



Australian Government

National Archives of Australia

Records Authority
2011/00328136

Screen Australia

Co-Production Program
Financial Assistance
Industry & Audience Development
Producer Offset Certification

July 2012

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INTRODUCTION

Screen Australia 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 Co-Production Program, Financial Assistance, Industry and Audience Development and Producer Offset Certification. It represents a significant commitment on behalf of Screen Australia to understand, create and manage the records of its activities.

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

APPLICATION OF THIS AUTHORITY

1. This Authority supersedes Records Authority RDA 1266 (1996). The superseded authority cannot be used by Screen Australia to sentence records after the date of issue of this Authority.
2. This Authority is to be used to determine how long records must be kept. Records are matched to the relevant core business and records class in the Authority.
 - Where the minimum retention period has expired and the records are not needed for agency business they should be destroyed as authorised in this Authority.
 - Records that have not reached the minimum retention period must be kept until they do.
 - Records that are identified as Retain as National Archives (RNA) are to be transferred to the National Archives of Australia for preservation.
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;
 - General Records Authority (31) For source (including original) records that have been copied, converted or migrated.
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. Records that are reasonably likely to be needed as evidence in a current or future judicial proceeding or are subject to a request for access under the *Archives Act 1983*, the *Freedom of Information Act 1982* or any other relevant Act must not be destroyed until the action has been completed.
6. Records subject to a disposal freeze must not be destroyed until the freeze has been lifted. 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.
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 applied, providing the records document the same core business. The information must be accessible for the period of time prescribed in this Authority. Screen Australia 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.

8. In general, retention requirements indicate a minimum period for retention. Screen Australia 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 Screen Australia 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.
9. Records coming within 'Retain as national archives' classes in this Authority have been determined to be part of the archival resources of the Commonwealth under section 3C of the *Archives Act 1983*. The determination of Commonwealth records as archival resources of the Commonwealth obliges agencies to transfer the records to the National Archives when they cease to be current and, in any event, within 15 years of the records coming into existence, under section 27 of the *Archives Act 1983*.
10. 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.
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 Screen Australia'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 the 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 2011/00328136

Person to whom notice of authorisation is given:

Dr Ruth Harley
Chief Executive Officer
Screen Australia
Level 4, 150 William Street
Woolloomooloo NSW 2011

Purpose:

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

Determines records classed as 'Retain as national archives' in this Records Authority to be part of the archival resources of the Commonwealth under section 3C of the *Archives Act 1983*

Application:

All core business records relating to Co-production Program, Financial Assistance, Industry and Audience Development, Producer Offset Certification.

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.

Authorised By

MARGARET CHALKER
Acting Director-General
National Archives of Australia

Date of issue:

20th July 2012

CO-PRODUCTION PROGRAM

The core business of administering the Commonwealth government's co-production program established with the aim of facilitating cultural and creative exchange between countries, allowing the sharing of risk and cost of production and increasing the output of high quality screen productions. This involves the activities of:

- assessing and certifying applications for co-production status;
- reporting on and reviewing the co-production program;
- involvement in establishing and maintaining treaties and memoranda of understanding with foreign governments;
- liaising and consulting with governments, screen industry and other stakeholders over co-productions;
- developing policies and procedures to manage the program;
- developing guidelines and other documentation for applicants;
- promoting the program; and
- responding to enquiries regarding the program;

For the use of assessors and consultants in administering the program use AFDA/AFDA Express – PROCUREMENT.

For complaints relating to co-production use AFDA/AFDA Express – COMMUNITY RELATIONS.

For media releases relating to co-production use AFDA/AFDA Express – COMMUNITY RELATIONS.

For the development and publication of material to promote the co-production program use AFDA/AFDA Express – PUBLICATION.

For records of Board meetings at which co-production applications are assessed use GOVERNING BODIES General Records Authority 27.

For promoting the Australian screen industry use INDUSTRY AND AUDIENCE DEVELOPMENT.

Class no	Description of records	Disposal action
38915	<p>The following significant records documenting:</p> <ul style="list-style-type: none"> • final versions of co-production guidelines and application forms; • final versions of formal reports and reviews relating to the core business; • final versions of policies relating to co-production and supporting records; • interagency committees formed to discuss co-productions; • significant events held for the purpose of promoting the program or consulting with stakeholders on policy changes; • final versions of addresses and presentations made by senior agency staff in support of the co-production program; • assessment processes for co-production applications including the creation and development of assessment criteria and processes, the establishment of committees for this purpose, agendas, minutes and papers submitted at committee meetings and decisions made by the committee or the CEO. • the establishment, amendment and maintenance of co-production treaties and memoranda of understanding. Includes meetings held to discuss treaty negotiations and advice provided to the department negotiating the agreement; 	Retain as national archives

CO-PRODUCTION PROGRAM

Class no	Description of records	Disposal action
	<ul style="list-style-type: none">• case files of unsuccessful applications for provisional and final co-production status which are controversial;• case files of successful applications for provisional and final co-production status. Includes: application and associated documentation; assessment processes including recommendation reports; correspondence with producers and competent authority in co-production country; final screen content product in best available format; and• appeals or compliance issues including revocation of certificate.	
38919	Records documenting: <ul style="list-style-type: none">• routine operational administrative tasks supporting the core business; and• co-production tasks other than those covered in class 38915.	Destroy 7 years after last action

FINANCIAL ASSISTANCE

The core business of providing financial support to screen content and non-screen content projects, practitioners and organisations in the form of investments, grants and loans, and the management of application based funding categories. Includes production investment, development support, Indigenous programs, marketing support, professional development, enterprise funding, state and industry partnerships and research and publications.

Financial assistance includes the following activities:

- development of policies and strategies;
- development and management of funding programs and initiatives either managed wholly by the agency or as part of a joint initiative with other organisations;
- developing guidelines and other documentation for applicants;
- reporting and review of these programs;
- developing procedures and systems;
- managing committees to assess applications for funding;
- developing assessment and funding criteria and guidelines; and
- promoting the program.

Management of applications for funding:

- receipt of applications and associated documentation;
- assessment including eligibility checks, assessment reports and decisions;
- establishment and maintenance of funding agreements;
- monitoring the use of funds, performance indicators and receipt of delivery items as specified in funding agreements; and
- recoupment and disbursement of funds where applicable.

For records documenting payment of funding and management of program budgets use AFDA/AFDA Express – FINANCIAL MANAGEMENT.

For records relating to the engagement of external readers and assessors use AFDA/AFDA Express – PROCUREMENT.

For records relating the management of general complaints or feedback relating to Financial Assistance programs use AFDA/AFDA Express – COMMUNITY RELATIONS.

For records relating to enquiries about programs offering Financial Assistance use AFDA/AFDA Express – COMMUNITY RELATIONS.

For the development and publication of promotional material used to promote Screen Australia programs and funded projects use AFDA/AFDA Express – PUBLICATION

For media releases relating to the Financial Assistance function use AFDA/AFDA Express – COMMUNITY RELATIONS.

For records of Board meetings at which applications for funding were discussed use GOVERNING BODIES General Records Authority 27.

For promoting the Australian screen industry use INDUSTRY AND AUDIENCE DEVELOPMENT.

FINANCIAL ASSISTANCE

Class no	Description of records	Disposal action
35242	<p>The following significant records documenting:</p> <ul style="list-style-type: none"> • developing, managing and reviewing financial assistance programs or initiatives including collaborative agreements between the agency and external parties and Memoranda of Understanding establishing the initiative or program; • final policies relating to financial assistance and supporting records; • final versions of funding and assessment guidelines; • assessment processes including the development of criteria for assessing applications for funding, establishment and management of assessment committees, minutes of meetings, papers presented, and master set of decisions made on applications for funding; • final versions of formal reports relating to financial assistance; • master control records of applications used to manage and track applications for funding; • case files of successful applications for funding of screen content projects provided as an investment or grant. Includes development, production and marketing funding for feature, short and documentary films, and interactive media including games and for projects funded as part of programs such as the <i>National Documentary Program</i>. Includes: <ul style="list-style-type: none"> - applications and supporting documentation; - chain of title agreements; - assessment process including recommendation reports and approvals; - recoupment and disbursement of invested funds; - negotiation, establishment, maintenance and review of agreements with the recipient of financial assistance. <p>Also includes receipt and ongoing management of delivery items as defined by the funding agreements such as production stills, press kits, posters, scripts, reports and best version of final screen content projects including:</p> <ul style="list-style-type: none"> - all original components on film, audio tape, video tape and digital file formats; - intermediate/duplicating material including all material required to reproduce the production to release standard such as film, video tape productions and optical discs; - for productions finished on video, first generation copies made specifically for archival purposes including digital betacam, high definition formats and digital file formats; - variations to original release version including film, audio magnetic, video tape, digital file formats. <p>Excludes commercial formats such as DVDs and video tapes delivered under funding agreements.</p> <ul style="list-style-type: none"> • Unsuccessful case files of screen content projects that attract significant public or industry interest, such as those that are rejected for funding that 	Retain as national archives

FINANCIAL ASSISTANCE

Class no	Description of records	Disposal action
	<p>are commercially successful, win awards or which contain a well known actor or director;</p> <ul style="list-style-type: none">• significant events held for the purpose of promoting the program or consulting with stakeholders on policy changes; and• final versions of addresses and presentations made by senior agency staff in support of financial assistance programs.	
35245	<p>Case files of unsuccessful applications for all funding categories not covered by class 35242. Includes:</p> <ul style="list-style-type: none">• application and supporting documentation;• assessment;• decision, notification and any subsequent correspondence relating to assessment process and reasons for rejection.	Destroy 2 years after last action
38908	<p>Records documenting:</p> <ul style="list-style-type: none">• routine operational administrative tasks supporting the core business; and• financial assistance tasks other than those covered in classes 35242 and 35245	Destroy 7 years after last action

INDUSTRY AND AUDIENCE DEVELOPMENT

The core business of managing activities that contribute to the development of a successful and commercially sustainable screen industry and that encourage audience and practitioner development. Includes practitioner development, distribution, business facilitation, promotion, supporting screen culture, providing information and researching key trends in industry and audience development.

This core business consists of several activities including:

- development and management of programs
- organising or participating in events such as festivals and markets at which the agency promotes, advocates and facilitates business opportunities for the Australian screen industry;
- liaising and entering into partnerships with state agencies and industry bodies in order to develop industry and audience capabilities.
- final version of submissions for national reviews;
- providing an information service for practitioners about festivals and markets;
- hosting visits from international festival and industry representatives;
- involvement in international programs that screen and promote Australian films to international industry and audiences;
- managing and participating in meetings and committees
- researching industry and audience trends to ensure programs and activities are suitable;
- developing presentations, that promote the Australian screen industry;
- developing policies and procedures; and
- reporting and reviewing.

For the management of applications and funding programs relating to Industry and Audience Development use FINANCIAL ASSISTANCE.

For the procurement of goods and services in relation to organising events use AFDA/AFDA Express – PROCUREMENT.

For the development and publication of promotional material used at events to promote Screen Australia programs and funded projects use AFDA/AFDA Express – PUBLICATION.

For media releases and advertising relating to Industry and Audience Development use AFDA/AFDA Express – COMMUNITY RELATIONS.

For the management of databases use AFDA/AFDA Express TECHNOLOGY & TELECOMMUNICATIONS.

For agreements with other national governments about Co-production use CO-PRODUCTION PROGRAM.

Class no	Description of records	Disposal action
38909	<p>The following significant records:</p> <ul style="list-style-type: none">• Significant programs supporting industry and audience development, for example the <i>Embassy Roadshow</i> and programs developed as part of the Australian International Cultural Council (AICC). Includes programs which are developed through the innovative use of social media such as <i>Map My Summer</i>.• Significant or high level agreements with state governments, agencies and industry bodies to develop industry and audience capabilities;• final versions of presentations made by senior agency and industry personnel at significant events organised, facilitated or attended by	Retain as national archives

INDUSTRY AND AUDIENCE DEVELOPMENT

Class no	Description of records	Disposal action
	<p>Screen Australia;</p> <ul style="list-style-type: none">• final versions of reports relating to events produced by agency staff;• final policies relating to industry and audience development and supporting records;• external and high level internal committees relating to industry and audience development, where the agency provides secretariat support, is the Australian Government's main representative, or plays a prominent or central role. Includes establishment records, agenda, final versions of minutes, reports, briefing notes and tabled papers.• final versions of reports and reviews conducted by the agency to examine its role in the Australian screen industry and the effectiveness of its programs including industry consultation and submissions to national reviews; and• Records documenting detailed original research by the agency to support the development of the screen production industry. This includes research projects such as the <i>National Survey of Feature Films and TV Drama Production</i>, and <i>Get the Picture</i>. Includes final research reports and datasets or acquired datasets and associated information about data fields (eg data dictionaries or data repositories) which are significantly utilised by the agency.	
38911	<p>Records documenting:</p> <ul style="list-style-type: none">• routine operational administrative tasks supporting the core business; and• industry and audience development tasks other than those covered in class 38909.	Destroy 7 years after last action

PRODUCER OFFSET CERTIFICATION

The core business of certifying screen content projects that are eligible to receive a tax rebate against their Qualifying Australian Production Expenditure (QAPE). This includes the activities of:

- assessing applications for eligibility and the issuing of certificates to applicants;
- entering into agreements with other agencies in the course of administering the program;
- administration of committees to assess applications and issues relating to the program;
- managing the appeals process for decisions and investigating allegations of fraud or misrepresentation including cases which result in revocation of certificates;
- developing policies, procedures and assessment criteria;
- managing the relationship with stakeholders through promoting and communicating changes in the program, organising events and responding to enquiries and complaints
- reporting and reviewing.

For the use of assessors and consultants in the administration of the program use AFDA/AFDA Express – PROCUREMENT.

For complaints relating to Producer Offset process use AFDA/AFDA Express – COMMUNITY RELATIONS.

For media releases relating to Producer Offset use AFDA/AFDA Express – COMMUNITY RELATIONS.

For the development and publication of promotional material used to promote the Producer Offset program use AFDA/AFDA Express – COMMUNITY RELATIONS.

For advice to government use AFDA/AFDA Express – GOVERNMENT RELATIONS.

For promoting the Australian screen industry use INDUSTRY AND AUDIENCE DEVELOPMENT.

Class no	Description of records	Disposal action
38912	<p>The following significant records:</p> <ul style="list-style-type: none"> • final versions of official application and assessment guidelines and application forms; • agreements entered into with other government agencies and interagency committees formed relating to the administration of the program; • final policies relating to producer offset certification and supporting records; • final versions of formal reports and reviews of producer offset certification core business; • records documenting the producer offset assessment process including the creation and development of assessment criteria and processes, the establishment and management of assessment committees, meeting minutes, papers and decisions; • unsuccessful applications which are controversial; • case files for the assessment and certification of successful applications for provisional and final certificates of screen content projects to receive the producer offset tax rebate against their production expenditure. Includes application, supporting documentation, assessment processes, determinations, decision making, certificates, compliance issues including revocation of certificate and final screen content product in best available format; 	Retain as national archives

PRODUCER OFFSET CERTIFICATION

Class no	Description of records	Disposal action
	and <ul style="list-style-type: none">• appeals on assessment decisions.	
38914	Records documenting: <ul style="list-style-type: none">• routine operational and administrative tasks supporting the core business; and• producer offset activities other than those covered in class 38912.	Destroy 7 years after last action