

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 usable 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 STATEMENT

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:

- supporting Australian Government agencies (agencies) in the creation and management of authentic, reliable and useable Commonwealth records by helping address their information management needs and 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 the Archives' core business.

An increasingly pressing priority for the Archives is to secure appropriate storage and preservation facilities for an expanding volume of records, particularly as current storage facilities are very close to full capacity. The Archives estimates that it will have to curtail transfers from agencies in approximately four years time if new storage capacity does not become available.

The Archives will continue to develop and implement its responses to changes in the information environment including Government policies in relation to greater transparency and openness, the ever-increasing volume of information in electronic form and new ways of using and sharing information in a digital environment.

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The Archives will work closely with agencies to build capability and promote accountability in information management. The Archives will continue to develop its capacity to assist agencies to manage their digital information. As the rate of transfer from agencies of records in digital formats increases, the Archives will also need to expand its capability to manage and preserve these records.

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. It will also work closely with the proposed Office of the Information Commissioner.

The Archives remains committed to providing access to its collection. In recent years, the public has shown a marked preference for accessing the collection using online technologies. In response, the Archives has made 22 million images accessible via its website and will continue with this initiative.

The Archives will continue planning for and implementing revised service delivery arrangements from its offices around the country, including exploring options for co-location with State or Territory records offices or other appropriate agencies.

1.2 AGENCY RESOURCE STATEMENT

Table 1.1 shows the total resources from all sources. 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 2010–11 as at Budget, May 2010

	Estimate of prior year amounts available in 2010–11 \$'000	Proposed at Budget = 2010–11 \$'000	Total estimate 2010–11 \$'000	Actual available appropriation 2009–10 \$'000
Ordinary annual services¹				
Departmental appropriation				
Prior year departmental appropriation ²	9,866	-	9,866	-
Departmental appropriation ³	-	62,490	62,490	62,289
s. 31 Relevant agency receipts ⁴	-	1,625	1,625	1,329
Total	9,866	64,115	73,981	63,618
Administered expenses				
Total	-	-	-	-
Total ordinary annual services	A 9,866	64,115	73,981	63,618
Other services⁵				
Total	-	-	-	-
Total other services	B -	-	-	-
Total available annual appropriations	9,866	64,115	73,981	63,618
Total special appropriations	C -	-	-	-
Total appropriations excluding special accounts	9,866	64,115	73,981	63,618
Special accounts				
Opening balance ⁶	45	-	45	-
Non-appropriation receipts to special accounts	-	30	30	30
Total special account	D 45	30	75	30
Total resourcing				
A+B+C+D	9,911	64,145	74,056	63,648
Less appropriations drawn from annual or special appropriations above and credited to special accounts	-	-	-	-
Total net resourcing for agency	9,911	64,145	74,056	63,648

1 Appropriation Bill (No. 1) 2010–11.

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

3 Includes an amount of \$7.462 million in 2010–11 for the departmental capital budget (see Table 3.2.5 for further details). For accounting purposes, this amount has been designated as 'contributions by owners'.

4 s. 31 relevant agency receipts—estimate.

5 Appropriation Bill (No. 2) 2010–11.

6 Estimated opening balance for special accounts (less 'Special Public Money' held in accounts such as Other Trust Monies (OTM) and Services for Other Government and Non-agency Bodies (SOG) accounts). For further information on special accounts, see Table 3.1.2.

Note: All figures are GST exclusive.

1.3 BUDGET MEASURES

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

Table 1.2: National Archives of Australia 2010–11 Budget measures

Program	2009–10 \$'000	2010–11 \$'000	2011–12 \$'000	2012–13 \$'000	2013–14 \$'000
Expense measures					
National Archives of Australia – continued presence in states and territories					
1.1, 2.1 & 2.2					
Administered	-	-	-	-	-
Departmental expenses	700	1,400	1,400	1,400	1,400
Total	700	1,400	1,400	1,400	1,400
Total expense measures					
Administered	All	-	-	-	-
Departmental		700	1,400	1,400	1,400
Total		700	1,400	1,400	1,400

Prepared on a Government Financial Statistics (fiscal) basis.

Measures announced between 2009–10 Budget and 2010–11 Budget but not yet reported in a subsequent portfolio statement

Program	2009–10 \$'000	2010–11 \$'000	2011–12 \$'000	2012–13 \$'000	2013–14 \$'000
Measures					
National Archives Preservation Facility – Gateway review funding					
2.1					
Administered expense	-	-	-	-	-
Departmental expense	(100)	-	-	-	-
Total	(100)	-	-	-	-
Whole-of-government departmental efficiencies					
1.1, 2.1 & 2.2					
Administered expense	-	-	-	-	-
Departmental expense	(700)	(1,400)	(1,400)	(1,400)	(1,400)
Total	(700)	(1,400)	(1,400)	(1,400)	(1,400)
Total measures					
Administered	-	-	-	-	-
Departmental	(800)	(1,400)	(1,400)	(1,400)	(1,400)
Total	(800)	(1,400)	(1,400)	(1,400)	(1,400)

Prepared on a Government Financial Statistics (fiscal) basis.

SECTION 2: OUTCOMES AND PLANNED PERFORMANCE

2.1 OUTCOME 1 PERFORMANCE INFORMATION

Government outcomes are the intended results, impacts or consequences of actions by the government on the Australian community. Commonwealth programs are the primary vehicle by which government agencies achieve the intended results of their outcome statements. 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.

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

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.

Agencies face huge challenges in managing information, given increasing demands for transparency and openness and new ways of using and sharing information in a digital environment. 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 in a digital environment 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.

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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.

Outcome 1 expense and resource statement

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.	2009–10 Estimated actual expenses \$'000	2010–11 Estimated expenses \$'000
Program 1.1: Delivering information management products and services		
Departmental expenses		
Ordinary annual services (Appropriation Bill No. 1)	4,921	4,362
Revenue from independent sources (s. 31)	124	151
Expenses not requiring appropriation in the Budget year	824	959
Total for Program 1.1	5,869	5,472
Outcome 1 totals by appropriation type		
Departmental expenses		
Ordinary annual services (Appropriation Bill No. 1)	4,921	4,362
Revenue from independent sources (s. 31)	124	151
Expenses not requiring appropriation in the Budget year	824	959
Total expenses for Outcome 1	5,869	5,472
	2009–10	2010–11
Average staffing level (number)	39	39

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

Contributions to Outcome 1

Program 1: National Archives of Australia

Program 1.1: Delivering information management products and services

Program 1.1 objective

To strengthen capability in agencies in relation to the creation and management of information and records to:

- identify records of enduring national significance
- ensure information and records relating to the government business are available and can be accessed in the public interest
- ensure integrated management of government information and records to underpin accountable government and effective and efficient business.

To achieve this the Archives will:

- develop information management policies and standards to guide agencies
- encourage agencies to manage all their information digitally and in an holistic and integrated way
- 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.

Program 1.1 expenses

The decrease in annual departmental expenses (Appropriation Bill No. 1) relates to the withdrawal of depreciation and amortisation funding under ordinary annual services.

	2009–10	2010–11	2011–12	2012–13	2013–14
Program expense (\$'000)	Revised budget	Budget	Forward year 1	Forward year 2	Forward year 3
Annual departmental expenses:					
Ordinary annual services (Appropriation Bill No. 1)	4,921	4,362	4,416	4,498	4,552
Revenue from independent sources (s. 31)	124	151	151	151	151
Expense not requiring appropriation in the Budget year	824	959	1,134	1,184	1,125
Total program expense	5,869	5,472	5,701	5,833	5,828

Program 1.1 deliverables

The Archives will identify records of enduring national significance by encouraging the development and implementation 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:

- contributing to and supporting integrated information management approaches across the Australian Government sector
- developing and maintaining 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. The services will include:

- advice to agencies to assist them to move to a fully integrated digital work environment
- 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.

	2009-10 Revised budget	2010-11 Budget	2011-12 Forward year 1	2012-13 Forward year 2	2013-14 Forward year 3
Deliverables					
Reach and accessibility of training and events:					
Number of locations	10	10	10	10	10

Program 1.1 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 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	2009-10 Revised budget	2010-11 Budget target	2011-12 Forward year 1	2012-13 Forward year 2	2013-14 Forward year 3
Increase in number of hits on online information management products	5%	5%	5%	5%	5%
Satisfaction rating on information management products, services and advice	75%	77%	79%	81%	81%
Take-up and accessibility of training and events:					
Number of participants	1,000	1,100	1,200	1,300	1,300
Percentage of agencies participating	60%	65%	70%	75%	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.

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.

Outcome 2 expense and resource statement

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

	2009–10 Estimated actual expenses \$'000	2010–11 Estimated expenses \$'000
Outcome 2: Greater understanding of our heritage and democracy through preserving, describing and providing access to the national archival collection		
Program 2.1: Securing, describing and preserving records of national archival value.		
Departmental expenses		
Ordinary annual services (Appropriation Bill No. 1)	35,302	32,205
Revenue from independent sources (s. 31)	180	221
Special accounts	39	39
Expenses not requiring appropriation in the Budget year	5,804	6,959
Total for Program 2.1	41,325	39,424
Program 2.2: Providing an accessible, visible and interpreted national archival collection.		
Departmental expenses		
Ordinary annual services (Appropriation Bill No. 1)	22,066	18,461
Revenue from independent sources (s. 31)	1,025	1,253
Special accounts	21	21
Expenses not requiring appropriation in the Budget year	3,776	4,562
Total for Program 2.2	26,888	24,297
Outcome 2 totals by appropriation type		
Departmental expenses		
Ordinary annual services (Appropriation Bill No. 1)	57,368	50,666
Revenue from independent sources (s. 31)	1,205	1,474
Special accounts	60	60
Expenses not requiring appropriation in the Budget year	9,580	11,521
Total expenses for Outcome 2	68,213	63,721
	2009–10	2010–11
Average staffing level (number)	407	403

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

Contributions to Outcome 2

Program 2: National Archives of Australia

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

Program 2.1 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 2.1 expenses

The decrease in annual departmental expenses (Appropriation Bill No. 1) relates to the withdrawal of depreciation and amortisation funding under ordinary annual services.

Program expense (\$'000)	2009–10 Revised budget	2010–11 Budget	2011–12 Forward year 1	2012–13 Forward year 2	2013–14 Forward year 3
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
Annual departmental expenses:					
Ordinary annual services (Appropriation Bill No. 1)	35,302	32,205	32,600	33,204	33,603
Revenue from independent sources (s. 31)	180	221	221	221	221
Expense not requiring appropriation in the Budget year	5,804	6,959	6,674	7,006	6,547
Total program expense	41,325	39,424	39,534	40,470	40,410

Program 2.1 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.

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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 five years, according to their format. This includes preservation treatments for records at risk of loss or inaccessibility owing to inherent deterioration or technological obsolescence.

	2009-10 Revised budget	2010-11 Budget	2011-12 Forward year 1	2012-13 Forward year 2	2013-14 Forward year 3
Deliverables					
Transfer of records to archival custody (kilometres)	3.0	3.0	4.0	4.0	6.5
Review of records to confirm their archival value (kilometres)	5.0	5.0	5.0	5.0	5.0
Number of items added to RecordSearch	500,000	800,000	800,000	500,000	250,000
Number of items provided preservation treatment	250,000	550,000	600,000	450,000	200,000
Percentage of records stored in appropriate environments	86%	86%	86%	86%	86%

Program 2.1 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:

- percentage reduction in the quantity of archival records held by agencies
- percentage of agencies with Records Authorities who have transferred records over the four-year period
- 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 (%)	2009-10 Revised budget	2010-11 Budget target	2011-12 Forward year 1	2012-13 Forward year 2	2013-14 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	10	11	13	14	14
Eligible agencies who have transferred records over the four-year period	50	60	60	60	60
Total holdings described at 'item level' on Archives' systems to enable their ready discovery and retrieval	11.0	22.0	22.5	22.5	21.0

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

Program 2.2 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 2.2 expenses

The decrease in annual departmental expenses (Appropriation Bill No. 1) relates to the withdrawal of depreciation and amortisation funding under ordinary annual services.

Program expense (\$'000)	2009–10 Revised budget	2010–11 Budget	2011–12 Forward year 1	2012–13 Forward year 2	2013–14 Forward year 3
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
Annual departmental expenses:					
Ordinary annual services (Appropriation Bill No. 1)	22,066	18,461	18,687	19,034	19,263
Revenue from independent sources (s. 31)	1,025	1,253	1,253	1,253	1,253
Expenses not requiring appropriation in the Budget year	3,776	4,562	3,978	4,241	3,899
Total program expenses	26,888	24,297	23,939	24,549	24,436

Program 2.2 deliverables

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

- a national reference service that will respond to inquiries with information, guidance and copies of records to clients Australia-wide
- a national network of reading rooms operating in each state and territory capital, that will provide researchers with access to original records
- 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.

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Deliverables	2009–10 Revised budget	2010–11 Budget	2011–12 Forward year 1	2012–13 Forward year 2	2013–14 Forward year 3
Number of additional record pages added to the Archives' website	1,200,000	1,100,000	1,100,000	1,100,000	1,100,000
Archives' website availability	95%	95%	95%	95%	95%
Percentage of reference inquiries responded to within 30 days	90%	90%	90%	90%	90%
Percentage of records examined and cleared within 90 days	100%	100%	100%	100%	100%

Program 2.2 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:

- number of records accessed through the national reference service and reading rooms
- 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	2009–10 Revised budget	2010–11 Budget target	2011–12 Forward year 1	2012–13 Forward year 2	2013–14 Forward year 3
Number of records accessed through a national reference service and reading rooms	100,000	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	1,300,000
Number of visitors participating in information and education activities	100,000	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	1,800,000
Percentage of visitors and participants in all Archives' activities are satisfied	90%	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%	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 2010–11 budget year. 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 have 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* (FMA Act) 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 flows and balances

		Opening balance 2010–11 <i>2009–10</i>	Receipts 2010–11 <i>2009–10</i>	Payments 2010–11 <i>2009–10</i>	Adjustments 2010–11 <i>2009–10</i>	Closing balance 2010–11 <i>2009–10</i>
	Outcome	\$'000	\$'000	\$'000	\$'000	\$'000
Australian Archives Projects and Sponsored Activities Special Account – s. 20 FMA Act (D) ¹	2	45	30	30	-	45
		45	30	30	-	45
Other Trust Monies – National Archives of Australia Special Account – s. 20 FMA Act (D) ²	2	-	30	30	-	-
		-	30	30	-	-
Total special accounts 2010–11 Budget estimate		45	60	60	-	45
<i>Total special accounts 2009–10 estimated actual</i>		<i>45</i>	<i>60</i>	<i>60</i>	<i>-</i>	<i>45</i>

(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

The agency resource statement (Table 1.1) provides a consolidated view of all the resources available to the agency in 2010–11. This includes equity injections and appropriation receivable that is yet to be drawn down to cover payables and provisions on the balance sheet. The income statement (Table 3.2.1) shows only the operating appropriation provided in 2010–11.

3.2.2 Analysis of budgeted financial statements

Income statement

The Archives is budgeting for a loss of \$14.9 million in 2010–11, reflecting the withdrawal of depreciation and amortisation funding for asset classes other than heritage and cultural assets, for which depreciation funding has already been withdrawn. As a result, appropriation revenue will decrease by a further \$7.3 million in 2010–11.

Other revenue is estimated to decrease by \$8.6 million in 2010–11 and is directly related to an equivalent reduction in the intake of collection items from other agencies. Revenue from the sale of goods and rendering of services is estimated to increase by \$0.3 million, while revenue from rental income is estimated to remain steady.

Total expenses are estimated to increase by \$2.6 million in 2010–11, largely as a result of estimated increases in rent and associated property operating expenses connected with the Archives' repositories.

Balance sheet

Equity is estimated at \$1,395.5 million at 30 June 2011, reflecting the net effect of the estimated loss of \$14.9 million offset by \$7.5 million in capital funding for asset replacement associated with the withdrawal of depreciation and amortisation funding.

Net assets are forecast to decline over the forward estimates period, largely as a result of the estimated depreciation charge for heritage and cultural assets exceeding revenue associated with the intake of new collection items. At the end of 2010–11 total assets are estimated at \$1,412.9 million, of which \$9.0 million are financial assets. This compares to total liabilities of \$17.5 million, which comprise payables of \$3.2 million and provisions of \$14.3 million.

3.2.3 Budgeted financial statements tables

**Table 3.2.1: Comprehensive income statement (showing net cost of services)
(for the period ended 30 June)**

	Estimated actual 2009–10 \$'000	Budget estimate 2010–11 \$'000	Forward estimate 2011–12 \$'000	Forward estimate 2012–13 \$'000	Forward estimate 2013–14 \$'000
EXPENSES					
Employee benefits	34,891	34,553	34,550	34,550	34,550
Supplier expenses	21,077	23,774	22,802	24,209	24,891
Grants	40	40	40	40	40
Depreciation and amortisation	16,630	16,844	17,248	17,461	16,950
Finance costs	263	263	276	289	294
Write-down and impairment of assets	1,181	1,181	1,181	1,181	1,181
Total expenses	74,082	76,655	76,097	77,730	77,906
LESS:					
OWN-SOURCE INCOME					
Revenue					
Sale of goods and rendering of services	1,272	1,568	1,568	1,568	1,568
Rental income	57	57	57	57	57
Other	13,553	5,000	5,000	5,000	5,000
Total revenue	14,882	6,625	6,625	6,625	6,625
Gains					
Other	82	82	82	82	82
Total gains	82	82	82	82	82
Total own-source income	14,964	6,707	6,707	6,707	6,707
Net cost of (contribution by) services	59,118	69,948	69,390	71,023	71,199
Revenue from government	62,289	55,028	55,703	56,736	57,418
Surplus (Deficit)	3,171	(14,920)	(13,687)	(14,287)	(13,781)
Surplus (Deficit) attributable to the Australian Government	3,171	(14,920)	(13,687)	(14,287)	(13,781)
OTHER COMPREHENSIVE INCOME					
Changes in asset revaluation reserves	-	-	-	-	-
Total comprehensive income	-	-	-	-	-
Total comprehensive income attributable to the Australian Government	-	-	-	-	-

Note: Reconciliation of operating result attributable to the agency

	2009–10 \$'000	2010–11 \$'000	2011–12 \$'000	2012–13 \$'000	2012–13 \$'000
Operating result attributable to the Australian Government	3,171	(14,920)	(13,687)	(14,287)	(13,781)
plus non-appropriated expenses depreciation and amortisation expenses	-	16,844	17,248	17,461	16,950
Operating result attributable to the agency	3,171	1,924	3,561	3,174	3,169

Prepared on Australian Accounting Standards basis.

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

	Estimated actual 2009–10 \$'000	Budget estimate 2010–11 \$'000	Forward estimate 2011–12 \$'000	Forward estimate 2012–13 \$'000	Forward estimate 2013–14 \$'000
ASSETS					
Financial assets					
Cash and equivalents	412	412	412	412	412
Trade and other receivables	10,376	8,628	8,318	7,577	7,180
Total financial assets	10,788	9,040	8,730	7,989	7,592
Non-financial assets					
Heritage and cultural assets	1,370,414	1,364,731	1,359,026	1,353,299	1,347,550
Property, plant and equipment	24,884	25,429	25,431	25,422	25,418
Intangibles	12,998	12,699	12,234	11,591	11,485
Inventories	319	319	319	319	319
Other	730	730	730	730	730
Total non-financial assets	1,409,345	1,403,908	1,397,740	1,391,361	1,385,502
Assets held for sale	-	-	-	-	-
Total assets	1,420,133	1,412,948	1,406,470	1,399,350	1,393,094
LIABILITIES					
Payables					
Suppliers	2,480	2,480	2,480	2,480	2,480
Other	710	710	710	710	710
Total payables	3,190	3,190	3,190	3,190	3,190
Provisions					
Employee provisions	9,370	9,380	9,390	9,390	9,390
Other	4,634	4,897	5,173	5,462	5,756
Total provisions	14,004	14,277	14,563	14,852	15,146
Liabilities included in disposal groups held for sale	-	-	-	-	-
Total liabilities	17,194	17,467	17,753	18,042	18,336
Net assets	1,402,939	1,395,481	1,388,717	1,381,308	1,374,758
EQUITY					
Parent entity interest					
Contributed equity	272	7,734	14,657	21,535	28,766
Reserves	269,957	269,957	269,957	269,957	269,957
Retained surplus or (accumulated deficit)	1,132,710	1,117,790	1,104,103	1,089,816	1,076,035
Total parent entity interest	1,402,939	1,395,481	1,388,717	1,381,308	1,374,758
Total equity	1,402,939	1,395,481	1,388,717	1,381,308	1,374,758

Note: 'Equity' is the residual interest in assets after deduction of liabilities.

Prepared on Australian Accounting Standards basis.

Table 3.2.3: Departmental statement of changes in equity—summary of movement (Budget year 2010–11)

	Retained earnings	Asset revaluation reserve	Other reserves	Contributed equity/capital	Total equity
	\$'000	\$'000	\$'000	\$'000	\$'000
Opening balance as at 1 July 2010					
Balance carried forward from previous period	1,132,710	269,957	-	272	1,402,939
Adjustment for changes in accounting policies	-	-	-	-	-
Adjusted opening balance	1,132,710	269,957	-	272	1,402,939
Comprehensive income					
Comprehensive income recognised directly in equity:					
Gain/loss on revaluation of property	-	-	-	-	-
Sub-total comprehensive income	-	-	-	-	-
Surplus (deficit) for the period	(14,920)	-	-	-	(14,920)
Total comprehensive income recognised directly in equity	(14,920)	-	-	-	(14,920)
Transactions with owners					
<i>Distributions to owners</i>					
Appropriation (departmental)	-	-	-	7,462	7,462
Sub-total transactions with owners	-	-	-	7,462	7,462
Transfers between equity components	-	-	-	-	-
Estimated closing balance as at 30 June 2011	1,117,790	269,957	-	7,734	1,395,481

Prepared on Australian Accounting Standards basis.

**Table 3.2.4: Budgeted departmental statement of cash flows
(for the period ended 30 June)**

	Estimated actual 2009–10 \$'000	Budget estimate 2010–11 \$'000	Forward estimate 2011–12 \$'000	Forward estimate 2012–13 \$'000	Forward estimate 2013–14 \$'000
OPERATING ACTIVITIES					
Cash received					
Goods and services	2,825	2,296	2,296	2,296	2,296
Appropriations	147,588	56,776	56,013	57,477	57,815
Net GST received	2,809	3,140	3,010	3,151	3,220
Total cash received	153,222	62,212	61,319	62,924	63,331
Cash used					
Employees	34,885	34,543	34,540	34,550	34,550
Suppliers	23,804	26,832	25,730	27,278	28,029
Grant	40	40	40	40	40
Net GST paid	1,496	671	671	671	671
Total cash used	60,225	62,086	60,981	62,539	63,290
Net cash from (used by) operating activities	92,997	126	338	385	41
INVESTING ACTIVITIES					
Cash received					
Other	-	-	-	-	-
Total cash received	-	-	-	-	-
Cash used					
Purchase of property, plant and equipment	6,976	7,588	7,261	7,263	7,272
Total cash used	6,976	7,588	7,261	7,263	7,272
Net cash from (used by) investing activities	(6,976)	(7,588)	(7,261)	(7,263)	(7,272)
FINANCING ACTIVITIES					
Cash received					
Contributed equity	-	7,462	6,923	6,878	7,231
Total cash received	-	7,462	6,923	6,878	7,231
Cash used					
Other	86,021	-	-	-	-
Total cash used	86,021	-	-	-	-
Net cash from (used by) financing activities	(86,021)	7,462	6,923	6,878	7,231
Net increase (decrease) in cash held	-	-	-	-	-
Cash and cash equivalents at the beginning of the reporting period	412	412	412	412	412
Cash and cash equivalents at the end of the reporting period	412	412	412	412	412

Prepared on Australian Accounting Standards basis.

Table 3.2.5: Departmental capital budget statement—reconciliation of heritage and cultural asset funding

	Estimated actual 2009–10 \$'000	Budget estimate 2010–11 \$'000	Forward estimate 2011–12 \$'000	Forward estimate 2012–13 \$'000	Forward estimate 2013–14 \$'000
CAPITAL APPROPRIATIONS					
Capital budget – Bill 1 (DCB)	6,976	7,462	6,923	6,878	7,231
Total capital appropriations	6,976	7,462	6,923	6,878	7,231
Total new capital appropriations					
Represented by:					
Purchase of non-financial assets	6,976	7,462	6,923	6,878	7,231
Total Items	6,976	7,462	6,923	6,878	7,231
PURCHASE OF NON-FINANCIAL ASSETS					
Funded by capital appropriation – DCB ¹	-	7,462	6,923	6,878	7,231
Funded internally from departmental resources ²	20,529	5,126	5,338	5,385	5,041
TOTAL	20,529	12,588	12,261	12,263	12,272
RECONCILIATION OF CASH USED TO ACQUIRE ASSETS TO ASSET MOVEMENT TABLE					
Total purchases	20,529	12,588	12,261	12,263	12,272
less gifted assets	(13,553)	(5,000)	(5,000)	(5,000)	(5,000)
Total cash used to acquire assets	6,976	7,588	7,261	7,263	7,272

1 Includes purchases from current and previous year's departmental capital budgets.

2 Includes the following sources of funding: annual and prior year appropriations; donations and contributions; gifts; 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

	Other property, plant and equipment \$'000	Heritage and cultural assets \$'000	Intangibles \$'000	Total \$'000
As at 1 July 2010				
Gross book value	42,445	1,379,848	24,560	1,446,853
Accumulated depreciation/amortisation and impairment	17,561	9,434	11,562	38,557
Opening net book balance	24,884	1,370,414	12,998	1,408,296
CAPITAL ASSET ADDITIONS				
Estimated expenditure on new or replacement assets				
By purchase – appropriation equity	5,596	-	1,866	7,462
By purchase – appropriation ordinary annual services	126	-	-	126
Assets received as gifts/donations	-	5,000	-	5,000
Total additions	5,722	5,000	1,866	12,588
Other movements				
Depreciation/amortisation expense	5,177	9,502	2,165	16,844
Disposals ¹	-	(1,181)	-	(1,181)
As at 30 June 2011				
Gross book value	48,167	1,383,667	26,426	1,458,260
Accumulated depreciation/amortisation and impairment	22,738	18,936	13,727	55,401
Closing net book balance	25,429	1,364,731	12,699	1,402,859

1 Proceeds may be returned to the OPA.

Prepared on Australian Accounting Standards basis.

Estimated operating expenditure in income statement for heritage and cultural assets	
Operations and maintenance	13,848
Preservation and conservation	7,961
Totals	21,809

