

National Archives of Australia

Agency resources and planned performance

NATIONAL ARCHIVES OF AUSTRALIA

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NATIONAL ARCHIVES OF AUSTRALIA

Section 1: Agency overview and resources

The National Archives of Australia (the Archives) has two planned outcomes:

- Authentic, reliable and useable Commonwealth records through the provision of information management products and services to Australian Government agencies.
- Greater understanding of our heritage and democracy through preserving, describing and providing access to the national archival collection.

1.1 STRATEGIC DIRECTION

The roles and responsibilities of the Archives are spelled out in the *Archives Act 1983* (Archives Act). These can be broadly grouped into the following three areas:

- helping Australian Government agencies (agencies) address their information management needs and to meet their information management responsibilities
- transferring archival value records from agencies and securing, describing, and preserving these records
- providing access to the archival records that we hold in accordance with the Archives Act.

The Archives' Outcomes and Programs structure has been designed to ensure that progress can be reported in each of these areas of core business and that these programs are appropriately resourced to enable performance of core business.

For the Archives, a major priority in 2009-10 will be to absorb the implications of the freedom of information reforms, announced by the government in March 2009 and, as necessary, advise the government on desirable complementary reforms of the Archives Act.

In the context of the government's broader information reforms the Archives will work closely with agencies to build capability and promote accountability in information management. Importantly, the Archives will continue to foster effective relationships with agencies and other strategic stakeholders, including the information and communication technology and tertiary education sectors.

A need for a new storage and preservation facility remains as pressing as ever because the Archives' current storage facilities are very close to full capacity. The Archives estimates that it will have to curtail transfers from agencies in approximately five years time if new storage capacity does not become available. In addition, the current storage facilities are ageing and costly to operate, especially in terms of their energy costs. Hence, one of the Archives' major priorities for the coming financial year will be to complete the business case for a new state of the art storage and preservation facility.

Transfers of archival value records from agencies in digital formats are also increasing. The Archives will need to manage and preserve these records. For some time now, the Archives has been developing its capacity to assist agencies to manage their digital information. In the 2009-10 financial year, the Archives will further develop the business case to secure government investment in the necessary solutions to manage, preserve, and provide access to the digital information that we hold.

The Archives employs a wide range of activities to enable greater access to the collection by the public. In recent years, the public has shown a marked preference for accessing the collection using online technologies. In response, the Archives has made more than 20 million images accessible via our website and we will continue with this initiative.

At the same time, a high-level reference service will be maintained for the public, including, in particular, for those researchers who need to visit a reading room to sight original archival records. More generally, the Archives will seek to increase the efficiency and effectiveness of its service delivery to the public. In 2009-10 we will complete a comprehensive review of our business systems and develop a plan for implementing the outcomes of the review over the forward estimates period.

In relation to the Archives' funding arrangements, the government is progressing initiatives in relation to net cash funding under Operation Sunlight. In 2009-10, the major impact of these initiatives on the Archives is a net reduction in appropriation revenue from government of approximately \$3.9 million. Under the government's previous accrual budgeting framework, this funding had been provided for the purchase of archival value records. As archival value records are transferred to the Archives from agencies, not purchased by the Archives, this reduction in funding will not have a significant impact on the Archives' operations.

1.2 AGENCY RESOURCE STATEMENT

Table 1.1 shows the total resources from all origins. The table summarises how resources will be applied by outcome and by administered and departmental classification.

Table 1.1: National Archives of Australia resource statement — Budget estimates for 2009–10 as at Budget May 2009

	Estimate of prior year amounts available in 2009–10 \$'000	Proposed at Budget = 2009–10 \$'000	Total Estimate 2009–10 \$'000	Actual Available Appropriation 2008–09 \$'000
Ordinary Annual Services¹				
Departmental				
Prior year departmental appropriation	96,207 ⁴	-	96,207	
Departmental appropriation		62,389	62,389	66,316
s. 31 relevant agency receipts ³	-	1,625	1,625	1,799
Total	96,207	64,014	160,221	68,115
Administered expenses				
Outcome 1	-	-	-	-
Outcome 2	-	-	-	-
Payments to CAC Act bodies	-	-	-	-
Total	-	-	-	-
Total ordinary annual services	A 96,207	64,014	160,221	68,115
Other services²				
Administered expenses				
Specific payments to states, ACT, NT and local government				
Outcome 1	-	-	-	-
Total	-	-	-	-
New administered expenses				
Outcome 1	-	-	-	-
Total	-	-	-	-
Departmental non-operating				
Equity injections	-	-	-	-
Previous years' outputs	-	-	-	-
Total	-	-	-	-
Administered non-operating				
Administered assets and liabilities	-	-	-	-
Payments to CAC Act bodies – non-operating	-	-	-	-
Total	-	-	-	-
Total other services²	B -	-	-	-
Total available annual appropriations	96,207	64,014	160,221	68,115
Special appropriations				
Special appropriations limited by criteria/entitlement				
<i>Special Appropriation Act 2006</i>	-	-	-	-
<i>Special Appropriation Act 2008</i>	-	-	-	-
Special appropriations limited by amount				
<i>Special Appropriation Act 1999</i>	-	-	-	-
Total special appropriations	C -	-	-	-
Total appropriations excluding special accounts	96,207	64,014	160,221	68,115

Continued on next page.

Table 1.1: National Archives of Australia resource statement — Budget estimates for 2009–10 as at Budget May 2009 (continued)

	Estimate of prior year amounts available in 2009–10 \$'000	+ Proposed at Budget = 2009–10 \$'000	=	Total Estimate 2009–10 \$'000	Actual Available Appropriation 2008–09 \$'000
Special accounts					
Opening balance ⁵	62	-		62	-
Appropriation receipts ⁶	-	-		-	-
Appropriation receipts – other agencies ⁷	-	-		-	-
Non-appropriation receipts to special accounts	-	30		30	30
Total special account	62	30		92	30
Total resourcing	96,269	64,044		160,313	68,145
A+B+C+D					
Less appropriations drawn from annual or special appropriations above and credited to special accounts and/or CAC Act bodies through annual appropriations	-	-		-	-
Total net resourcing for agency	96,269	64,044		160,313	68,145

1 Appropriation Bill (No. 1) 2009–10.

2 Appropriation Bill (No. 2) 2009–10.

3 Own source Income.

4 Estimated adjusted balance carried from previous year for annual appropriations.

5 Estimated opening balance for special accounts. For further detail on special accounts see Table 3.1.2.

6 Appropriation receipts from the Archives' annual and special appropriations for 2008–09 included above.

7 Appropriation receipts from other agencies credited to the Archives' special accounts.

Note: All figures are GST exclusive.

Third party payments from and on behalf of other agencies

The Archives has no third party drawdown arrangements with other agencies.

1.3 BUDGET MEASURES

Budget measures relating to the Archives are detailed in Budget Paper No. 2 and are summarised below.

Table 1.2: Agency 2009–10 Budget measures

Program	2008–09 \$'000	2009–10 \$'000	2010–11 \$'000	2011–12 \$'000	2012–13 \$'000
Expense measures					
Prime Minister and Cabinet Portfolio – further efficiencies					
1.1, 2.1, 2.2					
Administered expenses	-	-	-	-	-
Departmental expenses	-	(540)	(540)	(550)	(550)
Total	-	(540)	(540)	(550)	(550)
Total expense measures					
Administered	-	-	-	-	-
Departmental	-	(540)	(540)	(550)	(550)
Total	-	(540)	(540)	(550)	(550)

Prepared on a Government Financial Statistics (fiscal) basis.

1.4 TRANSITION FROM OUTCOMES AND OUTPUTS TO OUTCOMES AND PROGRAMS

From the 2009–10 Budget, all General Government Sector (GGS) entities will be reporting on a program basis. Figure 1 outlines the transition from the 2008–09 Budget year (as at Additional Estimates) which was presented in administered items, outputs and output groups to the program reporting framework used for the 2009–10 Budget. The figure also captures revisions made to GGS outcome statements under the Operation Sunlight Outcome Statements Review.

Figure 1: Transition table

2008–09 Budget year	2009–10 Budget year
<p>Outcome 1: Commonwealth institutions have access to recordkeeping products and services that enable them to account for their actions and decisions through full, authentic and reliable records</p>	<p>Outcome 1: Authentic, reliable and useable Commonwealth records through the provision of information management products and services to Australian Government agencies</p>
<p>Output Group 1.1: Records management products and services</p>	<p>Program 1.1: Delivering information management products and services</p>
<p>Outcome 2: Australians have access to a national archival collection that assists them to understand their heritage and democracy</p>	<p>Outcome 2: Greater understanding of our heritage and democracy through preserving, describing and providing access to the national archival collection</p>
<p>Output Group 2.1: A preserved, and developing, national archival collection</p>	<p>Program 2.1: Securing, describing and preserving records of national archival value</p>
<p>Output Group 2.2: An accessible, and interpreted, national archival collection</p>	<p>Program 2.2: Providing an accessible, visible and interpreted national archival collection</p>

1.5 PROGRAMS FOR WHICH TREASURY IS APPROPRIATED UNDER THE NEW FEDERAL FINANCIAL RELATIONS (FFR) FRAMEWORK

The Council of Australian Governments (COAG) has agreed to a new framework for Federal Financial Relations that is being implemented in a staged manner from 1 January 2009. Under these arrangements, specific purpose payments (SPPs) will now be made through combined monthly payments from the Commonwealth Treasury to and through state and territory treasuries.

No agencies in the Prime Minister and Cabinet portfolio are affected by these changes.

Further information on the Federal Financial Relations arrangements can be found in the Portfolio Budget Statements of the Treasury and in Budget Paper No. 3, Australia's Federal Relations 2009-10.

Section 2: Outcomes and planned performance

Government outcomes are the intended results, impacts or consequences of actions by the government on the Australian community. Agencies deliver programs, which are the government actions taken to deliver the stated outcomes. Agencies are required to identify the programs which contribute to government outcomes over the Budget and forward years.

Each outcome is described below together with its related programs, specifying the performance indicators and targets used to assess and monitor the performance of the Archives in achieving government outcomes.

2.1 OUTCOME 1 PERFORMANCE INFORMATION

Outcome 1: Authentic, reliable and useable Commonwealth records through the provision of information management products and services to Australian Government agencies.

2.1.1 Outcome 1 strategy

Through the provision of information management products and services to agencies, the Archives contributes to the creation of authentic, reliable and useable Commonwealth records.

Rapid advances in technology have fundamentally changed the way that government business is conducted. Due to the proliferation of formats and exponential growth in the volume of information, agencies face huge information management challenges. The Archives' programs are therefore important in assisting agencies to meet their obligations under the Archives Act in this challenging environment.

The Archives' major contribution to this outcome is through assisting agencies with the effective and efficient management of their information by:

- providing practical assistance with new information management products and advice to guide agencies
- advising agencies on changes in information management approaches and technologies
- developing and consulting on broader information management approaches that meet government expectations for transparency and accountability, and the business needs of agencies.

While the Archives provides accessible advice and guidance to agencies, the extent to which agencies adopt, implement and resource their internal information management activities is not controlled by the Archives.

2.1.2 Budgeted expenses and resources

Table 2.1 provides an overview of the total expenses for Outcome 1, by program.

Table 2.1: Budgeted expenses and resources for Outcome 1

Outcome 1: Authentic, reliable and useable Commonwealth records through the provision of information management products and services to Australian Government agencies	2008–09 Estimated Actual Expenses \$'000	2009–10 Estimated Expenses \$'000
Program 1.1: Delivering information management products and services		
Administered expenses	-	-
Departmental expenses		
Ordinary Annual Services (Appropriation Bill No. 1)	4,661	4,921
Revenues from independent sources (section 31)	128	124
Special appropriations	-	-
Special accounts	-	-
Expenses not requiring appropriation in the Budget year	187	248
Total for Program 1.1	4,976	5,293
Outcome 1 totals by appropriation type		
Administered expenses	-	-
Departmental expenses		
Ordinary Annual Services (Appropriation Bill No. 1)	4,661	4,921
Revenues from independent sources (section 31)	128	124
Special appropriations	-	-
Special accounts	-	-
Expenses not requiring appropriation in the Budget year	187	248
Total expenses for Outcome 1	4,976	5,293
Average staffing level (number)	49	43

Notes:

The change in estimated ASL from 2008–09 to 2009–10 is partly attributable to a slight change in the method used for allocating corporate (overhead) staff to outcomes and programs.

Departmental appropriation splits and totals are indicative estimates and may change in the course of the budget year as government priorities change.

2.1.3 Contributions to Outcome 1

Program 1.1: Delivering information management products and services
<p>Program objective</p> <p>To strengthen capability in agencies in relation to the creation and management of information to:</p> <ul style="list-style-type: none"> • ensure information relating to the business of government is available and can be accessed in the public interest • ensure integrated management of government information to underpin accountable government and effective and efficient business. <p>To achieve this the Archives will:</p> <ul style="list-style-type: none"> • develop information management policies and standards to guide agencies • provide advice and practical tools and products to assist with implementing these policies and standards • work collaboratively with information managers and other stakeholders in agencies to communicate best practice in information management • develop strategic relationships with key organisations across government, the information industry and the tertiary education sector to build information management capability • encourage agencies to manage all their information digitally and in an holistic and integrated way • identify records of archival value for long term retention.

Program expenses					
No significant changes in program expenses over the forward years are estimated, as detailed below.					
	2008–09	2009–10	2010–011	2011–12	2012–13
(\$'000)	Revised budget	Budget	Forward year 1	Forward year 2	Forward year 3
Annual departmental expenses:					
Ordinary Annual Services (Appropriation Bill No. 1)	4,661	4,921	4,915	4,943	5,008
Revenues from independent sources (section 31)	128	124	124	124	124
Expenses not requiring appropriation in the Budget year	187	248	215	191	218
Total departmental expenses	4,976	5,293	5,254	5,258	5,350

Program deliverables

The Archives will identify records of enduring national significance by promoting the development and publication of appropriate Records Authorities that meet agency business needs and the Archives' objectives. This includes:

- negotiating with agencies to identify records of enduring national significance and ensure their appropriate maintenance
- authorising the destruction of records that do not have enduring national significance
- permitting the transfer of custody or ownership of records outside the Commonwealth where appropriate.

The Archives will also develop best practice information management standards, policies and guidance. This includes:

- the development and deployment of integrated information management approaches across the Australian Government sector
- the development and maintenance of productive strategic relationships with the wider information management industry both within and external to the Australian Government, to address information management concerns.

The Archives will provide services to agencies to enhance their information management capabilities. This includes:

- relevant and regular training programs
- up to date information management advice and policy implementation guidance
- practical information management tools and products
- proactive forums with agencies and industry to identify and address information management issues and opportunities
- regular surveys to establish the state of information management in agencies
- advice to agencies to assist them to move to a fully integrated digital work environment.

Deliverables	2008–09 Revised budget	2009–10 Budget	2010–11 Forward year 1	2011–12 Forward year 2	2012–13 Forward year 3
Reach and accessibility of training and events:					
Number of locations	new	10	10	10	10

Program key performance indicators					
To determine the effectiveness of this program, either through take-up of activities or changes in circumstances, the Archives will measure:					
<ul style="list-style-type: none"> • the satisfaction with products, measured through formal evaluation • the take-up, reach and accessibility of services by number of participants, percentage of agencies represented, location of events, and satisfaction with services. 					
Key performance indicators	2008–09 Revised budget	2009–10 Budget	2010–11 Forward year 1	2011–12 Forward year 2	2012–13 Forward year 3
Increase in number of hits on online information management products	new	5%	5%	5%	5%
Satisfaction rating on information management products, services and advice	new	75%	77%	79%	81%
Take-up and accessibility of training and events:					
Number of participants	new	1,000	1,100	1,200	1,300
Percentage of agencies participating	new	60%	65%	70%	75%

2.2 OUTCOME 2 PERFORMANCE INFORMATION

Outcome 2: Greater understanding of our heritage and democracy through preserving, describing and providing access to the national archival collection.

2.2.1 Outcome 2 strategy

Through preserving, describing and providing access to the national archival collection, the Archives contributes to all Australians developing a greater understanding of their heritage and democracy.

This outcome will be achieved by ensuring that records of archival value generated by agencies are secured and protected for future use by government and the public. The Archives aims to do this by:

- arranging the transfer of archival records from agencies when they no longer have a business need for them
- documenting, describing and indexing the records held by the Archives to enable their retrieval and use by researchers
- storing the records in appropriate conditions
- preserving and conserving records at risk of deterioration.

Providing access to the national archival collection allows Australians to interact, explore, and study the records held by the Archives to better understand Australia's heritage and democracy.

Access is provided in numerous ways (including through the provision of a national reference and copying service to enable Australians to view records in reading rooms, or online at a time and place of their choosing) and to a range of audiences and stakeholders (including professional researchers, academics, genealogists, students, the media and agencies).

Understanding is enhanced through interpretation of records in exhibitions, events, publications, websites, and education and information programs.

2.2.2 Budgeted expenses and resources

Table 2.2 provides an overview of the total expenses for Outcome 2, by program.

Table 2.2: Budgeted expenses and resources for Outcome 2

Outcome 2: Greater understanding of our heritage and democracy through preserving, describing and providing access to the national archival collection	2008–09 Estimated Actual Expenses \$'000	2009–10 Estimated Expenses \$'000
Program 2.1: Securing, describing and preserving records of national archival value		
Administered expenses	-	-
Departmental expenses		
Ordinary Annual Services (Appropriation Bill No. 1)	36,015	35,402
Revenues from independent sources (section 31)	382	342
Special appropriations	-	-
Special accounts	39	39
Expenses not requiring appropriation in the Budget year	1,241	1,760
Total for Program 2.1	37,677	37,543
Program 2.2: Providing an accessible, visible and interpreted national archival collection		
Administered expenses	-	-
Departmental expenses		
Ordinary Annual Services (Appropriation Bill No. 1)	25,640	22,066
Revenues from independent sources (section 31)	1,289	1,159
Special appropriations	-	-
Special accounts	21	21
Expenses not requiring appropriation in the Budget year	1,485	1,143
Total for Program 2.2	28,435	24,389
Outcome 2 totals by appropriation type		
Administered expenses	-	-
Departmental expenses		
Ordinary Annual Services (Appropriation Bill No. 1)	61,655	57,468
Revenues from independent sources (section 31)	1,671	1,501
Special appropriations	-	-
Special accounts	60	60
Expenses not requiring appropriation in the Budget year	2,726	2,903
Total expenses for Outcome 2	66,112	61,932
	2008–09	2009–10
Average staffing level (number)	397	409

Notes:

The change in estimated ASL from 2008–09 to 2009–10 is partly attributable to a slight change in the method used for allocating corporate (overhead) staff to outcomes and programs.

Departmental appropriation splits and totals are indicative estimates and may change in the course of the budget year as government priorities change.

2.2.3 Contributions to Outcome 2

Program 2.1: Securing, describing and preserving records of national archival value

Program objective

To ensure Australians have access to the accumulated archive of records from successive ministries of the Australian Government.

To achieve this, the Archives will:

- protect records of national archival value by bringing them into the custody of the Archives or other appropriate custody
- control and describe records of national archival value to make them readily accessible
- preserve or copy the content of records of national archival value so they remain accessible to the government and the public
- provide and manage specialised storage to protect and extend the life of the records of national archival value.

Program expenses

No significant changes in program expenses over the forward years are estimated, as detailed below.

	2008–09 Revised budget	2009–10 Budget	2010–011 Forward year 1	2011–12 Forward year 2	2012–13 Forward year 3
(\$'000)					
Annual departmental expenses:					
Ordinary Annual Services (Appropriation Bill No. 1)	36,015	35,402	35,358	35,556	36,023
Revenues from independent sources (section 31)	382	342	342	342	342
Special account expenses:					
Australian Archives Projects and Sponsored Activities Special Account – s. 20 FMA Act Det. 2006/59	20	20	20	20	20
Other Trust Monies – National Archives of Australia Special Account – s. 20 FMA Act Det. 2006/60	19	19	19	19	19
Expenses not requiring appropriation in the Budget year	1,241	1,760	1,038	873	1,045
Total departmental expenses	37,677	37,543	36,777	36,810	37,449

Program deliverables

A small proportion of the records generated by agencies in the course of public administration are assessed as having archival value that justifies their ongoing preservation. In order that these records can be managed and protected appropriately, the Archives Act provides that they will be transferred to the Archives, or other appropriate custody as approved by the Archives. The following deliverables address the main components of the Program Objective.

The Archives will protect archival records by transferring them from agencies to appropriate custody for storage and preservation to support continued use by government and the public. This includes:

- transfer of archival records to the Archives (or appropriate alternatives) when their use in agencies has expired
- negotiating the transfer of the most valuable records (including digital as appropriate)
- reviewing records to confirm their archival value
- providing and managing sufficient and suitable storage for archival records in the relevant locations for the estimated rate of transfers
- providing appropriate environments and storage arrangements for archival records.

The Archives will describe archival records to enable them to be controlled, discovered and retrieved. This includes:

- maintaining the master administrative history of the Commonwealth machinery of government, ensuring that changes are reflected within 6 months
- registering agency and series for all records in custody and ensure their locations are recorded
- describing records at item level in the Archives' systems to increase accessibility by enabling online searching.

The Archives will also preserve records at risk of significant deterioration, prioritising those most likely to be affected within the next 5 years, according to their format. This includes preservation treatments for records at risk of loss or inaccessibility owing to inherent deterioration or technological obsolescence.

	2008–09 Revised budget	2009–10 Budget	2010–11 Forward year 1	2011–12 Forward year 2	2012–13 Forward year 3
Deliverables					
Transfer of records to archival custody (kilometres)	new	3	3	3	3
Review of records to confirm their archival value (kilometres)	new	5	5	5	5
Number of items added to RecordSearch	500,000	500,000	500,000	500,000	500,000
Number of items provided preservation treatment	new	250,000	250,000	250,000	250,000
Percentage of records stored in appropriate environments	new	86%	86%	86%	86%

NAA Budget Statements

Program key performance indicators					
To determine the effectiveness of this program, either through take-up of activities or changes in circumstances, the Archives will measure the:					
<ul style="list-style-type: none"> • percentage reduction in the quantity of archival records held by agencies • percentage of agencies with Records Authorities who have transferred records over the 4 year period • proportion of Archives total space available for transfer of records (according to record format and classification status) • proportion of total holdings described at 'item level' on Archives' systems to enable their ready discovery and retrieval • percentage of items targeted for treatment that have received treatment (by record format). 					
Key performance indicators (%)	2008-09 Revised budget	2009-10 Budget	2010-11 Forward year 1	2011-12 Forward year 2	2012-13 Forward year 3
Items targeted for preservation treatment that have received treatment	100	100	100	100	100
Reduction in the quantity of archival records held by agencies	new	10	11	13	14
Eligible agencies who have transferred records over the 4 year period	new	50	60	60	60
Total holdings described at 'item level' on Archives' systems to enable their ready discovery and retrieval	new	11	12	12	12

Program 2.2: Providing an accessible, visible and interpreted national archival collection

Program objective

To ensure Australians have an understanding of their heritage and democracy.

To achieve this, the Archives will:

- provide access to the Archives' collection
- interpret and communicate the Archives' collection.

Program expenses

No significant changes in program expenses over the forward years are estimated, as detailed below.

	2008–09 Revised budget	2009–10 Budget	2010–011 Forward year 1	2011–12 Forward year 2	2012–13 Forward year 3
(\$'000)					
Annual departmental expenses:					
Ordinary Annual Services (Appropriation Bill No. 1)	25,640	22,066	22,038	22,162	22,453
Revenues from independent sources (section 31)	1,289	1,159	1,159	1,159	1,159
Special account expenses:					
Australian Archives Projects and Sponsored Activities Special Account – s. 20 FMA Act Det. 2006/59	10	10	10	10	10
Other Trust Monies – National Archives of Australia Special Account – s. 20 FMA Act Det. 2006/60	11	11	11	11	11
Expenses not requiring appropriation in the Budget year	1,485	1,143	425	321	441
Total departmental expenses	28,435	24,389	23,643	23,663	24,074

Program deliverables

The Archives will provide timely and appropriate access to the collection through reading rooms, a national reference service and on the world wide web. Australians, regardless of where they live, will have access in one form or another through:

- a national network of reading rooms operating in each state and territory capital, that will provide researchers with access to original records
- a national reference service that will respond to inquiries with information, guidance and copies of records to clients Australia-wide
- a national digitisation service that will respond to requests for digital copies from clients Australia-wide
- the Archives' website.

The Archives will make the collection more accessible by increasing the number of record pages on the Archives' website each year.

The Archives will also enable visitors to engage in life-long learning about their heritage and democracy by engaging with and participating in Archives' education and information programs. These will include:

- displays, events and seminars highlighting the diversity and richness of records in the collection, their role and impact on Australia, its democracy, culture and way of life
- a national touring exhibition program that takes the collection and its stories to urban and regional centres
- school education tours and online learning through a 'Virtual Reading Room'
- historical, informative and interpretive websites that allow Australians to engage with, explore, and find information on the Archives and its diverse collection
- marketing and information programs including newsletters, social media, and media engagement programs and events
- production of guides, finding aids and historical publications that assist Australians to research the collection, and enhance their understanding of the Archives, its role and the collection.

Deliverables	2008–09 Revised budget	2009–10 Budget	2010–11 Forward year 1	2011–12 Forward year 2	2012–13 Forward year 3
Number of additional record pages added to the Archives' website		1,200,000	1,200,000	1,200,000	1,200,000
Archives' website availability		95%	95%	95%	95%
Percentage of reference inquiries responded to within 30 days		90%	90%	90%	90%
Percentage of records examined and cleared within 90 days		100%	100%	100%	100%

Program key performance indicators					
To determine the effectiveness of this program, either through take-up of activities or changes in circumstances, the Archives will identify the:					
<ul style="list-style-type: none"> • number of records accessed in reading rooms and through the national reference service • number of records accessed online • number of visitors participating in information and education activities • number of unique visits to the Archives' websites • percentage of visitors and participants in Archives' activities who are satisfied • percentage of visitors and participants in Archives' activities who report an increased awareness and understanding of Australia's heritage and democracy. 					
Key performance indicators	2008–09 Revised budget	2009–10 Budget	2010–11 Forward year 1	2011–12 Forward year 2	2012–13 Forward year 3
Number of records accessed in reading rooms and through a national reference service		100,000	100,000	100,000	100,000
Number of records accessed online		1,000,000	1,100,000	1,200,000	1,300,000
Number of visitors participating in information and education activities		100,000	100,000	100,000	100,000
Number of unique visits to the Archives' websites		1,500,000	1,600,000	1,700,000	1,800,000
Percentage of visitors and participants in all Archives' activities are satisfied		90%	90%	90%	90%
Percentage of visitors and participants in all Archives' activities report an increased awareness and understanding of Australia's heritage and democracy		90%	90%	90%	90%

Section 3: Explanatory tables and budgeted financial statements

Section 3 presents explanatory tables and budgeted financial statements which provide a comprehensive snapshot of agency finances for the budget year 2009-10. It explains how budget plans are incorporated into the financial statements and provides further details of the reconciliation between appropriations and program expenses, movements in administered funds, special accounts and government indigenous expenditure.

3.1 EXPLANATORY TABLES

3.1.1 Movement of administered funds between years

The Archives does not receive any administered funds.

3.1.2 Special accounts

Special accounts provide a means to set aside and record amounts used for specified purposes. Special accounts can be created by a Finance Minister's Determination under the *Financial Management and Accountability Act 1997* or under separate enabling legislation. Table 3.1.2 shows the expected additions (receipts) and reductions (payments) for each account used by the Archives.

Table 3.1.2: Estimates of special account cash flows and balances

		Opening balance 2009–10 <i>2008–09</i>	Receipts 2009–10 <i>2008–09</i>	Payments 2009–10 <i>2008–09</i>	Adjustments 2009–10 <i>2008–09</i>	Closing balance 2009–10 <i>2008–09</i>
	Outcome	\$'000	\$'000	\$'000	\$'000	\$'000
Australian Archives Projects and Sponsored Activities Special Account – s. 20 FMA Act (D) ¹	2	62 62	30 30	30 30	- -	62 62
Other Trust Monies – National Archives of Australia Special Account – s. 20 FMA Act (D) ²	2	- -	30 30	30 30	- -	- -
Total special accounts 2009–10 Budget estimate		62	60	60	-	62
Total special accounts <i>2008–09 estimated actual</i>		62	60	60	-	62

(D) = Departmental

FMA Act = *Financial Management and Accountability Act 1997*

- 1 Australian Archives Projects and Sponsored Activities Special Account – s. 20 FMA Act – Determination 2006/59. The primary purpose of this Special Account is to conduct projects to: promote reliable record keeping; or preserve, develop, interpret and make accessible, the national archival collection.
- 2 Other Trust Monies – National Archives of Australia Special Account – s. 20 FMA Act – Determination 2006/60. The primary purpose of this Special Account is to disburse amounts temporarily held on trust or otherwise for the benefit of a person other than the Commonwealth.

3.1.3 Australian Government Indigenous Expenditure

The Archives has no indigenous-specific expenses.

3.2 BUDGETED FINANCIAL STATEMENTS

3.2.1 Differences in agency resourcing and financial statements

There are no material differences between the figures stated in the agency resourcing tables and those in the budgeted financial statements.

3.2.2 Analysis of budgeted financial statements

Budgeted income for 2009–10, including government appropriations, totals \$70.0 million and budgeted expenses total \$67.2 million, resulting in an estimated operating surplus of \$2.8 million. This compares to an estimated actual operating surplus of \$6.2 million for 2008–09.

Income

Total budgeted income for 2009–10 of \$70.0 million is \$7.3 million less than the estimated actual income for 2008–09.

Appropriation revenue will decrease by \$3.9 million largely as a result of the implementation of initiatives in relation to net cash funding under Operation Sunlight. Under the government's previous accrual budgeting framework, this funding had been provided for the purchase of archival value records (i.e. collection items). As archival value records are transferred to the Archives from agencies, not purchased by the Archives, this reduction in funding will not have a significant impact on the Archives' operations.

Gains associated with the intake of collection items from other Australian Government agencies is estimated to decrease by \$3.2 million, while revenue from the sale of goods and rendering of services is estimated to decrease by \$0.2 million.

Expenses

Total budgeted expenses for 2009–10 of \$67.2 million is \$3.9 million less than the estimated actual expenses for 2008–09.

Employee benefits are estimated to decrease by \$0.7 million, while supplier expenses and finance costs are estimated to increase by \$2.1 million and \$0.1 million respectively. Depreciation and amortisation expenses are estimated to decrease by \$5.4 million, largely as a result of removing budgeted depreciation expenses for heritage and cultural assets in accordance with Department of Finance and Deregulation budget policy. The Archives is in discussion with the Australian National Audit Office in relation to the application of *Australian Accounting Standard 116 Property, Plant and Equipment*, to determine whether the Archives will continue to depreciate its heritage and cultural assets in 2009–10 and beyond.

Assets

The value of the Archives total assets is anticipated to increase by \$2.8 million to \$1,235.3 million in 2009-10.

The net increase in total assets is the result of a \$0.7 million increase in trade and other receivables, which mostly comprises the Archives' appropriation receivable balance held for meeting future costs of asset replacement and funding to meet payment of future employee leave obligations, and a \$2.2 million increase in non financial assets.

Liabilities

The value of the Archives' total liabilities is estimated to remain stable at \$15.6 million.

Equity

Total equity increased by \$2.8 million directly as a result of the planned surplus.

3.2.3 Budgeted financial statements tables

**Table 3.2.1: Budgeted departmental comprehensive income statement
(for the period ended 30 June)**

	Estimated actual 2008–09 \$'000	Budget estimate 2009–10 \$'000	Forward estimate 2010–11 \$'000	Forward estimate 2011–12 \$'000	Forward estimate 2012–13 \$'000
EXPENSES					
Employee benefits	35,260	34,553	34,553	34,550	34,550
Supplier	22,008	24,140	22,536	22,922	24,119
Grants	-	-	-	-	-
Depreciation and amortisation	12,530	7,165	7,211	6,878	6,878
Write-down and impairment of assets	1,181	1,181	1,181	1,181	1,181
Losses from asset sales	-	-	-	-	-
Finance costs	109	186	193	200	145
Other	-	-	-	-	-
Total expenses	71,088	67,225	65,674	65,731	66,873
LESS:					
OWN-SOURCE INCOME					
Revenue					
Sale of goods and rendering of services	1,799	1,625	1,625	1,625	1,625
Fees and fines	-	-	-	-	-
Other revenue	-	-	-	-	-
Total revenue	1,799	1,625	1,625	1,625	1,625
Gains					
Sale of assets	-	-	-	-	-
Other gains	9,213	6,034	5,082	5,082	5,082
Total gains	9,213	6,034	5,082	5,082	5,082
Total own-source income	11,012	7,659	6,707	6,707	6,707
Net cost of (contribution by) services	60,076	59,566	58,967	59,024	60,166
Appropriation revenue	66,316	62,389	62,311	62,661	63,484
Surplus / (deficit)	6,240	2,823	3,344	3,637	3,318
Surplus / (deficit) attributable to the Australian Government	6,240	2,823	3,344	3,637	3,318
OTHER COMPREHENSIVE INCOME					
Changes in asset revaluation reserves	-	-	-	-	-
Total other comprehensive income	-	-	-	-	-
Total comprehensive income	-	-	-	-	-
Total comprehensive income attributable to the Australian Government	-	-	-	-	-

Prepared on Australian Accounting Standards basis, with the exception of depreciation and amortisation expenses in relation to heritage and cultural assets under AASB 116 *Property, Plant and Equipment*. This matter is under discussion between the Archives and the Australian National Audit Office.

Table 3.2.2: Budgeted departmental balance sheet (as at 30 June)

	Estimated actual 2008–09 \$'000	Budget estimate 2009–10 \$'000	Forward estimate 2010–11 \$'000	Forward estimate 2011–12 \$'000	Forward estimate 2012–13 \$'000
ASSETS					
Financial assets					
Cash and equivalents	568	568	568	568	568
Trade and other receivables	95,609	96,259	98,725	101,140	101,810
Investments accounted for under the equity method	-	-	-	-	-
Investments	-	-	-	-	-
Other investments	-	-	-	-	-
Tax assets	-	-	-	-	-
Other	133	133	133	133	133
Total financial assets	96,310	96,960	99,426	101,841	102,511
Non-financial assets					
Land and buildings	-	-	-	-	-
Infrastructure, plant and equipment	25,548	23,161	20,790	18,886	16,982
Investment properties	-	-	-	-	-
Inventories	237	237	237	237	237
Intangibles	12,144	11,916	11,526	11,002	10,478
Biological assets	-	-	-	-	-
Other	1,098,236	1,103,007	1,106,826	1,110,645	1,114,464
Total non-financial assets	1,136,165	1,138,321	1,139,379	1,140,770	1,142,161
Total assets	1,232,475	1,235,281	1,238,805	1,242,611	1,244,672
LIABILITIES					
Interest-bearing liabilities					
Loans	-	-	-	-	-
Leases	-	-	-	-	-
Deposits	-	-	-	-	-
Other	-	-	-	-	-
Total interest-bearing liabilities	-	-	-	-	-
Provisions					
Employees	8,364	8,370	8,380	8,390	8,390
Other	4,291	4,268	4,438	4,597	3,340
Total provisions	12,655	12,638	12,818	12,987	11,730
Payables					
Suppliers	1,780	1,780	1,780	1,780	1,780
Grants	-	-	-	-	-
Dividends	-	-	-	-	-
Other	1,214	1,214	1,214	1,214	1,214
Total payables	2,994	2,994	2,994	2,994	2,994
Liabilities included in disposal groups held for sale	-	-	-	-	-
Total liabilities	15,649	15,632	15,812	15,981	14,724
Net assets	1,216,826	1,219,649	1,222,993	1,226,630	1,229,948

Continued on next page.

Table 3.2.2: Budgeted departmental balance sheet (as at 30 June) (continued)

	Estimated actual 2008–09 \$'000	Budget estimate 2009–10 \$'000	Forward estimate 2010–11 \$'000	Forward estimate 2011–12 \$'000	Forward estimate 2012–13 \$'000
EQUITY¹					
Parent entity interest					
Contributed equity	272	272	272	272	272
Reserves	-	-	-	-	-
Retained surpluses or accumulated deficits	1,216,554	1,219,377	1,222,721	1,226,358	1,229,676
Total parent entity interest	1,216,826	1,219,649	1,222,993	1,226,630	1,229,948
Minority interest					
Contributed equity	-	-	-	-	-
Reserves	-	-	-	-	-
Retained surpluses or accumulated deficits	-	-	-	-	-
Total minority interest	-	-	-	-	-
Total equity	1,216,826	1,219,649	1,222,993	1,226,630	1,229,948
Current assets	91,432	91,640	91,901	92,184	92,337
Non-current assets	1,141,043	1,143,641	1,146,904	1,150,427	1,152,335
Current liabilities	10,136	10,125	10,242	10,351	9,537
Non-current liabilities	5,513	5,507	5,570	5,630	5,187

1 'Equity' is the residual interest in assets after deduction of liabilities.
Prepared on Australian Accounting Standards basis.

**Table 3.2.3: Budgeted departmental statement of cash flows
(for the period ended 30 June)**

	Estimated actual 2008–09 \$'000	Budget estimate 2009–10 \$'000	Forward estimate 2010–11 \$'000	Forward estimate 2011–12 \$'000	Forward estimate 2012–13 \$'000
OPERATING ACTIVITIES					
Cash received					
Goods and services	1,799	1,625	1,625	1,625	1,625
Appropriations	59,233	61,739	59,845	60,246	62,814
Interest	-	-	-	-	-
Dividends	-	-	-	-	-
Other	2,834	3,040	2,869	2,908	3,028
Total cash received	63,866	66,404	64,339	64,779	67,467
Cash used					
Employees	35,264	34,547	34,543	34,540	34,550
Suppliers	21,926	24,058	22,454	22,840	24,037
Grants	-	-	-	-	-
Borrowing costs	-	-	-	-	-
Other	2,834	3,040	2,869	2,908	3,028
Income taxes paid	-	-	-	-	-
Total cash used	60,024	61,645	59,866	60,288	61,615
Net cash from or (used by) operating activities	3,842	4,759	4,473	4,491	5,852
INVESTING ACTIVITIES					
Cash received					
Proceeds from sales of infrastructure, property, plant and equipment	-	-	-	-	-
Proceeds from sales of financial instruments	-	-	-	-	-
Investments	-	-	-	-	-
Other	-	-	-	-	-
Total cash received	-	-	-	-	-
Cash used					
Purchase of infrastructure, property, plant and equipment	4,450	4,759	4,473	4,491	5,852
Purchase of financial instruments	-	-	-	-	-
Investments	-	-	-	-	-
Other	-	-	-	-	-
Total cash used	4,450	4,759	4,473	4,491	5,852
Net cash from or (used by) investing activities	(4,450)	(4,759)	(4,473)	(4,491)	(5,852)

Continued on next page.

**Table 3.2.3: Budgeted departmental statement of cash flows
(for the period ended 30 June) (continued)**

	Estimated actual 2008–09 \$'000	Budget estimate 2009–10 \$'000	Forward estimate 2010–11 \$'000	Forward estimate 2011–12 \$'000	Forward estimate 2012–13 \$'000
FINANCING ACTIVITIES					
Cash received					
Appropriations – contributed equity	-	-	-	-	-
Proceeds from issuing financial instruments	-	-	-	-	-
Other	-	-	-	-	-
Total cash received	-	-	-	-	-
Cash used					
Repayments of debt	-	-	-	-	-
Dividends paid	-	-	-	-	-
Other	-	-	-	-	-
Total cash used	-	-	-	-	-
Net cash from or (used by) financing activities	-	-	-	-	-
Net increase or (decrease) in cash held	(608)	-	-	-	-
Cash at the beginning of the reporting period	1,176	568	568	568	568
Effect of exchange rate movements on cash at the beginning of reporting period	-	-	-	-	-
Cash at the end of the reporting period	568	568	568	568	568

Prepared on Australian Accounting Standards basis.

Table 3.2.4: Departmental statement of changes in equity — summary of movement (Budget year 2009–10)

	Retained earnings	Asset revaluation reserve	Other reserves	Contributed equity/capital	Total equity
	\$'000	\$'000	\$'000	\$'000	\$'000
Opening balance as at 1 July 2009					
Balance carried forward from previous period	1,216,554	-	-	272	1,216,826
Adjustment for changes in accounting policies	-	-	-	-	-
Adjusted opening balance	1,216,554	-	-	272	1,216,826
Income and expense					
Income and expenses recognised directly in equity:					
Gain/loss on revaluation of property	-	-	-	-	-
Sub-total income and expense	-	-	-	-	-
Surplus / (deficit) for the period	2,823	-	-	-	2,823
Total income and expenses recognised directly in equity	1,219,377	-	-	272	1,219,649
Transactions with owners					
<i>Distribution to owners</i>					
Returns on capital					
Dividends	-	-	-	-	-
Returns of capital					
Restructuring	-	-	-	-	-
Other	-	-	-	-	-
<i>Contribution by owners</i>					
Appropriation (equity injection)	-	-	-	-	-
Other:					
Restructuring	-	-	-	-	-
Sub-total transactions with owners	-	-	-	-	-
Transfers between equity components	-	-	-	-	-
Estimated closing balance as at 30 June 2010	1,219,377	-	-	272	1,219,649

Prepared on Australian Accounting Standards basis.

Table 3.2.5: Departmental capital budget statement

	Estimated actual 2008–09 \$'000	Budget estimate 2009–10 \$'000	Forward estimate 2010–11 \$'000	Forward estimate 2011–12 \$'000	Forward estimate 2012–13 \$'000
CAPITAL APPROPRIATIONS					
Total equity injections		-	-	-	-
Total loans	-	-	-	-	-
Special appropriations	-	-	-	-	-
Total capital appropriations	-	-	-	-	-
Represented by					
Purchase of non-financial assets					
Other	-	-	-	-	-
Total represented by	-	-	-	-	-
ACQUISITION OF NON-FINANCIAL ASSETS					
Funded by capital appropriations	-	-	-	-	-
Funded internally from departmental resources ¹	13,581	10,502	9,450	9,450	9,450
Assets received due to restructure (FMA s. 32)	-	-	-	-	-
TOTAL	13,581	10,502	9,450	9,450	9,450

1 Includes the following sources of funding: annual and prior year appropriations; donations and contributions; gifts; finance leases; internally developed assets; s. 31 relevant agency receipts; proceeds from the sale of assets.

Prepared on Australian Accounting Standards basis.

Table 3.2.6: Statement of asset movements—departmental

	Other infrastructure, plant & equipment \$'000	Heritage & cultural assets \$'000	Intangibles \$'000	Total \$'000
As at 1 July 2009				
Gross book value	37,830	1,124,932	21,835	1,184,597
Accumulated depreciation/amortisation	12,282	27,585	9,691	49,558
Opening net book balance	25,548	1,097,347	12,144	1,135,039
CAPITAL ASSET ADDITIONS				
Estimated expenditure on new or replacement assets				
by purchase or internally developed	3,200	-	1,350	4,550
by finance lease	-	-	-	-
by contribution/donation	-	5,952	-	5,952
by gift	-	-	-	-
Acquisition of entities or operations (including restructuring)				
	-	-	-	-
Subtotal	3,200	5,952	1,350	10,502
Other movements				
group held for sale	-	-	-	-
Depreciation/amortisation expense	5,587	-	1,578	7,165
Disposals ¹	-	-	-	-
Other	-	1,181	-	1,181
Subtotal	5,587	1,181	1,578	8,346
As at 30 June 2010				
Gross book value	23,161	1,102,118	11,916	1,137,195
Accumulated depreciation/amortisation	-	-	-	-
Closing net book balance	23,161	1,102,118	11,916	1,137,195
Estimated operating expenditure in income statement for heritage and cultural assets				
Operations and maintenance				12,746
Preservation and conservation				8,565
Totals				21,311

Prepared on Australian Accounting Standards basis.

¹ Proceeds may be returned to the OPA.

Table 3.2.7 Schedule of heritage and cultural assets capital budget

	Estimated actual 2008–09 \$'000	Budget estimate 2009–10 \$'000	Forward estimate 2010–11 \$'000	Forward estimate 2011–12 \$'000	Forward estimate 2012–13 \$'000
CAPITAL APPROPRIATIONS					
Total equity injections	-	-	-	-	-
Administered assets	-	-	-	-	-
Total loans	-	-	-	-	-
Special appropriations	-	-	-	-	-
Total capital appropriations	-	-	-	-	-
Represented by:					
Purchase of non-financial assets	-	-	-	-	-
Other	-	-	-	-	-
Total represented by	-	-	-	-	-
ADDITIONS OF NON-FINANCIAL ASSETS					
Funded by capital appropriations	-	-	-	-	-
Funded internally from departmental resources					
– annual appropriations	-	-	-	-	-
– prior year annual appropriations	-	-	-	-	-
– prior year capital appropriations	-	-	-	-	-
– donations and contributions	9,131	5,952	5,000	5,000	5,000
– gifts	-	-	-	-	-
– finance leases	-	-	-	-	-
– internally developed assets	-	-	-	-	-
– s. 31 relevant agency receipts	-	-	-	-	-
– proceeds from the sale of assets	-	-	-	-	-
Assets received due to restructure (FMA s. 32)	-	-	-	-	-
TOTAL	9,131	5,952	5,000	5,000	5,000

Prepared on Australian Accounting Standards basis.