

CORPORATE OVERVIEW

ROLE

THE functions of the Library, as set out in Section 6 of the *National Library Act 1960*, are:

- (a) to maintain and develop a national collection of library material, including a comprehensive collection of library material relating to Australia and the Australian people;
- (b) to make library material in the national collection available to such persons and institutions, and in such manner and subject to such conditions, as the Council determines with a view to the most advantageous use of that collection in the national interest;
- (c) to make available such other services in relation to library matters and library material (including bibliographical services) as the Council thinks fit, and in particular, services for the purposes of:
 - (i) the library of the Parliament;
 - (ii) the Departments and authorities of the Commonwealth; and
 - (iii) the Territories; and
- (d) to cooperate in library matters (including the advancement of library science) with authorities or persons, whether in Australia or elsewhere, concerned with library matters.

The Library is one of several agencies within the Communications, Information Technology and the Arts portfolio with responsibilities for collecting Australian cultural heritage materials and making these available to the Australian public. The Hon. Peter McGauran MP, Minister for the Arts and the Centenary of Federation, continued as the Minister responsible for the Library together with the Portfolio Minister, Senator the Hon. Richard Alston. The affairs of the Library are conducted by the National Library Council, with the Director-General as chief executive officer and member of the Council.

LEGISLATION

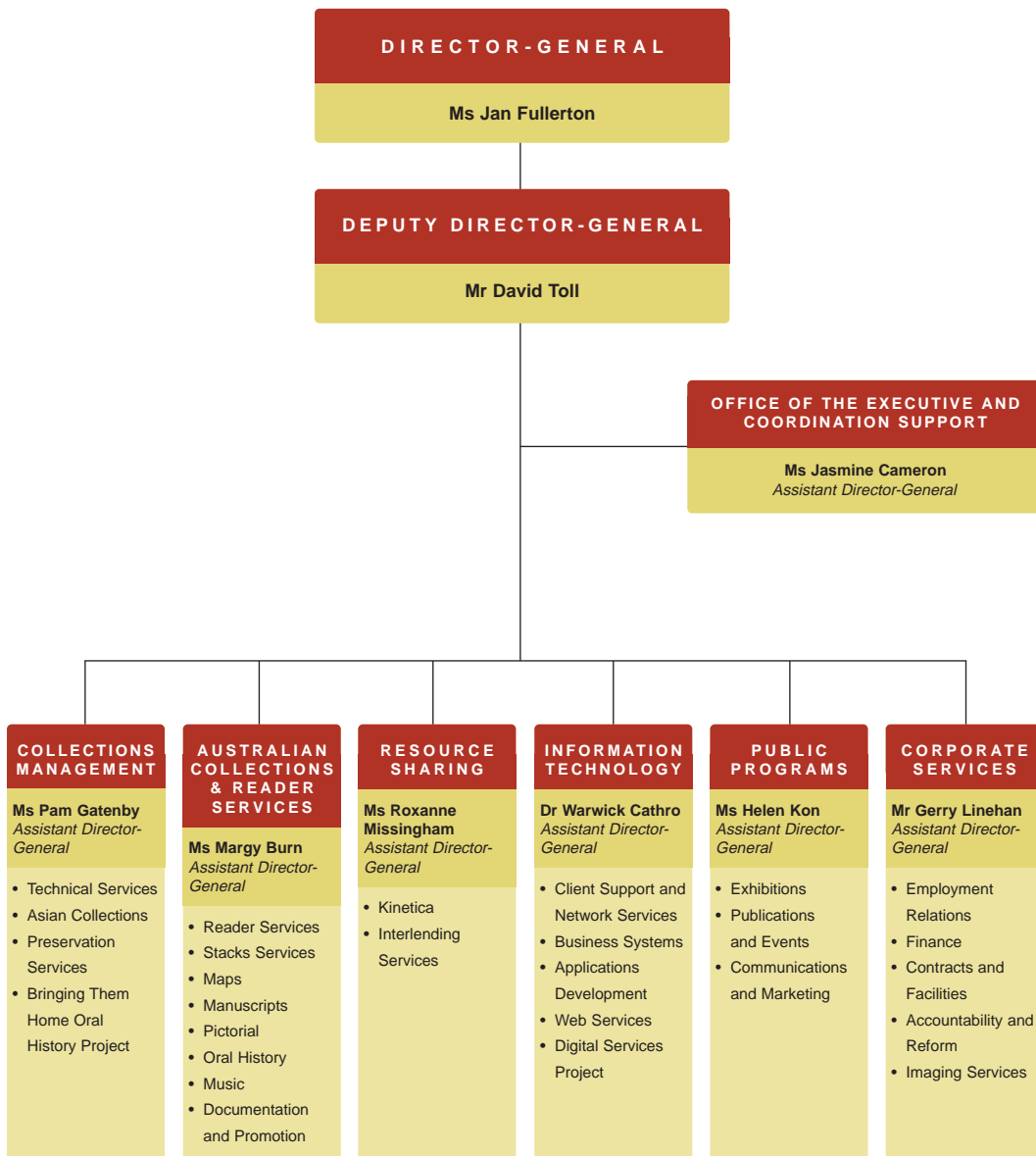
The Library was established under the *National Library Act 1960*, which defines the Library's role, corporate governance and financial management framework. As a Commonwealth statutory authority, the Library is subject to the *Commonwealth Authorities and Companies Act 1997*.

ORGANISATION

The Library’s senior management structure comprises the Director-General, the Deputy Director-General and seven Assistant

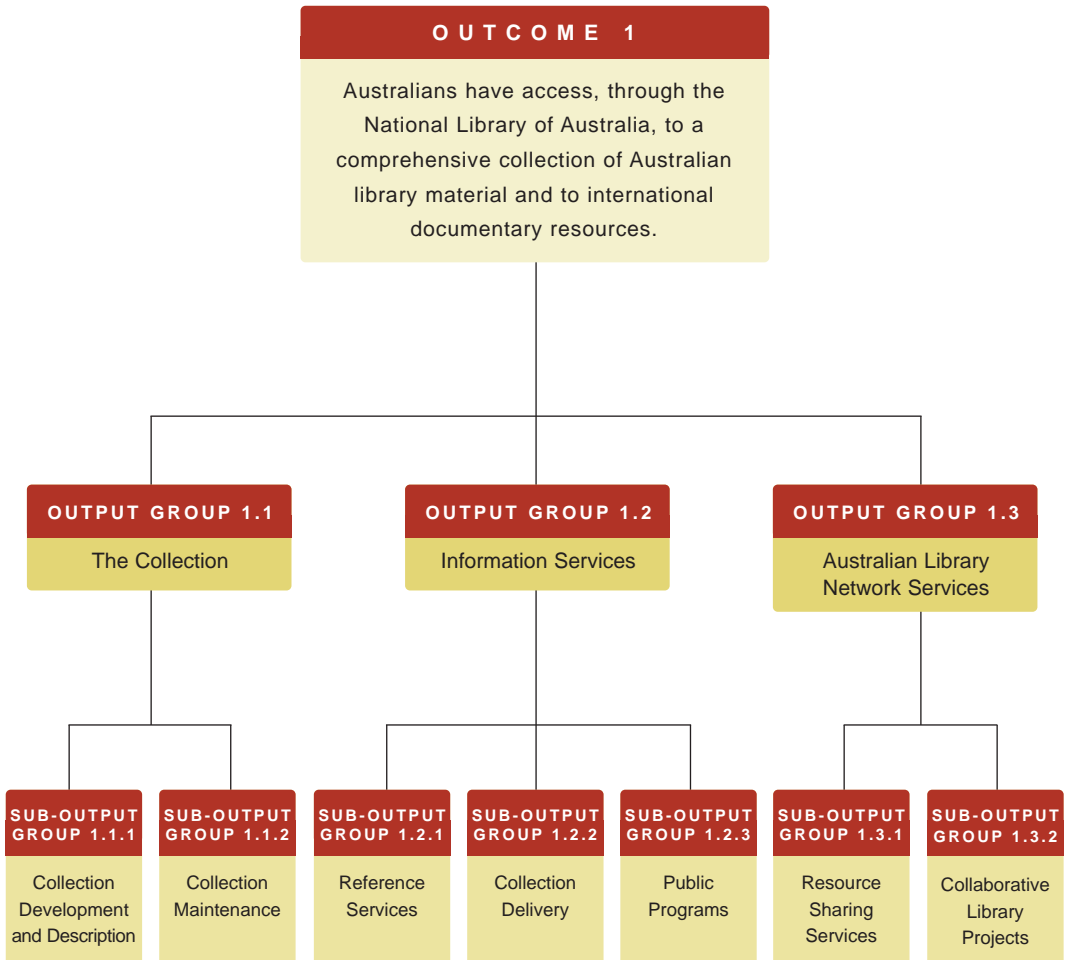
Directors-General. The following chart describes the divisional organisational structure and senior staff at 30 June.

ORGANISATIONAL STRUCTURE AT 30 JUNE 2001



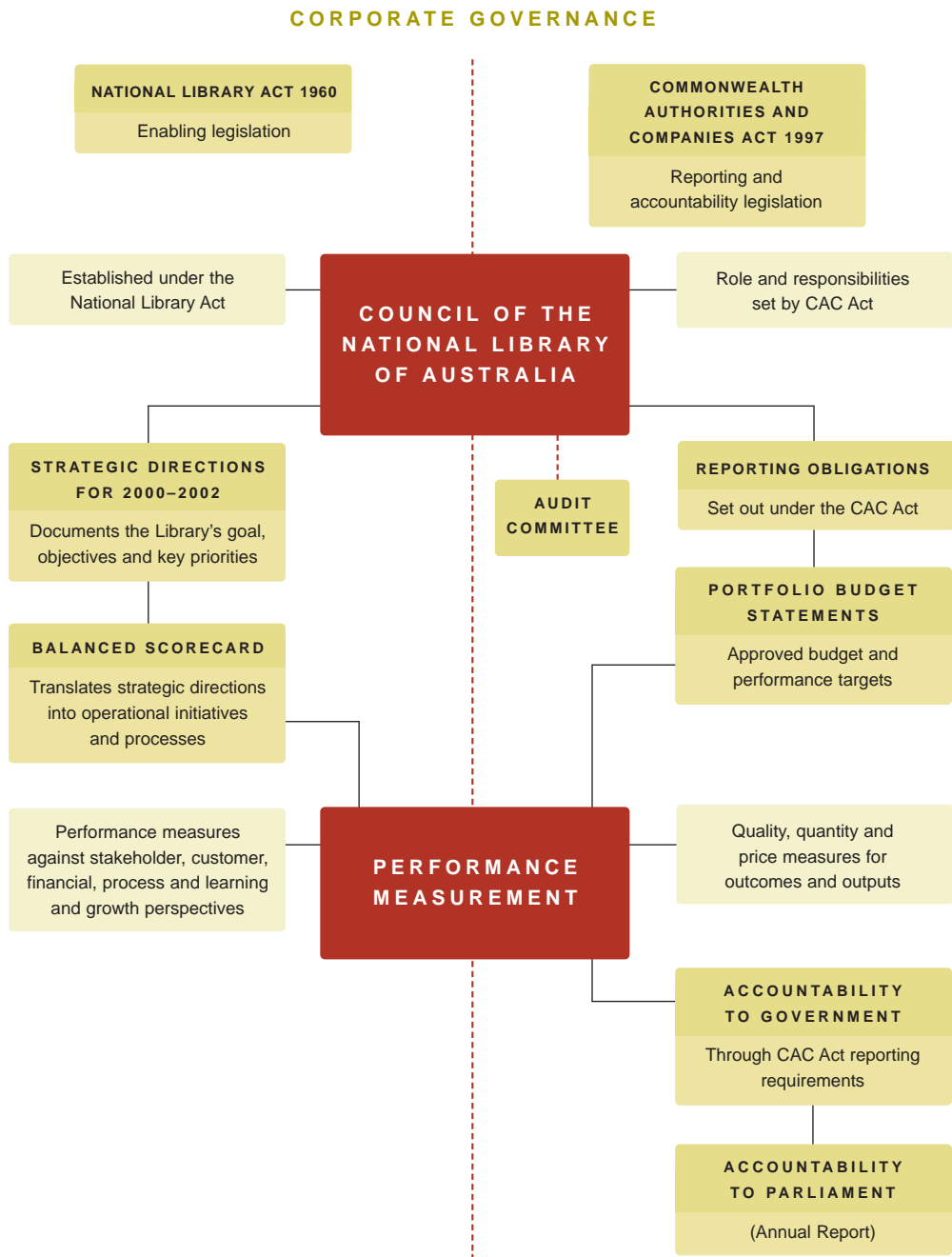
OUTCOMES AND OUTPUT STRUCTURE

The following map shows the relationship between the outcome and contributing outputs for the Library.



CORPORATE GOVERNANCE

The Library has the following key elements of corporate governance.



NATIONAL LIBRARY COUNCIL

The *National Library Act 1960* provides that a Council shall conduct the affairs of the Library. The Council consists of 12 members including the Director-General, one Senator elected by the Senate, and one member of the House of Representatives elected by that House. A list of Council members and their attendance at Council meetings is at Appendix 1.

The Council considered a range of policy issues including:

- development of initiatives to digitise and improve access to the Library's Collections
- the Whole of Government IT Outsourcing Initiative
- review and assessment of corporate governance issues
- implementation of the Balanced Scorecard performance management framework
- implementation of the Goods and Services Tax
- development and implementation of a sponsorship and fundraising program
- improvements to Kinetica services.

The Council has two advisory committees, the Audit Committee and the Fellowship Scheme Advisory Committee. Details are given at Appendix 1.

AUDIT COMMITTEE

The Audit Committee is a committee of the Council whose role it is to:

- assist the Library and members of the Council to comply with obligations under the *Commonwealth Authorities and Companies Act 1997*
- provide a forum for communication among the members of the Council, senior managers of the Library, and the Library's internal and external auditors
- ensure that there is an appropriate ethical climate in the Library and to review policies relating to internal controls and management of risks.

The Audit Committee has a minimum of three non-executive members of Council, the Director-General, and a member of the senior

executive. A list of Audit Committee members and attendance at meetings appears at Appendix 1.

CORPORATE MANAGEMENT GROUP

The Corporate Management Group, consisting of the Director-General, Deputy Director-General and Assistant Directors-General, provides leadership to the Library in both strategic and operational areas. In particular, the Corporate Management Group monitors the achievement of objectives and strategies, oversees budget matters, develops policy, coordinates activities across the organisation, and oversees a range of operational issues. The Corporate Management Group meets weekly.

A number of cross-organisational committees advise the Corporate Management Group in key areas, such as, information technology (IT) and collection development and management.

RISK MANAGEMENT FRAMEWORK

The Library completed its *Risk Management Implementation Plan* in February. It has been forwarded to Comcover. The Library will implement a Risk Register by the end of 2001.

Additional resources were allocated within Corporate Services Division to ensure that the risk policy is understood, implemented and maintained at all levels of the organisation. A generic project management methodology was also established with a strong emphasis on risk management.

PUBLIC ACCOUNTABILITY

EXTERNAL AND INTERNAL AUDIT

The Library's Audit Committee met four times during the year. The Library participated in an Australian National Audit Office preliminary study on Learning and Development in the APS. The audit report is expected to be tabled in the Winter 2002 Parliamentary Sitings. The Library reported to the Department of Communications, Information Technology and the Arts on action taken in response to recommendations contained in a number of Auditor-General reports, as detailed.

AUSTRALIAN NATIONAL AUDIT OFFICE REPORTS

The following reports contain Auditor-General recommendations implemented by the Library:

- Report 9—*Implementation of Whole of Government Information Technology and Infrastructure Consolidation and Outsourcing Initiative*
- Report 13—*Certified Agreements in the Australian Public Service*
- Report 14—*Benchmarking of the Internal Audit Function*
- Report 16—*Australian Taxation Office Internal Fraud Control Arrangements*
- Report 19—*Management of Public Sector Travel Arrangements—Follow-up Audit*
- Report 25—*Benchmarking the Finance Function*
- Report 38—*The Use of Confidentiality Provisions in Commonwealth Contracts.*

INTERNAL AUDIT REPORTS

The following internal audit reports were prepared for the Library:

- Attendance at Stocktakes
- Review of the Protective Security Policy and Procedures Manual
- Charging of Indirect Costs to the Library Bookshop
- Review of Improvements in Efficiency of Human Resource Operations
- Quality Assurance of the Aurion Implementation Project
- LIDDAS Project Management Review
- IT Risk Assessment
- Review of Cash Handling Procedures—Pictorial Section
- Enquiry into Pictorial Section Thefts
- Business Continuity Planning Review
- Review of Credit Cards
- Goods and Services Tax (GST) Post-Implementation Review
- Risk Management Review of the Finance One Electronic Funds Transfer Process
- Risk Management Framework Issues Log
- Review of APAIS/AMI
- Review of the Design Function

- Input of Employee Entitlements Data to Aurion
- Compliance with Records Management Policy
- Assessment of Staff Contract Management and Knowledge Skills.

PARLIAMENTARY COMMITTEES AND GOVERNMENT INQUIRIES

The Library lodged submissions and attended public hearings in response to the following Inquiries:

- Productivity Commission's Inquiry into Cost Recovery
- Joint Standing Committee on Foreign Affairs, Defence and Trade (Foreign Affairs Subcommittee) Inquiry into Australia's Relations with the Middle East
- Senate and Legal Constitutional References Committee Inquiry into the Government's response to the Human Rights and Equal Opportunity Commission's report on the *Separation of Aboriginal and Torres Strait Islander Children from their Families.*

MINISTERIAL DIRECTIONS

No Ministerial Directions were received under the *Commonwealth Authorities and Companies Act 1997.*

LEGAL ACTIONS

No legal action was commenced against the Library.

OMBUDSMAN

No new issues relating to the Library were referred to the Commonwealth Ombudsman. The Library received a request for information, from the Commonwealth Ombudsman's Office, relating to a complaint in 1997–98 about the tender for an off-site storage facility.

FREEDOM OF INFORMATION

The Library received no requests for access to documents under the *Freedom of Information Act 1982* (Cwth). A Freedom of Information Statement is provided at Appendix 3. A list of the Library's key supporting policies and documents is provided at Appendix 4.

INDEMNITIES AND INSURANCE PREMIUMS

Indemnity is provided to directors and officers of the Library under the coverage of the Library's insurer, Comcover, which is a Commonwealth Government self-managed fund for insurable risk.

Premiums are levied as part of the overall insurance coverage and are based on the agreed insurance value and previous claims history.

SOCIAL JUSTICE AND EQUITY

The Library continued its commitment to meeting the Government's objective of enhancing social justice and equity, outlined within *Charter of Public Service in a Culturally Diverse Society*.

The Library aims to provide all Australians with equitable access to its services in a manner appropriate to their individual needs. In particular, the Library:

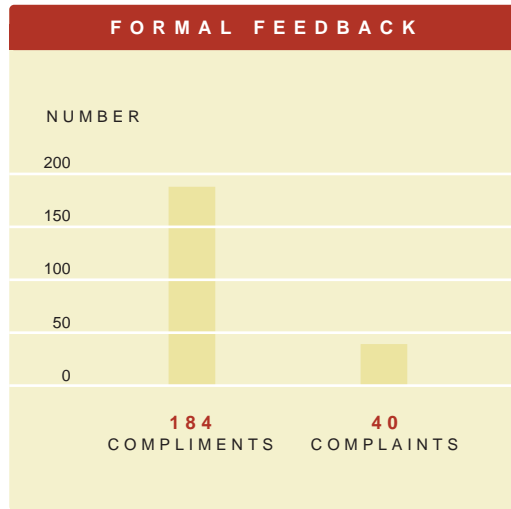
- provides an increasing range of services to Australians in any location through its web site and travelling exhibitions
- collects Australian library materials in all community languages for current and future research
- maintains high standards for physical access to the building through implementation of the Disability Action Plan.

SERVICE CHARTER

The Library's Service Charter, introduced in 1998, sets out the Library's commitment to users, the standards of service users can expect, and the mechanisms for providing feedback or making a complaint. The Charter is made available via the web site and throughout the Library. The Library welcomes all feedback from users, as well as suggestions for service improvement.

The number of compliments and complaints received by the Library is set out.

The most common compliments related to the prompt, courteous and efficient levels of service provided by Reading Room staff, and the extent of their specialist knowledge. Praise for the Library's Public Program activities was also very high. A large number of compliments were



received for the consistently high quality and interesting articles contained in the Library's monthly publication *National Library of Australia News*. Compliments from the Australian library community were received for the Library's digitisation initiatives, cataloguing services and digital preservation work.

The most common cause for complaint was the cost and quality of photocopies from machines in the Library's Reading Rooms (seven complaints). Poor levels of customer service elicited six complaints. Other complaints related to the Library's online catalogue and web site, the height of the furniture and monitors in the Main Reading Room, and the facilities available to copy information from the Internet. Appropriate actions have been taken to address complaint issues, including more regular servicing and maintenance of the Library's photocopiers and microfilm/fiche readers, and further training for Library staff working in customer service areas.

The average time taken to respond to complaints was less than one day (0.7 days). Of those surveyed, 78 per cent were satisfied with the manner in which their complaint was handled.

The Library's services were available to the public at all stated times throughout the year.

CONSULTANCY SERVICES

The Library engaged 21 consultants with an individual value of more than \$10 000, to undertake consultancy work, at a total cost of \$865 128. Consultancy services are used when there is a requirement for specialised services that cannot be undertaken by Library staff due to lack of expertise, insufficient in-house resources or where independent advice is required. The successful consultant is selected according to Commonwealth procurement guidelines. The consultancies relate to building, information technology, accountability and various management issues. Details of the consultancies are provided at Appendix 5.

CORPORATE MANAGEMENT ISSUES

MANAGEMENT OF HUMAN RESOURCES

The Library undertook considerable work in the area of workforce planning during the year. In broad terms the workforce strategy aims to:

- foster a greater understanding throughout the organisation of future business directions to enable managers to make more effective decisions and to attract, develop and retain the appropriate workforce to meet current and future business needs
- ensure an ongoing assessment by senior management of future workforce needs and key business drivers, including a set of capabilities required for future success
- ensure the design of human resource practices to create the required capabilities.

Practical outcomes and initiatives in the area of workforce planning include:

- an increased focus on strategic training
- development of a revised performance management framework
- review of the manner in which the Library markets itself as an employer
- increased internal and external mobility of staff
- consideration of a graduate recruitment strategy

- revised entry and exit surveys for staff
- enhanced reporting to the Library's executive on workforce demographics.

INDUSTRIAL DEMOCRACY: WORKPLACE AGREEMENT

The Library's Consultative Committee met five times. The committee continued to provide a forum for consultation and discussion between management, staff and unions.

A new Certified Agreement was approved on 12 December 2000 and will remain in force until 30 June 2002. The Agreement was supported by 92.7 per cent of staff participating in the vote. The Agreement builds on a range of reforms introduced in the 1998 Certified Agreement, aimed at increasing the Library's flexibility both as a service provider and employer.

ESTABLISHMENT AND MAINTENANCE OF APPROPRIATE ETHICAL STANDARDS

The Library has strategies in place to help ensure that all employees observe the highest standards of ethical behaviour and that appropriate action is taken when those standards are not met. The Library's induction policy provides new employees with information on the ethical standards set out under the *Public Service Act 1999*. The Library's Fraud Management Policy was also revised during the year to reflect changes in legislation and to update the ethical framework of the Library. The Library actively promotes the APS Values and Code of Conduct to its employees.

COMMONWEALTH DISABILITY STRATEGY

The Library continued its commitment to achieving performance levels contained in its Disability Strategy. The strategy assists the Library to meet its obligations under the *Disability Discrimination Act 1992* (Cwlth).

In particular the Library:

- responded to customer requests to improve the ways it meets the needs of people with disabilities

- participated in the Round Table on Information Access for people with print disabilities and held training sessions for staff, run by the Royal Blind Society, to raise awareness of the needs of people with visual disabilities
- released a web access policy and principles document which outlines the Library's commitment to provide access to visually impaired users
- ensured the Library's web site allows visually impaired people to use special software to access the Library's online resources
- reviewed its Certified Agreement, Staff Selection Guidelines and Staff Training program to ensure compliance with the requirements of the *Disability Discrimination Act 1992* (Cwlth).

WORKPLACE DIVERSITY PROGRAM

The Library's Workplace Diversity Program has a strong focus on valuing diversity in the workplace. In addition, the Library has a network of Harassment and Disability Contact Officers who actively work to promote a harassment and discrimination free workplace. Much work has also been undertaken to ensure that the Library's recruitment and selection practices meet the special needs of people in the EEO target groups. In addition to several ongoing Indigenous employees, the Library currently employs 13 non-ongoing Indigenous employees (for periods ranging from six months to two years) as part of its Bringing Them Home Oral History Project. This project has been funded to collect and preserve the oral history of Indigenous people and others involved in or affected by the process of child removals.

Staff surveyed during the year on a range of workplace diversity issues recorded high levels of satisfaction.

OCCUPATIONAL HEALTH AND SAFETY

The Occupational Health and Safety Committee met four times to consider issues associated with the application of health and safety principles and practices.

Comcare Australia undertook a planned investigation under the *Occupational Health and Safety (Commonwealth Employment) Act 1991* using the Victorian SafetyMAP audit tool. The investigation indicated that the Library manages its health and safety risks adequately. To further improve performance, the Library will:

- introduce a formal procedure for the systematic identification, assessment and control of hazards and risks
- conduct a review of health and safety training to ensure that all employees receive appropriate training and their level of knowledge is kept up-to-date.

ENERGY CONSUMPTION AND ENVIRONMENT PROTECTION

As a result of the Library's greenhouse gas emission reduction initiatives, energy usage has been reduced by approximately 60 per cent over the past six years, despite an increase in the number of areas provided with 24-hour climate control. This reduction has been achieved through a review of the design of the building services, implementation of an electronic building management system, an overhaul of lighting systems, installation of digital and timer controls, and regular monitoring and analysis of energy usage.

In June the Library was awarded the Commonwealth Energy and Environmental Award for the Best Energy Management Program.

COMPETITIVE TENDERING AND CONTRACTING

The Library continued its program of utilising outsourcing options in cases where this is cost-beneficial. A strategy for selective outsourcing of some IT Services was prepared following the Library's withdrawal from the Whole of Government IT Outsourcing Initiative.

Preliminary work was completed for a major benchmarking program to be undertaken next year and further outsourcing will be considered in the context of the findings.

PURCHASING POLICIES

As an agency covered by the *Commonwealth Authorities and Companies Act 1997*, the Library develops its own Procurement Guidelines. These embrace the core Commonwealth procurement principles and policies and are mandatory for all staff to follow when undertaking procurement activities.

A new contract management system was implemented to manage more effectively the Library's procurement functions. Also, a series of workshops were held for staff covering: the tendering process and documentation; managing contracts; risk management; contract variation procedures; and contract negotiation.

ASSET MANAGEMENT

The Library's Collection, valued at \$1.520 billion, is its prime asset on which many services are based. The iconic, high value items within the Collection are valued individually and other materials are valued using statistically valid methods. The Library revalues its Collection every three years. The Library's performance in developing and maintaining the collection is outlined in the Report on Operations.

The Library's land and buildings are valued at \$133.23 million. The major components of these assets are managed via a Long Term Strategic Management Plan for the Building Asset. This plan is reviewed every three years. The plan provides a full condition appraisal and life-cycle cost analysis of the total building asset and represents a long-term maintenance program covering a 15-year period.

The remaining material assets are controlled via an Assets Register. Total value of the listed assets is \$10.74 million. The Library has adopted an integrated life-cycle management policy for these assets.

DISCRETIONARY GRANTS

The Library operates two discretionary grant programs as follows:

- Community Heritage Grants

The Library, in cooperation with the Commonwealth Department of Communications, Information Technology and the Arts, offers Community Heritage Grants to assist Australian community organisations to preserve significant documentary heritage collections.

- Harold White Fellowships

The Library awards a limited number of fellowships to enable established scholars and writers to work for periods of three to six months on material in the Library's Collection.

COOPERATION ON CORPORATE MANAGEMENT ISSUES WITHIN THE COMMUNICATIONS, INFORMATION TECHNOLOGY AND THE ARTS PORTFOLIO

The Library continued to chair the Corporate Management Forum, comprising senior executives with corporate management responsibilities from seven agencies within the Communications, Information Technology and Arts portfolio, and two other agencies. The forum considers common issues in the areas of personnel management, financial management, infrastructure management, corporate planning, IT and public programs with a view to achieving economies of scale and best practice.

Some key outcomes of the forum have included the initiation of a joint Indigenous training and employment strategy, and implementation of revised joint management programs for staff.

INFORMATION TECHNOLOGY ISSUES

DIGITAL SERVICES PROJECT

The Digital Services Project is a major undertaking to implement an infrastructure and management framework to support the Library's growing digital collection. In June 2000 the Library released Request for Quotation documents for two major components—the Digital Object Storage System and the Digital Object Management System. This process resulted in the purchase of a suitable system to meet the digital object storage requirements for this project. The Library decided to meet its requirements for a Digital Object Management System through in-house application development. The application will manage the Library's digitisation process and the resulting digital collections. Another component, the PANDORA Document Acquisition System (PANDAS), was developed and implemented in-house.

GROUP 11 IT INFRASTRUCTURE OUTSOURCING PROJECT

The Library participated in Group 11 within the Whole of Government IT Outsourcing Initiative. However, following the release of the Humphry Review of the Whole Of Government IT Outsourcing Initiative in January, the Library informed the Minister that it was withdrawing from the Group 11 process as it considered that the implementation risks would best be addressed by a selective outsourcing process. Subsequently, the Library developed a strategy for selective outsourcing.

THE LIBRARY'S WEB SITE

In September 2000 the Library issued its Online Action Plan detailing initiatives and strategies for meeting the GovernmentOnline strategy and for the further development of its web-based services. The Library is well positioned in terms of adherence to the standards recommended in GovernmentOnline for metadata, electronic record-keeping and accessibility and is currently focusing its attention on electronic commerce and procurement issues and technologies.

Across the Library, staff are using XML (eXtensible Markup Language) with increasing expertise as a markup, for specifying data requirements and for documenting the organisation's information architecture.

During the year, the Library completed 34 application development projects, of which 10 were major projects. An increasing proportion of application development projects are undertaken within the web environment.

IT INFRASTRUCTURE IMPROVEMENTS

The Library improved the security and performance of its IT infrastructure through:

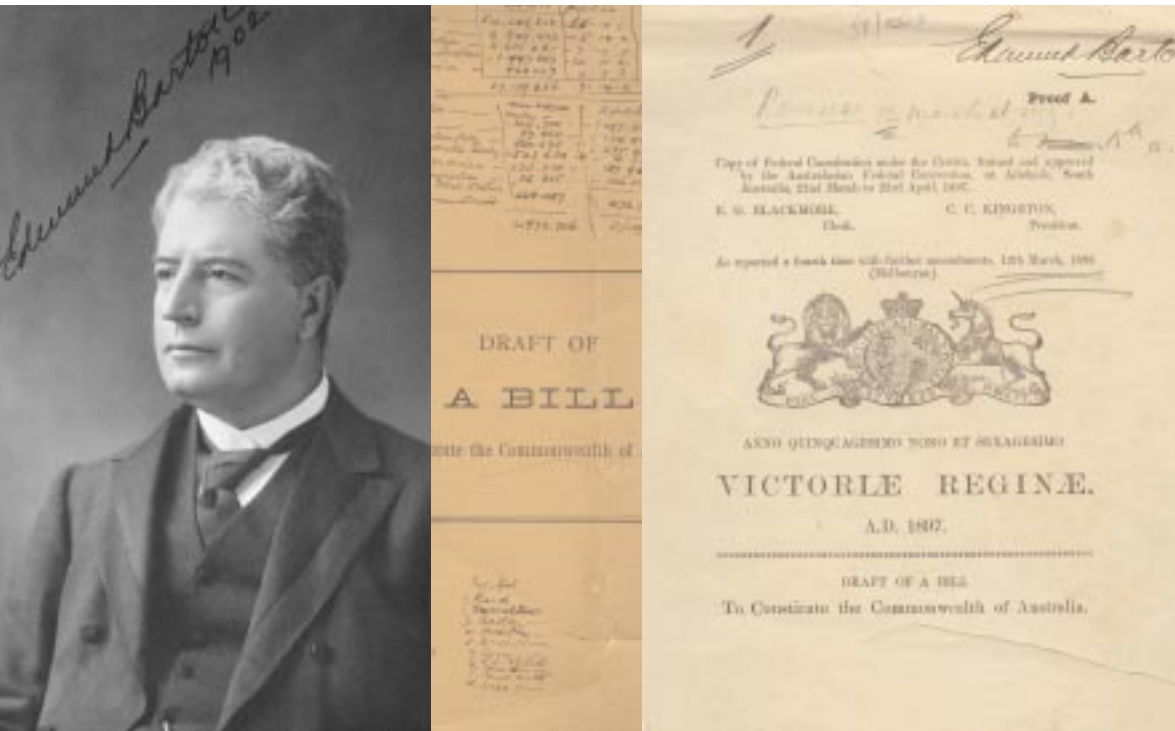
- the implementation of centralised, automated monitoring of and reporting on system events, including failures, to improve system availability
- an independent review of all aspects of IT security, with emphasis on Internet security
- upgrades to the disk storage sub-systems, local area network and Internet link to meet the demands for increased capacity and performance generated by rapidly growing digitisation activities.

SERVICE AVAILABILITY

During the year, the average availability of nine key service areas was as follows:

Service	Availability (%)
Local Area Network	99.9
File Services (Microsoft NT Servers)	99.8
Email (Microsoft Exchange)	99.8
Web Services	99.7
Integrated Library Management System	99.5
PANDORA	99.9
Finance One	100.0
Kinetica Document Delivery	99.9
PictureAustralia	99.7

The target availability of 99.5% was met or exceeded for all services.



LEFT *Portrait of Sir Edmund Barton 1903*
gelatin silver photograph on fibre-based paper; 24.1 x 19 cm
Pictorial Collection

The Edmund Barton digitisation project was made possible through the kind support of Mr Dick Smith and Mrs Pip Smith. Digitisation of the Barton Papers commenced in March 2001. They will be available online in late 2001.

Papers of Sir Edmund Barton (1849–1920)
National Library of Australia MS 51
Series 6: Papers relating to the Federation
Campaign 1890–1901
<http://nla.gov.au/nla.ms-ms51>

CENTRE Item 990: Draft of a bill to constitute
the Commonwealth of Australia, 1891
<http://nla.gov.au/nla.ms-ms51-6-990-s1-v>

20

RIGHT Item 1003: Draft of a bill to constitute the
Commonwealth of Australia, 12 March 1898
<http://nla.gov.au/nla.ms-ms51-6-1003-s1-v>