



Australian Government

National Archives of Australia

Records Authority

2011/00292508

**Australian Institute
of Marine Science**

*Commercial Services, Marine Operations, Marine
Research, Research Management & Research Support*

June 2011

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INTRODUCTION

The Australian Institute of Marine Science (AIMS) 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 Commercial Services, Marine Operations, Marine Research, Research Management and Research Support. It represents a significant commitment on behalf of AIMS to understand, create and manage the records of its activities.

This Authority is based on the identification and analysis of the business of AIMS. 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.

The Authority sets out those records that need to be retained as national archives and specifies the minimum length of time that temporary records need to be kept. This Authority gives AIMS permission under the *Archives Act 1983*, for the destruction of the temporary records described after the minimum retention period has expired. 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.

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.

APPLICATION OF THIS AUTHORITY

1. This Authority replaces Records Authority (RA) 1362 (1998). The superseded Authority can no longer be used by AIMS to sentence records after the date of issue of this Authority.
2. 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.
3. This Authority should be used in conjunction with general records authorities such as:
 - the Administrative Functions Disposal Authority (AFDA) and/or AFDA Express issued by the National Archives to cover business processes and records common to Australian Government agencies;
 - encrypted records; and
 - source records that have been copied.
4. The Normal Administrative Practice (NAP) provision of the *Archives Act 1983* gives agencies permission to destroy certain records without formal authorisation. This usually occurs where records are duplicated, facilitative or for short-term use only. NAP does not replace arrangements agreed to in this Authority but can be used as a tool to assist in identifying records for destruction together with an agency's Records Authority or Authorities, and with AFDA and AFDA Express. The National Archives recommends that agencies develop and implement a Normal Administrative Practice policy. Advice and guidance on destroying records as a normal administrative practice and on how to develop an agency NAP policy is available from the National Archives' website at www.naa.gov.au.
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. AIMS will need to maintain continuing access to the information, including digital information, for the periods prescribed in this records authority or until the information is transferred into the custody of the National Archives.

6. In general, retention requirements indicate a minimum period for retention. AIMS 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 AIMS 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. From time to time the National Archives will place a freeze on some groups of records relating to a particular topic or event which has gained prominence or provokes controversy. While the freeze is in place no records relating to the topic or event may be destroyed. 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.

8. Records which relate to any current or pending legal action, or are subject to a request for access under the *Archives Act 1983* or any other relevant Act must not be destroyed until the action has been completed.

9. Records in the care of agencies should be appropriately stored, managed and preserved. Agencies 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 become available for public access including those records that remain in agency custody.

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 AIMS's 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 records management matters, please contact National Archives' Agency Service Centre.

Queen Victoria Terrace

Tel: (02) 6212 3610

Parkes ACT 2600

Fax: (02) 6212 3989

PO Box 7425

Email: recordkeeping@naa.gov.au

Canberra Mail Centre ACT 2610

Website: www.naa.gov.au

AUTHORISATION

RECORDS AUTHORITY 2011/00292508

Person to whom notice of authorisation is given:

Dr Ian R. Poiner
Chief Executive Officer
Australian Institute of Marine Science
PMB 3, Townsville MC
Townsville QLD 4810

Purpose:

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

Application:

Core business records relating to:

- Commercial Services
- Marine Operations
- Marine Research
- Research Management
- Research Support

This authority gives permission for the destruction, retention or transfer to the National Archives of Australia of the records described. This authority will apply only with the consent of the agency currently responsible for the business documented in the records described.

Authorising Officer



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

Date of issue:



COMMERCIAL SERVICES

The core business of developing commercial relationships with stakeholders, including the conduct of commercial transactions and the development of appropriate contractual documentation to formalise negotiated arrangements. Includes the commercialisation of research outcomes and managing funding arrangements where research activities are undertaken on behalf of other organisations.

The core tasks associated with commercial services include:

- developing and implementing policies, procedures, guidelines and plans supporting commercial services;
- developing and implementing commercial contracts and agreements (including joint venture agreements), including research and technology transfer contracts and agreements and confidentiality agreements other than with personnel;
- negotiations with internal and external stakeholders;
- identifying research outcomes and research services for commercialisation;
- developing, creating and marketing products and services resulting from research outcomes and data collection;
- providing advice and analysis in relation to commercial services;
- establishing and managing funding arrangements where outside organisations commission research activities;
- licencing research outcomes; and
- liaising with internal and external stakeholders to develop and maintain commercial relationships.

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

- conducting audits;
- authorising delegations of power to agency staff;
- managing committees and meetings; and
- reviewing and evaluating.

For litigation and the provision of legal advice to agency personnel, and the establishment and general management of agency intellectual property, including patents and intellectual assets, use AFDA/AFDA EXPRESS - LEGAL SERVICES.

For the formal publication of research outcomes and the vesting of copyright, use AFDA/AFDA EXPRESS - PUBLICATION.

For contracts and agreements relating the management of agency properties, use AFDA/AFDA EXPRESS - PROPERTY MANAGEMENT.

For contracts and agreements relating to the acquisition of goods and services, and the management of contracted service providers, use AFDA/AFDA EXPRESS - PROCUREMENT.

For customer service and service charters, use AFDA/AFDA EXPRESS - STRATEGIC MANAGEMENT.

Class No	Description of records	Disposal action
36503	<p>The following significant records:</p> <ul style="list-style-type: none"> • signed versions of significant commercial contracts and agreements with external stakeholders (including other government agencies and commercial organisations), where: the agreements relate to the provision of marine science products and services delivered by the agency that are considered ground breaking or original; involve the use of new or innovative techniques; are controversial or arouse significant public or commercial interest; or that may potentially have a major impact upon the environment, society or human health. Includes joint venture agreements and the establishment of funding arrangements commissioning major research activities; • master versions of published products and datasets resulting from research outcomes; and 	Retain as national archives

COMMERCIAL SERVICES

Class No (cont)	Description of records	Disposal action
	<ul style="list-style-type: none"> • high level policies relating to commercial services, such as policies supporting the establishment of funding arrangements and defining criteria and processes for research commercialisation. <p><i>[For records of research conducted by the agency on behalf of external organisations, including final research outcomes, use MARINE RESESARCH.</i></p> <p><i>[For joint venture contracts and agreements that are not of a commercial nature, use RESEARCH MANAGEMENT.]</i></p>	
36508	<p>Records documenting:</p> <ul style="list-style-type: none"> • signed versions of commercial contracts and agreements with external stakeholders (including other government agencies and commercial organisations), other than those described in class 36503. Includes joint venture agreements and the establishment of funding arrangements commissioning minor research activities; • management of external funding arrangements with other organisations, providing information on resources, timelines, research outputs and deliverables; • negotiations with external parties where commercial consequences are involved; • commercial arrangements for the transfer and interpretation of agency scientific data; and • requests for access to specialist data products and services produced by the agency. <p><i>[For significant contracts and agreements of a commercial nature, use class 36503.]</i></p>	Destroy 50 years after action completed
36511	<p>Records documenting:</p> <ul style="list-style-type: none"> • routine operational administrative tasks supporting the core business; and • commercial services tasks, other than those covered in classes 36503 and 36508. 	Destroy 7 years after action completed

MARINE OPERATIONS

The core business of managing sea-going activities supporting marine scientific research, including the administration and operation of the agency's marine vessels and the coordination of diving operations.

The core tasks associated with marine operations include:

- managing and maintaining marine vessels, including supplying and provisioning;
- undertaking voyages in support of research activities;
- reporting of voyage progress; and
- managing diving operations.

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

- conducting audits;
- authorising delegations of power to agency staff;
- managing committees and meetings; and
- reviewing and evaluating.

For scientific research conducted on vessels, use MARINE RESEARCH.

For health and safety issues relating to marine operations, including health and safety committees, use AFDA/AFDA EXPRESS - OCCUPATIONAL HEALTH & SAFETY.

For chartering vessels and contracting the services of professional crews, use AFDA/AFDA EXPRESS - PROCUREMENT.

For staff training, including diving training, use AFDA/AFDA EXPRESS - STAFF DEVELOPMENT.

For constructing new purpose built research vessels, use RESEARCH SUPPORT.

Class No	Description of records	Disposal action
36537	<p>The following significant records:</p> <ul style="list-style-type: none"> • ships logs and captains observations; and • formal reports of major maritime incidents occurring during research voyages, resulting in considerable damage to the vessel, injury or loss of life, or where the vessel is placed in significant danger. 	Retain as national archives
36538	<p>Records documenting:</p> <ul style="list-style-type: none"> • internal and external committees formed to consider matters directly relating to the marine operations, including documents establishing committees, final versions of minutes, reports, recommendations and supporting documents such as briefing papers and discussion papers; • evaluation of marine operations; and • maintenance and special alterations to research vessels (eg superstructure modifications). 	Destroy 50 years after action completed
36539	<p>Records documenting:</p> <ul style="list-style-type: none"> • routine operational administrative tasks supporting the core business; and • marine operations tasks, other than those covered in classes 36537 and 36538. 	Destroy 5 years after action completed

MARINE RESEARCH

The core business of undertaking original scientific and technological research, investigations, experimentation and theoretical, innovative development aimed at the creation of new knowledge to support the sustainable use and protection of the Australian marine environment, and application of this knowledge to new or improved practices, products or processes.

The core tasks associated with marine research include:

- developing and designing methodologies for scientific experimentation and observations;
- undertaking marine research, such as conducting formal experiments and observations and the gathering of specimens and data for scientific analysis;
- processing and analysing research data, including satellite data;
- managing specimens and sample collections;
- mapping, surveying and modelling conducted in connection with research projects;
- assessment and analysis of research results to form conclusions;
- reporting on the progress of research and research outcomes;
- preparing research findings and technical papers for publication;
- providing policy advice, briefings and support to the portfolio Minister in relation to specific research and development issues;
- involvement with national and international research committees and bodies, where involvement is directly connected with specific research projects;
- liaison with internal and external stakeholders, including liaison between researchers; and
- preparing and presenting addresses relating to the progress and outcomes of specific marine research projects.

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

- developing and implementing policies and procedures;
- conducting audits;
- authorising delegations of power to agency staff;
- receiving and responding to enquiries;
- managing meetings; and
- reviewing and evaluating.

For the commercialisation of research outcomes (ie the development of new products and services as a result of research project findings), use COMMERCIAL SERVICES.

For tasks associated with diving operations and/or the operation of the agency's research vessels in support of marine research, use MARINE OPERATIONS.

For establishing strategic direction and providing administrative support for marine research programs, use RESEARCH MANAGEMENT.

For specialised equipment supporting marine research, including the manufacture of customised research vessels, use RESEARCH SUPPORT.

For the promotion of research outcomes, involvement in research committees not directly connected with specific research projects, and collection and management of data, use RESEARCH SUPPORT.

For advice provided to the portfolio Minister in relation to general marine research matters, use AFDA/AFDA EXPRESS - GOVERNMENT RELATIONS.

For the establishment and management of intellectual property, use AFDA/AFDA EXPRESS - LEGAL SERVICES.

For the formal publication of research outcomes and the vesting of copyright, use AFDA/AFDA EXPRESS - PUBLICATION.

Class No	Description of records	Disposal action
36540	<p>The following significant records:</p> <ul style="list-style-type: none"> • research project files relating to marine research undertaken by the agency, where the projects: may be considered controversial, are the subject of extensive debate, or arouse widespread scientific or other interest; involve the use of new or innovative 	Retain as national archives

MARINE RESEARCH

Class No (cont)	Description of records	Disposal action
	<p>techniques; involve eminent researchers; represent a significant contribution to the existing body of knowledge; or investigate matters that may potentially have a major impact upon the environment, society or human health. Includes project plans, laboratory notebooks, research findings, and project deliverables;</p> <ul style="list-style-type: none"> • final versions of research management plans; • final versions of research reports; • final versions of mapping, surveying and modelling products relating to marine research; • cruise reports; • high level marine research policies, such as policies supporting the undertaking of scientific investigations and experiments; • committees and bodies relating to specific marine research projects, where the agency provides secretariat support, is the Australian Government's main representative, or plays a prominent or central role; • master versions of published research findings and technical papers; • advice provided to the Minister in relation to the progress and outcomes of specific marine research projects, including Ministerial briefings; and • final versions of addresses presented by the portfolio Minister and senior agency staff (including senior researchers) in relation to specific marine research projects, including addresses presented at conferences. <p><i>[For marine research data collections and corresponding control records, including research datasets, use RESEARCH SUPPORT.]</i></p>	
36541	<p>Records documenting:</p> <ul style="list-style-type: none"> • research project files relating to marine research undertaken by the agency, other than those described in class 36540. Includes project plans, laboratory notebooks, research findings, final versions of research reports and project deliverables. 	Destroy 50 years after action completed
36542	<p>Records documenting:</p> <ul style="list-style-type: none"> • meetings supporting specific research projects; • marine research procedures; and • liaison activities with other organisations and government agencies relating to specific research projects. 	Destroy 20 years after action completed
36543	<p>Records documenting:</p> <ul style="list-style-type: none"> • routine operational administrative tasks supporting the core business; and • marine research management tasks, other than those covered in classes 36540 - 36542. 	Destroy 7 years after action completed

RESEARCH MANAGEMENT

The core business of establishing and managing the research activities of the organisation, including research activities pursued in collaboration with other partners, through the provision of strategic direction and administrative support for marine research programs. Includes determining research priorities and promotion of research outcomes.

The core tasks associated with research management include:

- developing and implementing policies, procedures, strategies, and guidelines to support the undertaking of marine research and enhance the generation and transfer of knowledge;
- planning marine research and development programs;
- representing the agency on committees and working groups;
- evaluating research project proposals and potential new systems and services;
- liaising with research partners, other government agencies, industry and the community;
- managing joint venture and collaboration arrangements with other governments and organisations;
- reviewing research plans, programs and strategies;
- arranging visits in support of marine research, including receiving visits from international scholars and sending agency staff to visit national and international sites;
- arranging and managing agency events and attending external events in support of marine research, including conferences;
- preparing and presenting addresses to support marine research; and
- promoting research outcomes.

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

- conducting audits;
- authorising delegations of power to agency staff;
- receiving and responding to enquiries;
- managing committees and meetings; and
- reviewing and evaluating.

For conducting actual research, use MARINE RESEARCH.

For provision of technical and operational support for the undertaking of marine research projects, use RESEARCH SUPPORT.

For advice provided to the portfolio Minister in relation to general marine research matters, use AFDA/AFDA EXPRESS - GOVERNMENT RELATIONS.

For media releases relating to marine research outcomes, and celebrations, ceremonies and social events supporting marine research, use AFDA/AFDA EXPRESS - COMMUNITY RELATIONS.

For the administration and operation of the Council of the Australian Institute of Marine Science, use the GOVERNING BODIES GRA.

Class No	Description of records	Disposal action
36544	<p>The following significant records:</p> <ul style="list-style-type: none"> • final versions of agency marine research and development policies, plans and strategies, including schedules of planned research voyages; • committees and bodies relating to marine research, where the agency provides secretariat support, is the Australian Government's main representative, or plays a prominent or central role; • signed versions of joint venture agreements and formal collaboration arrangements with other organisations or government agencies to support marine research, excluding contracts and agreements of a commercial nature; • final high level reviews of research plans, programs and strategies with far reaching implications for the agency and for the undertaking of marine research; and 	Retain as national archives

RESEARCH MANAGEMENT

Class No (cont)	Description of records	Disposal action
	<ul style="list-style-type: none"> • final versions of addresses presented by the portfolio Minister and senior agency staff (including senior researchers) in support of marine research, including addresses presented at conferences. <p><i>[For final versions of joint venture contracts and agreements of a commercial nature, use COMMERCIAL SERVICES.</i></p> <p><i>For preparing and delivering addresses to generally promote the agency, use AFDA/AFDA EXPRESS - COMMUNITY SERVICES, AFDA/AFDA EXPRESS - GOVERNMENT RELATIONS and/or the GOVERNING BODIES GRA.]</i></p>	
36546	<p>Records documenting:</p> <ul style="list-style-type: none"> • liaison and communication with research partners, other government agencies and organisations, concerning marine science and marine issues; • committees and bodies relating to marine research, where the agency does not provide secretariat support, is not the Australian Government's main representative, and does not play a prominent or central role; and • evaluations of the suitability of potential new research projects. 	Destroy 50 years after action completed
36547	<p>Records documenting:</p> <ul style="list-style-type: none"> • evaluating and determining new programs, equipment and services, including working papers. 	Destroy 20 years after action completed
36548	<p>Records documenting:</p> <ul style="list-style-type: none"> • routine operational administrative tasks supporting the core business; and • research management tasks, other than those covered in classes 36544, 36546 and 36547. 	Destroy 5 years after action completed

RESEARCH SUPPORT

The core business of providing operational support for scientific research. Includes technical services, management of collections of data and specimens for ongoing research reference purposes, acquisition and management of major and unique items of scientific equipment specifically in relation to marine research activities (including custom design and manufacture of purpose built research instruments and research vessels), and administrative tasks supporting field work.

The core tasks associated with research support include:

- designing, building, managing and maintaining specialised marine research equipment;
- designing and building customised marine research vessels;
- managing specialised research facilities and laboratories, including onboard laboratories;
- assessing submissions for research support;
- obtaining necessary permits to support marine research projects;
- collecting, storing, managing and providing access to research data;
- retaining and maintaining scientific equipment testing registers; and
- creating and maintaining manuals for purpose built research equipment and instruments.

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

- developing, implementing and reviewing work procedures;
- conducting audits;
- authorising delegations of power to agency staff;
- receiving and responding to enquiries;
- managing meetings; and
- reviewing and evaluating.

For conducting actual research, use MARINE RESEARCH.

For establishing strategic direction and providing administrative support for marine research programs, use RESEARCH MANAGEMENT.

For chartering vessels and contracting the services of professional crews, use AFDA/AFDA EXPRESS - PROCUREMENT.

For other records relating to equipment, including instruments, implements, tools, machines and plant, use AFDA/AFDA EXPRESS - EQUIPMENT & STORES.

For records of health and safety issues relating to field operations, including trip risk assessments and the hazardous materials register, use AFDA/AFDA EXPRESS - OCCUPATIONAL HEALTH & SAFETY.

For the provision of staff training, including diving training courses, use AFDA/AFDA EXPRESS - STAFF DEVELOPMENT.

For tasks associated with diving operations and/or the operation of the agency's research vessels in support of marine research, use MARINE OPERATIONS.

Class No	Description of records	Disposal action
36549	<p>The following significant records:</p> <ul style="list-style-type: none"> • final versions of research support policies, including policies for assessing proposals for customised purpose built research equipment; • proposals for development and manufacture of purpose built research equipment, where the proposal is successful and the equipment is highly specialised or ground breaking in design, or represents a major advance or significant improvement in functionality; • designs, plans, specifications and agency produced machine manuals for customised purpose built scientific equipment to assist in marine research, where the equipment is highly specialised or ground breaking in design, or represents a major advance or significant improvement in functionality; 	Retain as national archives

RESEARCH SUPPORT

Class No (cont)	Description of records	Disposal action
36550	<p>Records documenting:</p> <ul style="list-style-type: none"> • designs, plans, specifications and other records relating to the design and construction of specialised marine research vessels, including photographs and documentation commissioning construction; • correspondence relating to the design and manufacture of purpose built research equipment, where the equipment is highly specialised or ground breaking in design, or represents a major advance or significant improvement in functionality; and • marine research data collections and corresponding control records, including research datasets. 	Destroy 70 years after action completed
36551	<p>Records documenting:</p> <ul style="list-style-type: none"> • procedures for assessing proposals for customised purpose built research equipment; • independent reviews of marine structures, including weather stations; • applications for permits for facilitating marine research; • correspondence relating to the design and manufacture of purpose built research equipment, other than those records covered in class 56549; and • proposals for development and manufacture of purpose built research equipment, other than those covered in class 56549. 	Destroy 50 years after action completed
36552	<p>Records documenting:</p> <ul style="list-style-type: none"> • routine operational administrative tasks supporting the core business; and • research support tasks, other than those covered in classes 36549 - 36551. 	Destroy 5 years after action completed