

You can't cook your coin and eat it too

The introduction of decimal currency in February 1966 had the inadvertent and somewhat un-Christmassy effect of taking the gloss off one of the great Yuletide customs – coins in the Christmas pud!

Why? The new 5 and 10 cent coins were made of cupro-nickel, not silver alloy. And they would turn green when cooked.

But for those who wanted to continue hiding coins in the Christmas pudding, the recommendation was simply to insert the new currency immediately prior to serving ... after all, who would know?

Some of us were lucky enough to have grandmothers who kept their superseded threepences and sixpences for the express purpose of feeding the Christmas pudding, thereby ensuring the tradition continued and the thrill of discovery lived on for many a year.

You can see more information about this **Find of the Month** on our website at www.naa.gov.au.

The Christmas pudding making season
another age-old custom is being th
there be silver coins to put in ch
year almost all the old 3d. piece
so the cooking of coins in Christ
quaint old custom of the past.



Management and accountability

Corporate governance

Executive and responsibilities

The Archives' Executive management team and their areas of responsibility at 30 June 2006 are described below. During 2005–06, the composition of the Executive team underwent several changes; these are also described below.

Mr Ross Gibbs, Director-General

The Director-General, Mr Ross Gibbs PSM, is the chief executive of the Archives appointed by the Minister for the Arts and Sport. He is assisted in the management of the organisation by an Executive team, each member of which is responsible for particular functional areas.

Mr James Barr, Deputy Director-General, National Coordination

As the Deputy Director-General, National Coordination, Mr Barr is responsible for:

- Executive administrative and strategic support;
- management and oversight of state offices;
- major strategic projects, including legislative amendments and the new National Archives Preservation Centre;
- financial management;
- corporate governance, including audit, risk management, fraud control, parliamentary and ministerial liaison and support for the National Archives of Australia Advisory Council;
- the Personal Records Service;
- national leadership activities, including relationships with professional groups such as the Council of Australasian Archives and Records Authorities, the Australian Society of Archivists and the Records Management Association of Australasia; and
- international leadership activities, including the coordination of international visits.

Ms Anne Lyons, Assistant Director-General, Access and Communication

As the Assistant Director-General, Access and Communication, Ms Lyons is responsible for:

- provision of services that assist the public to research and access the collection;
 - implementation of the access provisions of the *Archives Act 1983* by examining records for public release;
 - design and development of exhibitions and other programs and events that present and interpret the collection for a range of audiences; and
 - management of a publishing program, including a range of websites, that enhances or showcases research into, and interpretation of, the Archives' collections and services.
- extending the description of materials held by the Archives, including the development and maintenance of standards and systems for controlling and describing archives;
 - management of holdings to optimise appropriate public and government access to archival records, especially through online services;
 - preservation and conservation treatment of archival records at risk of deterioration; and
 - development and maintenance of systems for the preservation and copying of particularly fragile materials, especially audiovisual and born-digital records.

Ms Margaret Chalker, Acting Assistant Director-General, Corporate

As the Acting Assistant Director-General, Corporate, Ms Chalker is responsible for:

- people management and development;
- information management;
- information and communications technology;
- security; and
- facilities management.

Dr Stephen Ellis, Assistant Director-General, Government

As the Assistant Director-General, Government, Dr Ellis is responsible for:

- research, development and promulgation of standards and initiatives for the design and implementation of efficient recordkeeping systems for Australian Government agencies;
- provision of advice, assistance and training in recordkeeping to agencies;
- provision of advice on the retention and disposal of Commonwealth records under section 24 of the *Archives Act 1983*, including their transfer to the Archives' custody;

Changes in Executive team

At the beginning of the financial year, Mr Stephen Grieve and Mr Michael Tuite were acting in the positions of Assistant Director-General, Collection Management and Assistant Director-General, Preservation, respectively. On 1 September 2005, the functions of the two branches were merged with those of the Digital Government Branch, to form the Government Branch under the leadership of Dr Stephen Ellis.

In May 2006, Ms Jenny Anderson, Assistant Director-General, Corporate was seconded from the Archives to Old Parliament House (OPH) on a temporary appointment as Acting Chief General Manager, OPH Executive. Ms Margaret Chalker is acting in Ms Anderson's absence.

Corporate governance practices

The Corporate Governance section manages and supports the Archives' key governance structures and activities. The section ensures the Archives complies with its responsibilities as an executive agency under the *Public Service Act 1999* and the *Financial Management and Accountability Act 1997*. The section's major activities include:

- coordination of strategic planning and reporting;
- coordination of advice to the Minister, the Department of Communications, Information Technology and the Arts, and other significant stakeholders;
- support for the National Archives of Australia Advisory Council, the Audit Committee and the Risk Management Committee;
- development and maintenance of significant risk management policies and plans, including a fraud control plan, business continuity plans and national emergency arrangements; and
- management of the Archives' business insurance suite.

Corporate planning and review

In 2005–06, the Archives reassessed its strategic directions and priorities and concluded a comprehensive review of its performance information. The revised performance information, including new outcomes and outputs, was published in the *Portfolio Budget Statements 2006–07* and the *National Archives of Australia Corporate Plan 2006 to 2009*. The Corporate Plan sets the Archives' direction and will guide its internal business planning for the next three years.

The Archives' staff performance management scheme places a strong emphasis on the need to have clear links between the Archives' objectives as reflected in the Corporate Plan and the goals and directions set for all staff members in their individual performance agreements. As a result, performance agreements are closely linked to business plans.

Management committees

Management committees assist the Senior Executive with decision-making in key areas.

Audit Committee

As required by the *Financial Management and Accountability Act 1997*, the Archives convenes an Audit Committee. The committee met five times during 2005–06, including a special meeting to examine the Archives' annual financial statements. The current membership of the committee comprises the Deputy Director-General (Chair), Assistant Director-General, Corporate and two external members.

The Archives' Chief Financial Officer and representatives from the internal auditor KPMG and the Australian National Audit Office (ANAO) attend committee meetings as observers.

The Audit Committee aims to enhance the Archives' control framework, improve the objectivity and reliability of externally published financial information, and assist the Archives to comply with legislative and other obligations. The committee also has overall responsibility for risk management within the Archives.

During 2005–06, the Audit Committee reviewed its membership and revised its terms of reference in response to recommendations made by the ANAO in its publication, *Better Practice Guide, Public Sector Audit Committees*. The terms of reference were rewritten to reflect a greater emphasis on risk management.

Risk Management Committee

The Risk Management Committee (RMC) reports to the Audit Committee. The RMC:

- provides guidance on risk management issues and strategies;
- promotes risk management throughout the Archives, ensuring the currency of risk control information; and
- ensures appropriate linkages to the Archives' business and corporate planning processes and, where necessary, budget processes.

The RMC comprises the Deputy Director-General; Director, Corporate Governance; Director, People Management and Development; Director, Facilities; Director, Space and Holdings; Manager, Web Services; Senior Manager, Information and Communication Technology (ICT) Operations; and the Agency Security Advisor. The Director, Brisbane Office provides state representation.

In 2005–06, the Archives' risk management and business insurance functions were combined into one position. The new Risk and Insurance Manager is also a member of the RMC, and represents the Archives at the Cultural Agencies Risk and Insurance Managers' Forum.

Participation in the 2006 Comcover Risk Management Benchmarking Survey resulted in a 6 per cent (\$45,600) discount on the Archives' 2006 business insurance premium. This represents a 1 per cent improvement over the 2005 survey.

In February 2006, the Executive conducted a strategic risk analysis workshop, the outcomes of which informed both the strategic risk register and ongoing strategic planning processes. A risk assessment learning seminar was also introduced for executive-level managers.

Emergency Planning Committee

The Emergency Planning Committee, which reports to the Risk Management Committee, is responsible for ensuring that the personnel, procedures and resources required for the safe response to emergencies are available, maintained, monitored and improved.

The committee comprises the Director, Sydney Office; Director, Corporate Governance; Director, Facilities; Chief Warden, Parkes; Chief Warden, Mitchell; Director, Darwin Office; and the Supervising Conservator (Preventive).

Contract committees

The Archives' Chief Executive Instructions require that a contract committee be established to examine the letting of any contract valued at greater than \$80,000. Contract committees include both independent representatives and those with expertise in the relevant area. All committees examining contracts valued at \$1 million or more must include a member of the Executive.

Information and Communication Technology Strategic Planning Committee

The Information and Communication Technology Strategic Planning Committee comprises three Assistant Directors-General; the Director, ICT; the Chief Finance Officer, and two state directors. The committee:

- oversees the development and maintenance of ICT strategy and governance;
- determines priorities and directions for project development, infrastructure, application development and maintenance;
- provides appropriate input into the Archives' budget deliberations; and
- makes recommendations to the Director-General about major information technology infrastructure decisions and expenditure proposals.

Digitisation Steering Committee

The Digitisation Steering Committee was formed in 2006 to direct and coordinate the development and implementation of the National Digitisation Strategy and the National Digitisation Plan. The plan was developed as part of the Archives' response to the findings and recommendations of the ANAO's 2004–05 performance audit, *Safe and Accessible National Collections*.

The committee comprises the Assistant Director-General, Access and Communication and the Assistant Director-General, Government, along with representatives of

sections of the Archives directly involved in digitisation projects. These representatives include the Directors of the Preservation, ICT, Digital Records, Projects and Operations, and Access and Information Services sections; the Assistant Director, Imaging Services; and the State Office Liaison Manager.

The committee's terms of reference are to:

- establish digitisation as a key business priority within the Archives;
- deliver and maintain the National Digitisation Plan;
- facilitate improvements to, and the coordination of, online service delivery through digitisation of the collection;
- ensure coordination of the National Digitisation Plan with other national plans; and
- oversee and endorse the Archives' digitisation policies, procedures and standards.

Information Management Policy Committee

The Information Management Policy Committee ensures that the Archives pursues an agency-wide strategic approach to information and knowledge management. The Assistant Director-General, Corporate chairs the committee, which meets quarterly. The committee comprises senior management staff from each branch and representatives from each state office and the Darwin office.

The committee exists to:

- integrate a coherent, cost-effective and strategic approach to information and knowledge management, providing a model site of best practice to Australian Government agencies;
- advise the Director, Information Management on strategies and tactics to better manage information within the Archives; and
- promote internally the value of well-managed and shared information to Archives staff.

Workplace Relations Committee

The Workplace Relations Committee consists of employee, management and union representatives, and is chaired by the Assistant Director-General, Corporate. The committee is the peak consultative body within the Archives. It also functions as the national body for purposes of occupational health and safety under the *Occupational Health and Safety (Commonwealth Employment) Act 1991*. See Appendix G.

Senior Executive Service remuneration

The Archives determines Senior Executive Service (SES) remuneration having regard for the Department of Employment and Workplace Relations' Australian Public Service Remuneration Survey, which is commissioned annually. The base salary is negotiated between the Director-General and individual SES officers, with bonus provisions allowed subject to performance. These conditions are prescribed in an Australian Workplace Agreement. Note 12 in the Financial Statements details Executive remuneration.

Fraud measures

The Director-General certifies that the Archives complies with the Commonwealth Fraud Control Guidelines by ensuring that:

- a fraud risk assessment is conducted;
- a fraud control plan is prepared and implemented;
- appropriate fraud prevention, detection, investigation and reporting procedures are in place; and
- annual fraud control data is collected and reported to the Attorney-General's Department.

The *National Archives of Australia Certified Agreement 2004–2007* includes the Australian Public Service and Archives' values. The Archives' values are also published in the

National Archives of Australia Corporate Plan 2006 to 2009, and reinforced in internal publications such as the *Workplace Diversity Program* and the *Workplace Harassment Program*.

External scrutiny

Review of access decisions

The *Archives Act 1983* provides the public with a two-stage appeal process if the Archives withholds records from public access.

The first stage is internal reconsideration by the Archives. The Archives Act provides that applications for internal reconsideration should be reviewed and decisions notified within 14 days. During 2005–06, the Archives received 27 applications for internal reconsideration and reviewed 14 per cent of decisions within the 14-day statutory period. Decisions were modified in 61 per cent of cases. See Table 10 on page 25.

The second stage of the appeal process is an application to the Administrative Appeals Tribunal (AAT). No applications were received by the AAT in 2005–06 for review of decisions made under the Archives Act.

Auditor-General

In January 2006 the Auditor-General tabled the performance audit, *Reporting of Expenditure on Consultants*. The Archives was one of 73 Australian Government agencies examined by the ANAO in the course of the audit. The Archives agreed with the report's recommendations, none of which represented a serious criticism of the Archives' operations.

The Archives was also one of 43 Australian Government agencies surveyed by the ANAO as part of its *Reporting of Outputs and Outcomes* audit. The Archives was not selected for more detailed audit.

Following the 2004–05 Financial Statements audit, the Archives sought advice from the ANAO regarding the treatment of intangible

assets. The Archives' accounting processes were improved as a result.

Privacy Commissioner

There were no reports to, nor reports or determinations by, the Privacy Commissioner about the Archives' activities during 2005–06.

Commonwealth Ombudsman

The Commonwealth Ombudsman made no reports to the Minister in relation to the Archives under the provisions of the *Ombudsman Act 1976* during 2005–06.

Freedom of Information

The Archives had one request for access to documents under the *Freedom of Information Act 1982*. A freedom of information statement is provided at Appendix H.

Parliamentary committees

The Archives appeared before the Senate's Environment, Communications, Information Technology and the Arts Legislation Committee on three occasions during 2005–06: the Supplementary Budget Estimates on 1 November 2005, the Additional Estimates on 14 February 2006 and the Budget Estimates on 24 May 2006.

The Archives appeared before the Joint Standing Committee on Publications in November 2005. No other parliamentary committee reported on issues of particular relevance to Archives during the year.

Management of human resources

The *National Archives of Australia Certified Agreement 2004–07*, entered into in August 2004, continued to provide the foundation for the Archives to build a strong performance culture within the organisation. During 2005–06, a number of people management policies were developed to better support managers and staff.

There were two requests for reviews of human resources decisions during 2005–06. There were no appeals to the Industrial Relations Commission; one grievance was referred to the Merit Protection Commissioner.

Certified Agreement and workplace agreements

The *National Archives of Australia Certified Agreement 2004–07* provides a framework for improved workplace productivity.

Achievements under the agreement include improved participation in the performance management scheme and a reduction in unscheduled paid personal leave.

Australian Workplace Agreements have been entered into with 10 non-SES and four SES staff.

Performance pay

Eight SES officers received a total of \$37,539.12 performance pay in relation to their performance in 2004–05.

Workforce planning, staff turnover and retention

Over the next 5 to 10 years, a significant number of experienced staff will be retiring. To help plan for future workforce needs, the Archives has developed workforce profile reports and analysed those against its business and wider operating environments and the drivers of employees' behaviour. The Archives is aiming to develop a workforce plan that takes into account the development of a flexible, appropriate, values-driven and performance-orientated workforce and the necessity of succession planning. This plan will enable the Archives to manage the demands placed upon it by a changing workforce over the next decade.

Learning and development

Staff learning and development continued to be a priority in 2005–06. A learning and development calendar of 20 courses targeted at all levels of staff was prepared, and

254 staff took the opportunity to attend. Four state offices were visited by Canberra-based staff who delivered learning and development activities.

Development of current and future leaders was a major focus during the year. Assessment of leadership capability continued, with three new Directors in the senior leadership group assessed. The Leadership Development Strategy, which consists of activities to assist the development of current and future leaders, was implemented.

The Archives continued to participate in management development programs with other cultural institutions. These included the Cultural Management Development Program and the Advanced Workplace Skills Program, which were attended by seven Archives staff in 2005–06.

Officers in the Archives' graduate scheme participated in communication, project management and recordkeeping courses to support learning gained in their rotations through the organisation. Mentoring also provided support in organisational understanding and career development. Four officers concluded their graduate year at the end of December 2005.

Sixteen professional development seminars were conducted in Canberra during the year. These were well attended, with an average of 30 people at each session. The seminars were videoed for viewing by staff in state offices and in Darwin.

Staff represented the Archives at the Australian Society of Archivists and the Records Management Association of Australasia. Details of conference papers and attendance can be found at Appendix I.

The Archives assisted 53 staff through the studies assistance scheme and continued to support staff attendance at courses, seminars and conferences.

Table 16 – Staff distribution by office as at 30 June

Office	2004	2005	2006
Canberra	355	382	341
Sydney	32	34	31
Melbourne	27	32	28
Brisbane	12	12	12
Adelaide	8	8	7
Hobart	8	8	5
Perth	11	10	9
Darwin	8	9	6
Total	461	495	439
Total FTE	431	471	426

Table 17– Employment classification by gender as at 30 June 2006

Class	Male	Female	Total
APS 1	22	17	39
APS 2	17	10	27
APS 3	16	26	42
APS 4	33	37	70
APS 5	35	51	86
APS 6	37	49	86
EL 1	28	30	58
EL 2	7	19	26
SES	2	2	4
DG	1	0	1
Total	198	241	439

Table 18 – Archives salary ranges as at 30 June 2006

Local designation	Minimum annual salary (\$)	Maximum annual salary (\$)
APS 1-2	32 835	40 943
APS 3	42 174	45 698
APS 4	46 993	50 638
APS 5	51 813	55 578
APS 6	58 440	64 842
EL 1	72 297	77 810
EL 2	86 756	93 866
Graduate APS	37 535	40 943
Professional 1	43 349	55 578
Public Affairs 2	60 158	66 812
Public Affairs 3	79 533	87 279

Commonwealth Disability Strategy

The Archives is committed to the Commonwealth Disability Strategy to remove barriers that prevent people with disabilities accessing the Archives' programs and services.

Provider

The Archives provides a range of services to the public, including reference services, exhibitions, publications and websites.

Disability strategies are incorporated into the development and continuous improvement of all of these services. All Archives' reading rooms provide wheelchair access, and the Archives also provides researchers with aids to reading records (eg reading slopes, cushions for supporting heavy volumes and magnifying glasses). To assist the hearing impaired, the National Reference Service can be contacted via a telephone typewriter (TTY) facility.

All Archives' exhibition galleries are accessible for people with disabilities. The Archives' website (www.naa.gov.au) complies with disability guidelines.

The Archives Service Charter commits the organisation to ensuring that exhibitions and research facilities are accessible to people with disabilities. A complaints and grievances mechanism is outlined in the Service Charter. The Archives has a dedicated email address for complaints and comments (yourcomments@naa.gov.au), and a system for monitoring, responding to, and reporting comments received.

Employer

All Archives' employment policies, procedures and practices comply with the requirements of the *Disability Discrimination Act 1992*. They are further supported through the Archives' workplace diversity program.

During 2005–06, the Archives implemented an online employment application system that meets access and equity standards.

Recruitment information is available on the Archives' website and potential applicants for employment can also obtain written recruitment information on request by email, telephone, facsimile, mail and TTY.

The Archives' training and development program takes into account any special needs of employees. For courses arranged and offered internally, information on disability issues is included where appropriate.

Part H of the *National Archives of Australia Certified Agreement 2004–07* provides all staff with an effective complaints and grievance mechanism.

Assets management

The Archives applies asset management principles in managing its facilities and their associated assets. Capacity and utilisation of existing accommodation are carefully monitored and taken into consideration when preparing business plans across the organisation.

The need to consolidate a number of existing facilities into a single large repository was identified, and a submission to the Department of Finance and Administration to proceed with this new policy proposal was approved. It is anticipated that the new facility will better support the preservation activities and storage requirements of the Archives over the next 25 years, with greater efficiency in operating costs.

Condition assessment and strategic life cycle planning were used to develop replacement plans for key assets associated with each facility, and this will continue. These plans are critical tools in supporting the Archives' business plans and the development of budget bids. They are also integral to the general planning and management processes of the portfolio, to ensure that all facilities are managed to maximise their respective service

capability and useful life, and are aligned with the long-term plans of the Archives.

The Facilities and Finance sections are coordinating management of the maintenance and operations of Archives' facilities. This coordination will help to streamline the capture, analysis and reporting of key asset information. The benefits of this are twofold: it will lead to greater transparency and accountability in the management and operation of organisational assets, and it will provide greater opportunities to analyse and monitor the performance of all assets within the portfolio.

Purchasing

The Archives employs a devolved procurement framework, which places responsibility for procurement activity with the appropriate section director.

The Archives' procurement and purchasing activities were conducted in accordance with the requirements of the Commonwealth Procurement Guidelines, the Archives' Chief Executive Instructions, and administrative procedures and supporting accounting policies, all of which are available to staff through the Archives' intranet.

Consultants

The Archives engages consultants when required expertise is not available within the organisation or when required specialised skills are not available without diverting resources from other higher priority tasks. In accordance with procurement guidelines, consultants are selected by advertisement, panel arrangements or selective tendering. See Appendix J.

Competitive tendering and contracting

Contracts let

The Archives engaged in a number of competitive tendering processes during

2005–06. They resulted in 74 contracts being let with a total value of \$9,810,180.

Contractual provisions allowing access by the Auditor-General

The Archives' standard contract templates include an ANAO audit clause. All contracts signed in the reporting period for \$100,000 or more (including GST) had provision for the Auditor-General to have access to the contractor's premises.

Contracts exempt from the *Purchasing and Disposals Gazette*

No Archives contract for \$10,000 or more (including GST) was exempted by the Chief Finance Officer from publication in the *Purchasing and Disposals Gazette*.

Information management

Information management strategy

The Archives' Information Management Strategic Framework continues to guide the collection, use and management of the organisation's information resources to support the quality of services provided to its key audiences, improve efficiency and productivity, reduce risks, and ensure compliance with statutory requirements.

Records management

During the year, Archives staff captured 107,140 records into the organisation's electronic document and records management system.

The Archives' records system was upgraded during 2005–06, resulting in improved functionality and greater compliance with the Archives' improved technical environment. The upgrade was supported by awareness and training sessions delivered to over 300 staff in the six weeks following its implementation. The training package included an online e-learning program, available on the Archives' intranet.

Following the completion of steps A and B of the Archives' Designing and Implementing Recordkeeping Systems (DIRKS) project, a new file titling scheme was incorporated into the records management system. This new scheme takes into account changes in the business of the organisation since the first titling scheme was introduced in 1998.

During 2005–06, the Archives developed strategies for applying its *General Disposal Authority for Source Records that have been Copied, Converted or Migrated* to paper records scanned and captured into the records management system.

The Archives also considered the risks associated with destroying certain categories of paper records, with the concomitant development of procedures to assist staff in identifying records that need to be retained in paper format.

Library services

The Archives' library holds a comprehensive collection of Australian and international archives and records management books and journals. The library collection is distributed across all offices of the Archives, and is well used by staff to support their work and professional development. The main library is in the National Office, Canberra. In 2005–06, the library was relocated within the building to improve its storage space and to provide a better reference facility for staff to consult and use the collection.

During 2005–06, the Archives developed and implemented a strategy to promote the library's services and resources, and to encourage its greater use by Archives staff.

Internal information network

The Archives' intranet is a major internal communication tool used to disseminate up-to-date information to staff.

Two new features of the intranet were released in 2005–06: a staff bulletin board, which allows staff to post social and non-work notices; and a corporate calendar, which records internal and external events and meetings, and links key management documents to each entry.

The Intranet Committee meets quarterly with representatives from each branch and a state office representative. The committee:

- advises on the development and application of the Archives' intranet policy;
- monitors and reviews the intranet's further development; and
- acts as a conduit for staff to provide feedback on the site.

Information infrastructure

In 2005–06 the following ICT projects were completed:

- additional servers were added to support external users of the RecordSearch database;
- update processes were improved to ensure consistency of RecordSearch data across the different servers;
- storage and retrieval hardware and software for digital images were improved;
- new printers, scanners and photocopiers were supplied across the organisation; and
- the latest version of the TRIM record-keeping system was implemented on new hardware, and architectural changes were made to improve response times for users in state and territory offices.