has had regard to the provisions of the Archives Act that set out release of records, exemption of records and the process for determining exemptions, and whether non-exempt parts may be released.

The Advisory Council continues to support amendments to the Archives Act that would make clear the types of records considered as 'Commonwealth records'.

Digitisation of military service records

January 2023 marks the 50th anniversary of the end of Australia's involvement in the Vietnam War. To truly commemorate this anniversary and reflect the extraordinary service and sacrifice of all those veterans who have served and those who gave their lives in conflicts for Australia, National Archives seeks urgent funding to digitise all military service records.

National Archives is in year 3 of a 4-year digitisation project to make all Second World War service records accessible for families, family history research, student education programs, and in national recognition of those men and women that served their country.

To enable all military service records – the Second World War RAAF negatives, Vietnam War, Korean War, and Borneo and Malayan confrontation service records – to be digitised, preserved and made accessible to the public, National Archives requires additional funding from the Australian Government.

The Advisory Council requests the Australian Government puts in place a funding program over the forward years that sees all this work completed for the veterans, their families, and the Australian people.

Preservation of records at-risk

The Advisory Council continues to advocate for requirement of sustainable funding for National Archives to preserve, digitise and make available valuable at-risk records to the public. The Advisory Council welcomed the Australian Government's announcement on 1 July 2021 of \$67.7 million, over 4 years, to preserve important records and address

backlogs and implement recommendations from the Functional and efficiency review of the National Archives of Australia. However, concern continued during the year regarding pending loss of audiovisual Commonwealth records stored on magnetic tape.

As at 30 June 2022, National Archives has copied 49% (132,300) of the magnetic tape collection (audio and video formats), leaving approximately 51% (140,000 items) to assess for preservation and digitisation. Although much work has already been done to preserve these records through digitisation, and the implementation of recommendations is on track, there is still a funding shortfall. Additional funding is required to protect all these records from being lost by ensuring National Archives can digitise and preserve them through a cyber-secure digital archive.

New National Archives public building

The Advisory Council continues to advocate for a new national office for National Archives in the Parliamentary Triangle, as the lease for the current National Office expires in 2030. The Advisory Council would strongly welcome a commitment from the Australian Government to establish a national office and any moves to bring this project forward.

PART 6

APPENDIXES

Appendix A: Entity resource statements

Table 10: Resources allocated – aggregate figures, 2021–22

	Actual available appropriation for 2021–22 (\$'000)	Payments made 2021–22 (\$'000)	Balance remaining (\$'000)
	(a)	(b)	(a) – (b)
Ordinary annual services			
Balance brought forward ¹	18,228	18,228	0
Departmental appropriation ²	84,108	68,642	15,466
Total ordinary annual services	102,336	86,870	15,466
Total net resourcing	102,336	86,870	15,466

Notes:

1) Prior year departmental appropriations

2) Includes Appropriation Act nos 1, 3 & 4 (2021–22) plus the departmental capital budget and equity injection.

Table 11: Resources allocated to Outcome 1, 2021–22

	Budget 2021–22 (\$'000)	Actual expenses 2021–22 (\$'000)	Variation 2021–22 (\$'000)
	(a)	(b)	(a) – (b)
Outcome 1: To promote the creation, management and preservation of authentic, reliable and usable Commonwealth records, and to facilitate Australians' access to the archival resources of the Commonwealth.			
Program 1.1: National Archives of Australia			
Departmental expenses			
Ordinary annual services	70,697	70,697	0
Revenue from independent sources	2,002	2,188	-186
Expenses not requiring appropriation in the budget	20,273	23,451	-3,178
Total for Program 1.1	92,972	96,336	-3,364
Total expenses for Outcome 1	92,972	96,336	-3,364
Average staffing level (number)	362	332	31

Appendix B: Human resources statistics

Table 12: All ongoing employees, current reporting period, 2021–22

	Male			Female			Indeterminate			Total
	Full-time	Part-time	Total	Full-time	Part-time	Total	Full-time	Part-time	Total	
NSW	18	5	23	19	4	23	0	0	0	46
Qld	2	0	2	4	2	6	0	0	0	8
SA	1	1	2	2	0	2	0	0	0	4
Tas	1	0	1	1	0	1	0	0	0	2
Vic	10	0	10	12	1	13	0	0	0	23
WA	0	0	0	5	2	7	0	0	0	7
ACT	86	7	93	116	22	138	0	0	0	231
NT	0	0	0	3	0	3	0	0	0	3
External territories	0	0	0	0	0	0	0	0	0	0
Overseas	0	0	0	0	0	0	0	0	0	0
Total	118	13	131	162	31	193	0	0	0	324

Table 13: All non-ongoing employees, current reporting period, 2021–22

	Male			Female			Indeterminate			Total
	Full-time	Part-time	Total	Full-time	Part-time	Total	Full-time	Part-time	Total	
NSW	4	0	4	6	2	8	0	0	0	12
Qld	0	0	0	0	1	1	0	0	0	1
SA	0	0	0	0	1	1	0	0	0	1
Tas	0	2	2	0	0	0	0	0	0	2
Vic	1	0	1	0	0	0	0	0	0	1
WA	0	0	0	0	1	1	0	0	0	1
ACT	20	7	27	22	8	30	1	0	1	58
NT	0	0	0	2	1	3	0	0	0	3
External territories	0	0	0	0	0	0	0	0	0	0
Overseas	0	0	0	0	0	0	0	0	0	0
Total	25	9	34	30	14	44	1	0	1	79

Table 14: All ongoing employees, previous reporting period, 2020–21

	Male			Female			Indeterminate			Total
	Full-time	Part-time	Total	Full-time	Part-time	Total	Full-time	Part-time	Total	
NSW	19	7	26	19	2	21	0	0	0	47
Qld	1	0	1	4	3	7	0	0	0	8
SA	1	1	2	2	0	2	0	0	0	4
Tas	2	0	2	1	0	1	0	0	0	3
Vic	9	0	9	12	0	12	0	0	0	21
WA	0	0	0	4	2	6	0	0	0	6
ACT	86	12	98	92	32	124	0	0	0	222
NT	1	0	1	2	0	2	0	0	0	3
External territories	0	0	0	0	0	0	0	0	0	0
Overseas	0	0	0	0	0	0	0	0	0	0
Total	119	20	139	136	39	175	0	0	0	314

Table 15: All non-ongoing employees, previous reporting period, 2020–21

	Male			Female			Indeterminate			Total
	Full-time	Part-time	Total	Full-time	Part-time	Total	Full-time	Part-time	Total	
NSW	2	0	2	4	3	7	0	0	0	9
Qld	0	0	0	0	1	1	0	0	0	1
SA	0	1	1	0	0	0	0	0	0	1
Tas	0	1	1	0	0	0	0	0	0	1
Vic	0	0	0	0	1	1	0	0	0	1
WA	0	0	0	0	1	1	0	0	0	1
ACT	15	7	22	15	15	30	0	0	0	52
NT	0	0	0	0	0	0	0	0	0	0
External territories	0	0	0	0	0	0	0	0	0	0
Overseas	0	0	0	0	0	0	0	0	0	0
Total	17	9	26	19	21	40	0	0	0	66

Table 16: Australian Public Service Act ongoing employees, current reporting period, 2021–22

	Male			Female			Indeterminate			Total
	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	0
SES 2	0	0	0	0	0	0	0	0	0	0
SES 1	1	0	1	4	0	4	0	0	0	5
EL 2	8	0	8	16	1	17	0	0	0	25
EL 1	26	2	28	30	7	37	0	0	0	65
APS 6	29	1	30	44	12	56	0	0	0	86
APS 5	23	4	27	21	4	25	0	0	0	52
APS 4	17	2	19	35	4	39	0	0	0	58
APS 3	6	3	9	8	3	11	0	0	0	20
APS 2	4	0	4	2	0	2	0	0	0	6
APS 1	3	1	4	2	0	2	0	0	0	6
Other	0	0	0	0	0	0	0	0	0	0
Total	117	13	130	162	31	193	0	0	0	323

Table 17: Australian Public Service Act non-ongoing employees, current reporting period, 2021–22

	Male			Female			Indeterminate			Total
	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	0
SES 2	0	0	0	0	0	0	0	0	0	0
SES 1	0	0	0	0	0	0	0	0	0	0
EL 2	0	0	0	0	0	0	0	0	0	0
EL 1	1	0	1	2	0	2	0	0	0	3
APS 6	2	3	5	2	1	3	0	0	0	8
APS 5	1	1	2	6	1	7	0	0	0	9
APS 4	4	2	6	7	4	11	0	0	0	17
APS 3	4	2	6	4	5	9	0	0	0	15
APS 2	1	0	1	2	0	2	0	0	0	3
APS 1	12	1	13	7	3	10	1	0	1	24
Other	0	0	0	0	0	0	0	0	0	0
Total	25	9	34	30	14	44	1	0	0	79

Table 18: Australian Public Service Act ongoing employees, previous reporting period, 2020–21

	Male			Female			Indeterminate			Total
	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	0
SES 2	0	0	0	0	0	0	0	0	0	0
SES 1	2	0	2	3	0	3	0	0	0	5
EL 2	8	0	8	14	2	16	0	0	0	24
EL 1	25	4	29	26	5	31	0	0	0	60
APS 6	26	2	28	29	17	46	0	0	0	74
APS 5	23	4	27	25	7	32	0	0	0	59
APS 4	19	4	23	29	8	37	0	0	0	60
APS 3	5	5	10	6	0	6	0	0	0	16
APS 2	5	0	5	3	0	3	0	0	0	8
APS 1	5	1	6	1	0	1	0	0	0	7
Other	0	0	0	0	0	0	0	0	0	0
Total	118	20	138	136	39	175	0	0	0	313

Table 19: Australian Public Service Act non-ongoing employees, previous reporting period, 2020–21

	Male			Female			Indeterminate			Total
	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	0
SES 2	0	0	0	0	0	0	0	0	0	0
SES 1	0	0	0	0	0	0	0	0	0	0
EL 2	1	0	1	0	0	0	0	0	0	1
EL 1	2	0	2	2	0	2	0	0	0	4
APS 6	1	3	4	2	1	3	0	0	0	7
APS 5	1	1	2	3	1	4	0	0	0	6
APS 4	1	2	3	4	3	7	0	0	0	10
APS 3	3	1	4	4	8	12	0	0	0	16
APS 2	1	0	1	1	0	1	0	0	0	2
APS 1	7	2	9	3	8	11	0	0	0	20
Other	0	0	0	0	0	0	0	0	0	0
Total	17	9	26	19	21	40	0	0	0	66

Table 20: Australian Public Service Act employees, by full-time and part-time status, current reporting period, 2021–22

	Ongoing			Non-ongoing			Total
	Full-time	Part-time	Total	Full-time	Part-time	Total	
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	24	1	25	0	0	0	25
EL 1	56	9	65	3	0	3	68
APS 6	73	13	86	4	4	8	94
APS 5	44	8	52	7	2	9	61
APS 4	52	6	58	11	6	17	75
APS 3	14	6	20	8	7	15	35
APS 2	6	0	6	3	0	3	9
APS 1	5	1	6	20	4	24	30
Other	0	0	0	0	0	0	0
Total	279	44	323	56	23	79	402

Table 21: Australian Public Service Act employees, by full-time and part-time status, previous reporting period, 2020–21

	Ongoing			Non-ongoing			Total
	Full-time	Part-time	Total	Full-time	Part-time	Total	
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	22	2	24	1	0	1	25
EL 1	51	9	60	4	0	4	64
APS 6	55	19	74	3	4	7	81
APS 5	48	11	59	4	2	6	65
APS 4	48	12	60	5	5	10	70
APS 3	11	5	16	7	9	16	32
APS 2	8	0	8	2	0	2	10
APS 1	6	1	7	10	10	20	27
Other	0	0	0	0	0	0	0
Total	254	59	313	36	30	66	379

Table 22: Australian Public Service Act employment type, by location, current reporting period, 2021–22

	Ongoing	Non-ongoing	Total
NSW	46	12	58
Qld	8	1	9
SA	4	1	5
Tas	2	2	4
Vic	23	1	24
WA	7	1	8
ACT	231	58	289
NT	3	3	6
External territories	0	0	0
Overseas	0	0	0
Total	324	79	403

Table 23: Australian Public Service Act employment type, by location, previous reporting period, 2020–21

	Ongoing	Non-ongoing	Total
NSW	47	9	56
Qld	8	1	9
SA	4	1	5
Tas.	3	1	4
Vic.	21	1	22
WA	6	1	7
ACT	222	52	274
NT	3	0	3
External territories	0	0	0
Overseas	0	0	0
Total	314	66	380

Table 24: Australian Public Service Act Indigenous employment, current reporting period, 2021–22

	Total
Ongoing	4
Non-ongoing	1
Total	5

Table 25: Australian Public Service Act Indigenous employment, previous reporting period, 2020–21

	Total
Ongoing	4
Non-ongoing	0
Total	4

Workplace agreements

Table 26: Australian Public Service Act employment arrangements, current reporting period, 2021–22

	SES	Non-SES	Total
National Archives of Australia Enterprise Agreement 2017–20		398	398
Total		398	398

Table 27: Australian Public Service Act employment salary ranges, by classification level (minimum/maximum), current reporting period, 2021–22

	Minimum salary	Maximum salary
SES 3		
SES 2		
SES 1	\$221,706	\$238,995
EL 2	\$128,631	\$159,076
EL 1	\$107,193	\$121,640
APS 6	\$86,648	\$100,015
APS 5	\$76,821	\$82,406
APS 4	\$69,677	\$75,081
APS 3	\$62,532	\$67,756
APS 2	\$55,652	\$60,707
APS 1	\$48,685	\$53,565
Other		
Minimum/maximum range	\$48,685	\$238,995

Appendix C: Executive remuneration statistics

Table 28: Information about remuneration for key management personnel

Name	Position	Short-term benefits			Post-employment benefits	Other long-term benefits		Termination benefits	Total remuneration ⁴
		Base salary ¹	Bonuses	Other benefits and allowances ²	Super contributions	Long-service leave ³	Other		
Yaso Arumugam ⁵	Assistant Director-General Data and Digital, & A/g Director-General	267,157	0	0	43,397	6,491	0	0	317,045
Louise Doyle	Assistant Director-General, Access and Public Engagement	226,799	0	0	41,525	5,516	0	0	273,840
Ruth Fenwick	Chief Operating Officer, Corporate Services	227,413	0	0	40,533	5,660	0	0	273,606
Steven Fox ⁵	Assistant Director-General, Collection Management, & A/g Director-General	253,120	0	0	41,121	6,036	0	0	300,277
David Fricker	Director-General	183,620	0	0	27,032	4,308	0	0	214,960
Simon Froude	Director-General	41,621	0	0	4,048	931	0	0	46,600

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).

5. Yaso Arumugam acted as Director-General from 12 February 22 to 30 April 2022. Steven Fox acted as Director-General from 1 January 2022 to 11 February 2022 and from 1 May 2022 to 22 May 2022.

Table 29: Information about remuneration for senior executives

Total remuneration bands	Number of senior executives	Average short-term benefits				Average post-employment benefits	Average other long-term benefits		Average termination benefits	Average total remuneration
		Base salary	Bonuses	Other benefits and allowances	Super contributions	Long-service leave	Other			
\$0 to \$220,000	2	112,621	0	0	15,540	2,620	0	0	130,781	
\$270,001 to \$295,000	2	227,106	0	0	41,029	5,588	0	0	273,723	
\$295,001 to \$320,000	2	260,139	0	0	42,259	6,264	0	0	308,662	

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> (Archives Act).
Application	A request for access to a record under the Archives Act.
Building Trust in the Public Record	A whole-of-government approach to information governance, developed by the National Archives, identifying key requirements for managing Australian Government information assets (records, information and data).
Check-up survey	The National Archives' online survey tool to collect data from Australian Government entities on their information management capabilities.
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	Superseded by the <i>Building Trust in the Public Record policy</i> .
Exempt	As defined in the Archives Act, legislation.gov.au/Details/C2021C00218 .
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 Archives Act. 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' online database of records in its collection.

Abbreviations and acronyms

AASB	Australian Accounting Standards Board
AAT	Administrative Appeals Tribunal
ACT	Australian Capital Territory
Advisory Council	National Archives of Australia Advisory Council
AM	Member of the Order of Australia
AO	Officer of the Order of Australia
APP	Australian Privacy Principle
APS	Australian Public Service
Archives Act	<i>Archives Act 1983</i>
BAU	business-as-usual
CAARA	Council of Australasian Archives and Records Authorities
CO ²	carbon dioxide
COVID-19	2019 novel coronavirus
CPA	Certified Practising Accountant
DFAT	Department of Foreign Affairs and Trade
EL	Executive level
FICA	Fellow of the Institute of Chartered Accountants Australia
FOI	freedom of information
FOI Act	<i>Freedom of Information Act 1982</i>
FRR	Financial Reporting Rule
FTE	full-time equivalent
FTSE	Fellow of the Australian Academy of Technological Sciences and Engineering
GAIN	Government Agencies Information Network
GST	goods and services tax
Hon	Honourable
IAMS	Integrated Archival Management System
ICA	International Council on Archives
ICDH	International Centre for Documentary Heritage
ICT	Information and communication technologies
IPS	Information Publication Scheme
kg	kilograms
kl	kilolitres
kWh	kilowatt-hour
LGBTIQ+	lesbian, gay, bisexual, transgender/transsexual, intersex, queer/questioning, asexual and many other terms (such as non-binary and pansexual)
LSL	long service leave

MJ	megajoule
MOU	memorandum of understanding
MP	Member of Parliament
N/A	not applicable
NAA	National Archives of Australia
NABERS	National Australian Built Environment Rating System
National Archives	National Archives of Australia
NSW	New South Wales
NT	Northern Territory
OAM	Medal of the Order of Australia
PACER program	Parliament and Civics Education Rebate program
PBS	Portfolio Budget Statements
PGPA Act	<i>Public Governance, Performance and Accountability Act 2013</i>
PGPA Rule	Public Governance, Performance and Accountability Rule 2014
PS Act	<i>Public Service Act 1999</i>
Qld	Queensland
QR code	quick response code
RAP	Reconciliation Action Plan
RFT	Request for Tender
SA	South Australia
SBS	Special Broadcasting Service
SES	Senior Executive Service
SME	Small and Medium Enterprises
Tas	Tasmania
TB	terabyte
Tune Review	Functional and Efficiency Review of the National Archives of Australia
UNESCO	United Nations Educational, Scientific and Cultural Organisation
Vic	Victoria
WA	Western Australia
WHS Act	<i>Work Health and Safety Act 2011</i>

List of requirements

Below is the table set out in Schedule 2 of the PGPA Rule. Section 17AJ(d) requires this table be included in entities' annual reports as an aid of access.

PGPA Rule reference	Part of report	Description	Requirement	Page
17AD(g)	Letter of transmittal			
17AI	Letter of transmittal	A copy of the letter of transmittal signed and dated by accountable authority on date final text approved, with statement that the report has been prepared in accordance with section 46 of the Act and any enabling legislation that specifies additional requirements in relation to the annual report.	Mandatory	iii
17AD(h)	Aids to access			
17AJ(a)	Contents	Table of contents	Mandatory	iv
17AJ(b)	N/A	Alphabetical index	Mandatory	136
17AJ(c)	Glossary	Glossary of abbreviations and acronyms	Mandatory	116
17AJ(d)	List of requirements	List of requirements	Mandatory	120
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	2
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	6

PGPA Rule reference	Part of report	Description	Requirement	Page
17AE(1)(a)(ii)	Organisational structure	A description of the organisational structure of the entity	Mandatory	8
17AE(1)(a)(iii)	Outcome and program structure	A description of the outcomes and programs administered by the entity	Mandatory	7
17AE(1)(a)(iv)	Purpose, role and functions	A description of the purposes of the entity as included in corporate plan	Mandatory	6
17AE(1)(aa)(i)	Accountable authority	Name of the accountable authority or each member of the accountable authority	Mandatory	8
17AE(1)(aa)(ii)	Accountable authority	Position title of the accountable authority or each member of the accountable authority	Mandatory	8
17AE(1)(aa)(iii)	Accountable authority	Period as the accountable authority or member of the accountable authority within the reporting period	Mandatory	8
17AE(1)(b)	N/A	An outline of the structure of the portfolio of the entity	Portfolio departments mandatory	N/A
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	N/A

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	12
17AD(c)(ii) Report on financial performance				
17AF(1)(a)	Financial performance	A discussion and analysis of the entity's financial performance	Mandatory	33
17AF(1)(b)	Appendix A: Entity resource statements	A table summarising the total resources and total payments of the entity	Mandatory	96
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	N/A
17AD(d) Management and accountability				
Corporate governance				
17AG(2)(a)	Fraud measures	Information on compliance with section 10 (fraud systems)	Mandatory	41

PGPA Rule reference	Part of report	Description	Requirement	Page
17AG(2)(b)(i)	Letter of transmittal	A certification by accountable authority that fraud risk assessments and fraud control plans have been prepared	Mandatory	iii
17AG(2)(b)(ii)	Letter of transmittal	A certification by accountable authority that appropriate mechanisms for preventing, detecting incidents of, investigating or otherwise dealing with, and recording or reporting fraud that meet the specific needs of the entity are in place	Mandatory	iii
17AG(2)(b)(iii)	Letter of transmittal	A certification by accountable authority that all reasonable measures have been taken to deal appropriately with fraud relating to the entity	Mandatory	iii
17AG(2)(c)	Governance	An outline of structures and processes in place for the entity to implement principles and objectives of corporate governance	Mandatory	36
17AG(2)(d) – (e)	Significant non-compliance with finance law	A statement of significant issues reported to Minister under paragraph 19(1) (e) of the Act that relates to non compliance with Finance law and action taken to remedy non-compliance	If applicable, mandatory	47
Audit committee				
17AG(2A)(a)	Audit and Risk Committee	A direct electronic address of the charter determining the functions of the entity's audit committee	Mandatory	36
17AG(2A)(b)	Audit and Risk Committee	The name of each member of the entity's audit committee	Mandatory	37

PGPA Rule reference	Part of report	Description	Requirement	Page
17AG(2A)(c)	Audit and Risk Committee	The qualifications, knowledge, skills or experience of each member of the entity's audit committee	Mandatory	37
17AG(2A)(d)	Audit and Risk Committee	Information about the attendance of each member of the entity's audit committee at committee meetings	Mandatory	37
17AG(2A)(e)	Audit and Risk Committee	The remuneration of each member of the entity's audit committee	Mandatory	37
External scrutiny				
17AG(3)	External scrutiny	Information on the most significant developments in external scrutiny and the entity's response to the scrutiny	Mandatory	46
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	46
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	46
17AG(3)(c)	N/A	Information on any capability reviews on the entity that were released during the period	If applicable, mandatory	N/A

PGPA Rule reference	Part of report	Description	Requirement	Page
Management of human resources				
17AG(4)(a)	Our People	An assessment of the entity's effectiveness in managing and developing employees to achieve entity objectives	Mandatory	47
17AG(4)(aa)	Appendix B: Human resources statistics	Statistics on the entity's employees on an ongoing and non-ongoing basis, including the following: (a) statistics on full-time employees (b) statistics on part-time employees (c) statistics on gender (d) statistics on staff location.	Mandatory	98
17AG(4)(b)	Appendix B: Human resources statistics	Statistics on the entity's APS employees on an ongoing and non-ongoing basis; including the following: <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	98
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	48

PGPA Rule reference	Part of report	Description	Requirement	Page
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	110
17AG(4)(c)(ii)	Workplace agreements	The salary ranges available for APS employees by classification level	Mandatory	111
17AG(4)(c)(iii)	Senior Executive Service remuneration	A description of non-salary benefits provided to employees	Mandatory	49
17AG(4)(d)(i)	N/A	Information on the number of employees at each classification level who received performance pay	If applicable, mandatory	N/A
17AG(4)(d)(ii)	N/A	Information on aggregate amounts of performance pay at each classification level	If applicable, mandatory	N/A
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	N/A
17AG(4)(d)(iv)	N/A	Information on aggregate amount of performance payments	If applicable, mandatory	N/A
Asset management				
17AG(5)	Asset management	An assessment of effectiveness of asset management where asset management is a significant part of the entity's activities	If applicable, mandatory	56

PGPA Rule reference	Part of report	Description	Requirement	Page
Purchasing				
17AG(6)	Purchasing	An assessment of entity performance against the <i>Commonwealth Procurement Rules</i>	Mandatory	57
Reportable consultancy contracts				
17AG(7)(a)	Contracts	A summary statement detailing the number of new reportable consultancy contracts entered into during the period; the total actual expenditure on all such contracts (inclusive of GST); the number of ongoing reportable consultancy contracts that were entered into during a previous reporting period; and the total actual expenditure in the reporting period on those ongoing contracts (inclusive of GST)	Mandatory	58
17AG(7)(b)	Contracts	A statement that ' <i>During [reporting period], [specified number] new reportable consultancy contracts were entered into involving total actual expenditure of \$[specified million]. In addition, [specified number] ongoing reportable consultancy contracts were active during the period, involving total actual expenditure of \$[specified million]</i> '	Mandatory	58

PGPA Rule reference	Part of report	Description	Requirement	Page
17AG(7)(c)	Contracts	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	58
17AG(7)(d)	Contracts	A statement that ' <i>Annual reports contain information about actual expenditure on reportable consultancy contracts. Information on the value of reportable consultancy contracts is available on the AusTender website</i> '	Mandatory	58
Reportable non-consultancy contracts				
17AG(7A)(a)	Contracts	A summary statement detailing the number of new reportable non-consultancy contracts entered into during the period; the total actual expenditure on such contracts (inclusive of GST); the number of ongoing reportable non-consultancy contracts that were entered into during a previous reporting period; and the total actual expenditure in the reporting period on those ongoing contracts (inclusive of GST)	Mandatory	59
17AG(7A)(b)	Contracts	A statement that ' <i>Annual reports contain information about actual expenditure on reportable non-consultancy contracts. Information on the value of reportable non-consultancy contracts is available on the AusTender website</i> '	Mandatory	59

PGPA Rule reference	Part of report	Description	Requirement	Page
17AD(daa)	Additional information about organisations receiving amounts under reportable consultancy contracts or reportable non-consultancy contracts			
17AGA	Contracts	Additional information, in accordance with section 17AGA, about organisations receiving amounts under reportable consultancy contracts or reportable non-consultancy contracts	Mandatory	59
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	59

PGPA Rule reference	Part of report	Description	Requirement	Page
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	59
Small business				
17AG(10)(a)	Procurement initiative to support small business	A statement that ' <i>[Name of entity] supports small business participation in the Commonwealth Government procurement market. Small and medium enterprises (SME) and Small Enterprise participation statistics are available on the Department of Finance's website</i> '	Mandatory	58
17AG(10)(b)	Procurement initiative to support small business	An outline of the ways in which the procurement practices of the entity support small and medium enterprises	Mandatory	58

PGPA Rule reference	Part of report	Description	Requirement	Page
17AG(10)(c)	Procurement initiative to support small business	If the entity is considered by the Department administered by the Finance Minister as material in nature—a statement that <i>'[Name of entity] recognises the importance of ensuring that small businesses are paid on time. The results of the Survey of Australian Government Payments to Small Business are available on the Treasury's website'</i>	If applicable, mandatory	58
Financial statements				
17AD(e)	Financial statements	Inclusion of the annual financial statements in accordance with subsection 43(4) of the Act	Mandatory	61
Executive remuneration				
17AD(da)	Appendix C: Executive remuneration statistics	Information about executive remuneration in accordance with Subdivision C of Division 3A of Part 2-3 of the Rule	Mandatory	49 & 112

PGPA Rule reference	Part of report	Description	Requirement	Page
17AD(f)	Other mandatory information			
17AH(1)(a)(i)	N/A	If the entity conducted advertising campaigns, a statement that <i>'During [reporting period], the [name of entity] conducted the following advertising campaigns: [name of advertising campaigns undertaken]. Further information on those advertising campaigns is available at [address of entity's website] and in the reports on Australian Government advertising prepared by the Department of Finance. Those reports are available on the Department of Finance's website'</i>	If applicable, mandatory	N/A
17AH(1)(a)(ii)	Advertising and market research	If the entity did not conduct advertising campaigns, a statement to that effect	If applicable, mandatory	59
17AH(1)(b)	Grant programs	A statement that <i>'Information on grants awarded by [name of entity] during [reporting period] is available at [address of entity's website]'</i>	If applicable, mandatory	59
17AH(1)(c)	Disability reporting	Outline of mechanisms of disability reporting, including reference to website for further information	Mandatory	51
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	41

PGPA Rule reference	Part of report	Description	Requirement	Page
17AH(1)(e)	N/A	Correction of material errors in previous annual report	If applicable, mandatory	N/A
17AH(2)	National Archives Advisory Council Annual Report 2021–22	Information required by other legislation	Mandatory	87

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