



Australian Government

National Archives of Australia

Records Authority

**Research and Development
Corporations (RDCs)**

Job no 2009/00097481

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INTRODUCTION

The National Archives of Australia with the assistance of various Research and Development Corporations have developed this Records Authority based on the Fisheries Research and Development Corporation's Records Authority issued by the National Archives on 9 May 2007. This Authority sets out the requirements for keeping or destroying records for the core business area of Research and Development Management. The *Primary Industries and Energy Research and Development Act 1989* (the PIERD Act) enables the establishment of research and development corporations (RDCs) to carry out the business described in this Authority.

This Authority may be used by research and development corporations established under the PIERD Act, or amending or superseding legislation that continues the business of establishing RDCs for the purpose of managing research and development. It may also be used by departments administering the PIERD Act that control the legacy records of defunct or privatised research and development corporations. The agencies that can use the Records Authority include:

- Cotton Research and Development Corporation
- Grains Research and Development Corporation
- Grape and Wine Research and Development Corporation
- Land and Water Australia
- Rural Industries Research and Development Corporation
- Sugar Research and Development Corporation
- Research and development corporations established under the *Primary Industries and Energy Research and Development Act 1989* after the date of issue of this Authority
- Australian Government departments and or agencies that control the legacy records of defunct or privatised research and development corporations

This Authority is based on the identification and analysis of the business of RDCs. It takes into account the legal and organisational records management requirements of the RDCs, and the interests of stakeholders, the RDCs and the National Archives of Australia.

This Authority gives research and development corporations and institutions inheriting records of former RDCs permission under the *Archives Act 1983*, for the destruction, retention or transfer to the National Archives of Australia of the records described. The Authority sets out those records that need to be retained as national archives and the minimum length of time that temporary records need to be kept. Retention periods for these temporary records are based on: an assessment of business needs; broader organisational accountability requirements; and community expectations, and are approved by the National Archives of Australia on the basis of information provided primarily by the Grains Research and Development Corporation.

The research and development corporations and institutions inheriting records of former RDCs can use the following tools to dispose of their records:

- this Records Authority covering RDC specific records;
- general disposal authorities, such as the Administrative Functions Disposal Authority (AFDA), that covers functions and records common to every Commonwealth agency; and
- normal administrative practice (NAP) which allows for the destruction of records where the records are duplicated, unimportant or for short-term use only.

As changes in circumstances may affect future records management requirements, the periodic review of this Records Authority is recommended. All amendments must be approved by the National Archives.

Advice on using this Records Authority and other records management matters is available from the National Archives' website at www.naa.gov.au or by contacting the Agency Service Centre at recordkeeping@naa.gov.au or (02) 6212 3610.

APPLICATION OF THIS AUTHORITY

1. At the time this Authority is issued, the active RDCs are in the rural industries sector with none active in the energy sector. However, this Authority applies to all research and development corporations (RDCs) established under the PIERD Act other than the Fisheries Research and Development Corporation (see 1. above). This Authority may be used by RDCs established in the future, provided they are established under the PIERD Act.
2. The National Archives recommends that RDCs develop and implement a Normal Administrative Procedure (NAP) policy at the same time that they implement this Authority. This will support Class 20057 in this Authority which will capture the majority of the RDCs' work. Normal administrative practice gives Australian Government agencies permission to destroy certain records without formal authorisation. This usually occurs where the records are duplicated, facilitative or for short-term use only. NAP does not replace the arrangements agreed to in this authority. Advice and guidance on destroying records as a normal administrative practice and advice on developing a NAP policy is available from the Agency Service Centre and the National Archives' website at www.naa.gov.au
3. This Authority replaces Records Authority 1228 issued to the Rural Industries Research and Development Corporation in 1996 and Records Authority 837 issued to Land and Water Resources Research Development Corporation in 1992. The superseded RAs may no longer be used to sentence records.
4. This Authority should be used in conjunction with the Administrative Functions Disposal Authority (AFDA) issued by the National Archives to cover administrative records common to Australian Government agencies.
5. This Authority should be used in conjunction with general disposal authorities issued by the National Archives that cover other types of records that may be created by the RDCs, such as encrypted records and source records that have been copied.
6. This Authority is to be used to sentence records. Sentencing involves the examination of records in order to identify the individual disposal class to which they belong. This process enables sentencers to determine how long records need to be kept. Advice on sentencing is available from the National Archives.
7. Where the method of recording information changes (for example from a manual system to an electronic system, or when information is migrated from one system to a new system) this Authority can still be used to sentence the records created, providing the records document the same core business. The information must be accessible for the period of time prescribed in this Authority. The research and development corporations and institutions inheriting records of former RDCs will need to ensure that any software, hardware or documentation required to enable continuing access to the information is available for the periods prescribed.
8. In general, retention requirements indicate a minimum period for retention. The RDCs may extend minimum retention periods if they consider that there is an administrative need to do so, without further reference to the National Archives. Where the RDCs believes that their accountability will be substantially compromised because a retention period or periods are not adequate, they should contact the National Archives for review of the retention period.
9. From time to time the National Archives will place a freeze on some groups of records to prevent their destruction. Further information about disposal freezes and whether they

affect the application of this Authority is available from the National Archives website at www.naa.gov.au.

10. Records in the care of the research and development corporations and institutions inheriting records of former RDCs should be appropriately stored and preserved. The RDCs and institutions inheriting records of former RDCs need to meet this obligation to ensure that the records remain authentic and accessible over time. Under section 31 of the *Archives Act 1983*, access arrangements are required for records that are in the open access period (currently after 30 years).

11. Appropriate arrangements should be made with the National Archives when records are to be transferred into custody. The National Archives accepts for transfer only those records designated as national archives.

12. Advice on how to use this Authority is available from staff responsible for records management in the research and development corporations. If there are problems with the application of the Authority that cannot be resolved, please contact the National Archives.

CONTACT INFORMATION

For assistance with this authority or for advice on other records management matters, please contact National Archives' Agency Service Centre.

Queen Victoria Terrace
Parkes ACT 2600
PO Box 7425
Canberra Mail Centre ACT 2610

Tel: (02) 6212 3610
Fax: (02) 6212 3989
Email: recordkeeping@naa.gov.au
Website: www.naa.gov.au

AUTHORISATION

RECORDS AUTHORITY

Person to whom notice of authorisation is given:

Heads of research and development corporations including:

- Cotton Research and Development Corporation
- Grains Research and Development Corporation
- Grape and Wine Research and Development Corporation
- Land and Water Australia
- Rural Industries Research and Development Corporation
- Sugar Research and Development Corporation,
- research and development corporations established under the Primary Industries and Energy Research and Development Act 1989 after the date of issue of this Authority,
- research and development corporations established under preceding, amending or superseding legislation that continue the business of establishing RDCs for the purpose of managing research and development,
- Australian Government departments and/or agencies that control the legacy records of defunct or privatised research and development corporations.

Purpose:

Authorises arrangements for the disposal of records in accordance with Section 24(2)(b) of the Archives Act 1983

Application:

Research and Development Management

This authorisation gives permission for the destruction, retention or transfer to the National Archives of Australia of the records described. The authority will apply only if these actions take place with the consent of the agency responsible for the core business documented in the records.

Authorising Officer

Margaret Chalker
Assistant Director-General
Government Information Management
National Archives of Australia

Date of issue:

16 Nov 2009

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RESEARCH AND DEVELOPMENT MANAGEMENT

The business of managing research and development by the primary industry Research and Development Corporations (RDCs) established under the Primary Industries and Energy Research and Development Act 1989. The definition of primary industry in the Act includes industries involved in the production of agricultural or other primary produce, industries that extract minerals, extract energy or extract substances that provide energy from the environment and industries involved in the conservation and sustainable use and management of natural resources.

The role of the RDCs is to investigate and evaluate the requirements for research and development in primary industry. They use investigation and evaluation outcomes to set 5 year research and development plans that are subject to regular review and revision. Annual operational plans are developed, consistent with the 5 year plan.

The RDCs fund and coordinate research consistent with the annual operational plan by entering into agreements with research providers and brokering research by establishing joint ventures or collaborations. Joint ventures involve joint operations such as co-research or collaboration with other organisations, including government or private sector organisations, where there is a joint contribution of funds and/or time. The RDCs facilitate the dissemination, adoption and commercialisation of the results of research in the relevant primary industry. Managing the resulting intellectual property generated from research and licensing its use is an important part of the RDCs' role. They monitor, evaluate and report to the Parliament, the Minister and its representative organisations on the research they fund and coordinate and its impact on the relevant primary industry.

This work includes the specific tasks of:

- giving and receiving advice
- negotiating and establishing agreements with research providers
- managing committees
- evaluating research and development needs for the relevant industry and evaluating research proposals
- managing joint venture arrangements with organisations
- liaising with the industry, Minister and representative organisations
- licensing the purchase of research outcomes
- planning research and development
- developing policies
- promoting research outcomes and making them accessible within the sector, a process known in the sector as extension
- reporting on the progress of research and on research outcomes
- representing the agency on sector committees
- administering contracted research
- receiving final research outcomes
- soliciting and evaluating research proposals from research providers
- reviewing research plans and programs
- making submissions.

The performance of the business is supported by routine administrative tasks such as:

- conducting audits
- authorising delegations of power to agency staff
- managing meetings
- receiving and responding to enquiries
- developing procedures.

RESEARCH AND DEVELOPMENT MANAGEMENT

[For working papers and copies, refer to the National Archives advice about [Normal Administrative Practice \(NAP\)](http://www.naa.gov.au/records-management/keep-destroy-transfer/NAP/index.aspx) <http://www.naa.gov.au/records-management/keep-destroy-transfer/NAP/index.aspx>

For the activities involved in making payments for costs associated with planning and managing research and development projects, use AFDA FINANCIAL MANAGEMENT – Payments.

For the activities involved in issuing, receiving and assessing tenders; and managing the performance of external service provider(s), use AFDA PROCUREMENT.]

Class 20054

Disposal action: Retain as national archives

Records documenting issues and activities that have **continuing value to Australia**. Includes:

- advice that is either controversial, subject to government-level scrutiny, innovative and/or high profile with either a significant social, environmental or economic benefit to rural industry and/or the Australian people
- committees and working groups where the agency is the lead agency
- signed joint venture agreements made with other organisations
- research and development policy
- final research reports
- submissions to the Minister and Government bodies.

[For research and development records that do not fall into the continuing value category detailed in 20054, or are not covered in 20055 or 20056, use RESEARCH & DEVELOPMENT – 20057

For agreements with research providers, use RESEARCH & DEVELOPMENT 20055]

Class 20055

Disposal action: Destroy 20 years after completion or termination of contract or agreement

Agreements with research providers.

[For joint venture agreements made with research and other organisations, use RESEARCH & DEVELOPMENT – 20054.

For final reports provided by research providers, use RESEARCH & DEVELOPMENT – 20054.

For records supporting the development and management of agreements, use RESEARCH & DEVELOPMENT – 20057.]

Class 20056

Disposal action: Destroy 15 years after action completed

Final version of strategic **research and development plans** that set the direction and intent of the agency's research and development program.

RESEARCH AND DEVELOPMENT MANAGEMENT

[For records supporting the development and management of strategic research and development plans, use RESEARCH AND DEVELOPMENT MANAGEMENT – 20057.]

[For plans formulated for operational research and development, including annual operational plans, investment plans, individual project plans use RESEARCH AND DEVELOPMENT – 20057.]

Class 20057

Disposal action: Destroy 10 years after action completed or completion or termination of contract or agreement

Records documenting **research and development management activities, other than those covered in classes 20054-20056.**

[For working papers and copies, refer to the National Archives advice about [Normal Administrative Practice \(NAP\)](http://www.naa.gov.au/records-management/keep-destroy-transfer/NAP/index.aspx) <http://www.naa.gov.au/records-management/keep-destroy-transfer/NAP/index.aspx>]