



Australian Government

National Archives of Australia

Records Authority

**The Department of Innovation,
Industry, Science and Research -
*Science and Research (Policy and Programs) &
Science Communications***

Job no 2009/00784107

18 March 2010

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INTRODUCTION

The Department of Innovation, Industry, Science and Research (DIISR) and the National Archives of Australia have developed this Records Authority to set out the requirements for keeping or destroying records for the core business areas of Science and Research (Policy and Programs) and Science Communications. It represents a significant commitment on behalf of DIISR to understand, create and manage the records of its activities.

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

This Authority gives DIISR 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 by the agency.

DIISR may use the following tools to dispose of their records:

- This and other Records Authorities covering its agency specific records;
- general records authorities, such as the Administrative Functions Disposal Authority (AFDA), covering business processes and records common to Australian Government agencies; 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 Authority is recommended. All amendments must be approved by the National Archives.

Advice on using this 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. This Authority replaces Records Authority (RA) 1395. The superseded RA can no longer be used by the Department of Innovation, Industry, Science and Research (DIISR) to sentence records after the date of issue of this Authority.
2. 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.
3. 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 DIISR such as encrypted

records and source records that have been copied.

4. 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.

5. 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. DIISR will need to ensure that any software, hardware or documentation required to enable continuing access to the information is available for the periods prescribed.

6. In general, retention requirements indicate a minimum period for retention. DIISR may extend minimum retention periods if it considers that there is an administrative need to do so, without further reference to the National Archives. Where DIISR believes that its accountability will be substantially compromised because a retention period or periods are not adequate, it should contact the National Archives for review of the retention period.

7. DIISR may destroy certain records without formal authorisation as a normal administrative practice. This usually occurs where the records are duplicated, facilitative or for short-term use only. NAP does not replace the arrangements agreed to in records authorities. Advice and guidance on destroying records as a normal administrative practice is available from the National Archives' website at www.naa.gov.au.

8. 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.

9. Records in the care of DIISR should be appropriately stored and preserved. DIISR needs 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).

10. 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.

11. Advice on how to use this Authority is available from the DIISR records manager. 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 recordkeeping 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:

The Secretary
Department of Innovation, Industry, Science and Research
Industry House
10 Binara Street
Canberra ACT 2600

Purpose:

AUTHORISES ARRANGEMENTS FOR THE DISPOSAL OF RECORDS IN ACCORDANCE WITH SECTION 24(2)(b) OF THE ARCHIVES ACT 1983

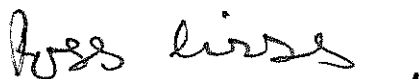
Application:

2 Core Businesses:

- Science and Research (Policy and Programs)
- Science Communications

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



Ross Gibbs
Director-General
National Archives of Australia

Date of issue:

18 March 2010.

SCIENCE AND RESEARCH (POLICY AND PROGRAMS)

The core business of developing and reviewing policy and administering programs to help Australia achieve a strong science and research capacity and to be engaged internationally on science and research to advance social development and economic growth. Includes:

- providing policy advice and opinions relating to portfolio research agencies, international matters and major strategic science and research issues;
- the design, development, promotion, establishment, implementation, review and evaluation of policy, frameworks, strategies, programs, schemes and projects;
- managing and monitoring programs for the delivery of financial assistance to science and research stakeholders, including appeals against decisions;
- representing Australia on key international bodies;
- supporting Australia's international scientific research and technological collaboration relations with priority countries and organisations, including agreements with key countries and organisations;
- representing Australia in co-operative research infrastructure projects that advance national interests such as the bid to host the Square Kilometre Array radio telescope and providing funding of research infrastructure projects such as the Australian Square Kilometre Array Pathfinder (ASKAP);
- funding research and research training through the administration of block and competitive research grant schemes;
- conducting and participating in events such as science symposia;
- providing speeches and addresses to the science and research community;
- liaising and collaborating with research agencies on the establishment, monitoring and management of governance arrangements;
- providing committee and council support;
- promoting interaction between industry and scientific research institutions;
- promoting collaborative scientific research partnerships, such as those with Co-operative Research Centres promoting access to research information and resources; and
- assessing applications for Approved Research Institute status.

For scientific research operations undertaken by the organisation, including the development of measurement standards and the construction of specialised equipment, use SCIENTIFIC RESEARCH.

For Departmental financial transaction records associated with program administration, use FINANCIAL MANAGEMENT.

For records documenting visits made by the Minister within Australia or overseas, by government VIPs to the Department or by Departmental staff to other government agencies, use GOVERNMENT RELATIONS – Visits.

For records documenting visits to the Department by important community representatives or by Departmental staff to community organisations to promote the image or services of the Department, use COMMUNITY RELATIONS – Visits.

For the procurement and commissioning of external service providers such as researchers, event co-ordinators and caterers, use PROCUREMENT.

For the production and dissemination of published documents such as reports, brochures, directories and newsletters, use PUBLICATION.

SCIENCE AND RESEARCH (POLICY AND PROGRAMS)

Class No	Description of records	Disposal action
21104	<p>Records documenting the Department's high-level policies, strategies, decisions, advice, and co-operative activities relating to the Science and Research core business. Includes:</p> <ul style="list-style-type: none">• policy and program proposals, design, statements, performance review/evaluation reports, roadmaps, strategies, and associated research, surveys, consultation, analysis, criteria, delegations and supporting guidelines. Includes selection criteria for grants and funding programs;• input into the development of legislative instruments administered by the Department;• policy or program strategy advice and scientific opinion and reports provided to or from the Minister or government agencies;• negotiation, establishment, variation and management of high-level agreements and collaborative arrangements, such as bilateral science and technology agreements and inter-agency memoranda of understanding;• records of the Department's representation in co-operative research infrastructure projects that advance national interests, such as the bid to host the Square Kilometre Array radio telescope and Anglo-Australian Observatory;• records of high-level meetings and committees, including advisory boards and councils, where the Department provides secretariat support or is the Commonwealth's main representative;• records of national and international conferences, fora, tours, celebrations and symposia arranged or hosted by the Department;• final versions of addresses (speeches and presentations) made by the portfolio Minister or senior Departmental officers at major occasions such as peak industry association meetings, scientific fora or events to announce significant program initiatives;• records associated with the approved research institute status process, whereby such institutes are assessed for taxation deduction purposes;• research agency governance records;• case files for the administration of science and research funding programs where the grants and funding have far-reaching national or international implications such as those that provide ongoing block funding to higher education providers, provide financial assistance for long-term co-operative arrangements between national and international research centres, facilitate Australia's international science and research relationships by fostering collaborations in priority research areas with strategically significant countries, or involve research infrastructure programs; and• appeals against significant grant/funding decisions.	Retain as national archives

SCIENCE AND RESEARCH (POLICY AND PROGRAMS)

Class No	Description of records	Disposal action
21105	<p>Records documenting the administration of Science and Research financial assistance programs where the grants and funding DO NOT have far-reaching national or international implications. Includes:</p> <ul style="list-style-type: none"> • successful applications; • liaison with applicants; • assessment reports; • authorisations; • funding agreements; • progress; • reconciliations; • questionnaires and final acquittal reports; • supporting information; • compliance audit/visit reports; • case files where a complete history of funding recipients is kept; and • appeals against non-significant grant/funding decisions. 	Destroy 10 years after final acquittal
21106	<p>Records documenting:</p> <ul style="list-style-type: none"> • unsuccessful applications for financial assistance under any of the Department's science and research programs; and • minutes and supporting records relating to participation in committees and meetings where the Department does not provide the Secretariat or is not the Commonwealth's main representative. 	Destroy 7 years after last action
21107	Internal procedures and marketing/communication plans developed to support and promote the management of programs. Includes sponsorship agreements.	Destroy 7 years after superseded or obsolete
21108	<p>Records documenting routine processes associated with the Science and Research core business. Includes:</p> <ul style="list-style-type: none"> • records relating to routine administrative arrangements such as notices of meetings, meeting timetables, bookings, visit schedules/itineraries and catering requests; • final versions of addresses delivered by the portfolio Minister or senior Departmental officers at minor occasions or of a minor nature, or addresses by other Departmental staff to promote or provide information relating to programs; and • records of routine liaison, enquiries and information requests received from internal and external stakeholders. 	Destroy 2 years after last action

SCIENCE COMMUNICATIONS

The core business of developing and presenting creative, interactive science exhibitions and programs to encourage Australians to recognise and be aware of the importance of science, technology, maths and innovation, and to provide access to visitors. Includes:

- project managing the development, build and maintenance of exhibitions, including travelling and temporary exhibitions, by means such as initial content research, market testing of exhibitions, graphic design;
- securing sponsorship and other funds, and entering into agreements with external national and international parties in relation to science communications programs;
- participating in meetings and committees with internal and external stakeholders;
- providing outreach programs to regional, remote and indigenous communities;
- raising science awareness, promoting interest in science-based careers, and recognising outstanding contributions to science and education made by researchers and science teachers through science prizes and financial assistance programs;
- providing adult, school, family, children and member education programs and visitor events;
- promoting exhibitions, events and outreach programs;
- retail sales of merchandise through the shop and other outlets;
- managing corporate business names and brands;
- venue hire in relation to the use of the organisation's premises for events aligned to the organisation's mission;
- visitor services including ticketing, facilitating visitor feedback and recording visitation statistics;
- receiving awards in recognition of the organisation's achievements;
- conducting and assisting with research into matters relating to science, technology, maths and innovation, and providing expert advice and assistance in relation to these matters;
- providing speeches and addresses to the science and research community;
- undertaking major reviews and audits of programs and operations;
- maintaining rare or unique accumulations of information documenting the organisation's history;
- managing the development of special-purpose facilities and associated expansion projects required for the organisation's program delivery; and
- developing policies, procedures, guidelines and plans in support of the science communication core business.

For the handling of general requests for information about the organisation and its services by the general public or another organisation, use COMMUNITY RELATIONS – ENQUIRIES.

For complaints and compliments received from the public and visitors, use COMMUNITY RELATIONS – PUBLIC REACTION.

For media releases produced by the organisation and press clippings related to the organisation's operations, use COMMUNITY RELATIONS – MEDIA RELATIONS.

For financial transactions associated with paid events and programs, use FINANCIAL MANAGEMENT.

For the management of health and safety matters such as visitor and staff safety incidents, use OCCUPATIONAL HEALTH & SAFETY (OH&S).

For the engagement of volunteers and students undertaking work experience and community placements within the organisation, use PERSONNEL – EMPLOYMENT CONDITIONS.

Core business cross references continued over page

SCIENCE COMMUNICATIONS

For procuring the services of contractors, consultants and the purchase of equipment, stores and merchandise, use *PROCUREMENT*. Includes contract performance management, such as management of contractors operating the organisation's café.

For published material produced by the organisation, including exhibition publications, published presentations, member newsletter and audiovisual productions promoting the organisation, use *PUBLICATION*.

For building and facility, construction, security arrangements and environmental management, other than design and project management records covered in this Records Authority, use *PROPERTY MANAGEMENT*.

For staff and volunteer training, use *STAFF DEVELOPMENT*.

For strategic management committees, councils, and task forces that facilitate strategic planning for the organisation, including the organisation's advisory council, use *STRATEGIC MANAGEMENT – COMMITTEES*.

For corporate charters and statements such as customer service charters and indigenous reconciliation statements, use *STRATEGIC MANAGEMENT – POLICY*.

For the development and implementation of corporate technology and telecommunications systems, including videoconferencing, use *TECHNOLOGY AND TELECOMMUNICATIONS*.

Class No	Description of records	Disposal action
21109	<p>Records supporting the Science Communications core business that relate to high-level planning, development, agreements, meetings, events and program evaluation. Includes:</p> <ul style="list-style-type: none"> • final design and development records for exhibitions and shows produced and co-produced by the organisation; <i>[For administrative records relating to exhibitions, use Class No 21113]</i> • records of high-level meetings and committees where the agency provides secretariat support or is the Commonwealth's main representative. Excludes the organisation's advisory council; • records of major events such as gallery launches, science conventions and diplomatic occasions managed by the organisation; • records of successful nominations for prizes and awards such as the Prime Minister's Prizes for Science; • final reports covering strategic reviews of the organisation's programs, performance, efficiencies and cost-effectiveness such as the <i>Review of Questacon (Stepping up to meet future needs)</i>; • research and advisory reports resulting from detailed investigation into science, technology, maths and innovation matters; • strategic joint ventures, partnership and sponsorship agreements, including Memoranda of Understanding, and the exchange of innovative ideas with other institutions in relation to the provision of science communications programs and events; • development, evaluation and management approvals of corporate logos, brand names and other trademarks; <p>21109 Continued on next page</p>	Retain as national archives

SCIENCE COMMUNICATIONS

Class No	Description of records	Disposal action
21109 (cont)	<ul style="list-style-type: none"> • final versions of unpublished presentations, addresses and lectures that contribute significantly to the community's understanding and appreciation of science; • awards, associated trophies, plaques or certificates, notification and publicity concerning the receipt of community awards and honours by the agency, such as tourism awards; • final drawings, plans and specifications documenting special-purpose property design, final construction and major refurbishments; and • rare or unique accumulations of material, including executive correspondence, newsletters and photographs, collected to document the history of the organisation. 	Retain as national archives
21110	<p>Records documenting:</p> <ul style="list-style-type: none"> • the planning and budgeting of projects associated with the development of new or extended special purpose buildings and facilities. Includes scoping studies, design briefs, meeting notes, business cases, proposals and supporting documents. Excludes final drawings, plans and specifications for property design, construction and major refurbishment (which are covered in Class No 21109); and • details of successful nominations for minor prizes such as the Michael Daly Awards for science journalism. Includes personal background/ achievements, photographs, audio-visual recordings, and interviews. 	Destroy 10 years after last action
21111	<p>Records documenting the administration of financial assistance programs relating to the Science Communications core business. Includes successful applications, liaison with applicants, assessment reports, authorisations, funding agreements, progress, reconciliations, questionnaires and final acquittal reports, supporting information, compliance audit/visit reports and case files where a complete history of funding recipients is kept.</p> <p><i>[For unsuccessful applications, use 21112]</i></p>	Destroy 10 years after final acquittal
21112	<p>Records supporting the Science Communications core business that relate to involvement in routine liaison, membership matters, audits, committees and retail. Including:</p> <ul style="list-style-type: none"> • minutes, agenda and papers of meetings and committees of a minor internal nature or where the organisation does not provide the secretariat or is not the primary Commonwealth government representative; • liaison with external organisations regarding routine matters such as future events and program activities; • approvals concerning the provision of cash grants to the recipients of the Prime Minister's Prizes for Science or other science awards; • internal and external audits of operations; • membership applications and associated correspondence; 	Destroy 7 years after last action

SCIENCE COMMUNICATIONS

Class No	Description of records	Disposal action
21112 (cont)	<ul style="list-style-type: none">• registration and renewals of business names;• sales statistics and stock take records for the organisation's retail outlets including the Q Shop and Science Circus shop; and• records documenting unsuccessful applications for financial assistance.	Destroy 7 years after last action
21113	Records supporting the Science Communications core business that relate to routine program project management, promotion or logistical matters. Includes: <ul style="list-style-type: none">• project management documentation such as schedules, outcome and evaluation reports, budgets, agreements, including Memoranda of Understanding, logistical arrangements (eg transportation of items), loans, correspondence and decommissioning arrangements for exhibitions, events, shows and outreach programs. Includes national and international travelling exhibitions and the management of projects for external clients;• records of ongoing monitoring, risk assessments, testing and maintenance of exhibits. Includes maintenance schedules and reports;• invitations, flyers, and photographs for routine visitor events such as Q Club member nights, shopping centre shows, and corporate team building events;• bookings for the use of the venue and for attendance at programs, such as holiday and outreach programs, conducted by the organisation on a fee-for-service basis;• advertisements and other marketing material promoting the programs and services provided by the organisation. [Note requirements for items regarded as publications in AFDA's PUBLICATION]; and• medical forms and attendance records for children attending programs conducted by the organisation.	Destroy 7 years after completion of programs and events, or decommissioning of exhibitions
21114	Final versions of: <ul style="list-style-type: none">• operational policies and procedures and plans such as outreach program guidelines and Invention Convention student selection criteria; and• professional development material produced for teacher education programs conducted by the organisation.	Destroy 7 years after superseded or obsolete
21115	Licences and approvals granted in relation to the provision of programs and services, including filming approvals, screening and music licences, and forms authorising the use of images of children and indigenous people in the organisation's publications.	Destroy 7 years after lapse, cancellation or other termination of authorisation
21116	Records documenting routine developmental work, administration, requests, reporting and advice relating to the Science Communications core business. Includes: <ul style="list-style-type: none">• requests for information concerning events or programs from internal stakeholders; 211165 Continued on next page	Destroy 2 years after last action

SCIENCE COMMUNICATIONS

Class No	Description of records	Disposal action
21116 (cont)	<ul style="list-style-type: none">• unsuccessful nominations for the Prime Minister's Prizes for Science or other science prizes;• advice provided to schools and community groups which does not involve detailed research and resources;• visitor and teacher feedback forms and reports;• visitor and attendance statistical reports and summary databases;• outreach touring cycle plans and associated bookings for attendance where there is no fee-for-service;• records relating to routine administrative arrangements such as notices of meetings, meeting timetables, staff itineraries and meeting catering requests;• final versions of addresses delivered at minor occasions of a minor nature to promote and provide information relating to programs;• preliminary program concepts, and design drafts; and• event, exhibition and program proposals that do not proceed to implementation.	Destroy 2 years after last action