



Australian Government

National Archives of Australia

Records Authority
2012/00167026

Productivity Commission

Competitive Neutrality Complaints Investigation
Government Commissioned Projects
Government Service Performance Monitoring
Supporting Research Programs

May 2012

CONTENTS

INTRODUCTION _____ **3**

APPLICATION OF THIS AUTHORITY _____ **3**

CONTACT INFORMATION _____ **4**

AUTHORISATION _____ **5**

COMPETITIVE NEUTRALITY COMPLAINTS INVESTIGATION _____ **6**

GOVERNMENT COMMISSIONED PROJECTS _____ **7**

GOVERNMENT SERVICE PERFORMANCE MONITORING _____ **10**

SUPPORTING RESEARCH PROGRAMS _____ **12**

© Commonwealth of Australia 2012

This work is copyright. Apart from any use as permitted under the *Copyright Act 1968*, no part may be reproduced by any process without prior written permission from the National Archives of Australia. Requests and inquiries concerning reproduction and rights should be directed to the Publications Manager, National Archives of Australia, PO Box 7425, Canberra Mail Centre ACT 2610, Australia.

INTRODUCTION

The Productivity Commission 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 Government Commissioned Projects, Government Service Performance Monitoring, Competitive Neutrality Complaints Investigation and Supporting Research Program. It represents a significant commitment on behalf of the Productivity Commission to understand, create and manage the records of its activities.

This Authority is based on the identification and analysis of the business of the Productivity Commission. 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 the Productivity Commission 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 supersedes Records Authority RDA 710. The superseded authority cannot be used by the Productivity Commission 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. The Productivity Commission 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. The Productivity Commission 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 the Productivity Commission 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 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 the Productivity Commission'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 the 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 2012/00167026

Person to whom notice of authorisation is given:

Mr Gary Banks
Chairman
Productivity Commission
Level 2, 15 Moore Street
Canberra City ACT 2601

Purpose:

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

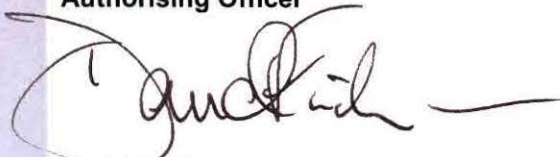
Determines records classed as 'Retain as national archives' in this Records Authority to be part of the archival resources of the Commonwealth under section 3C of the *Archives Act 1983*

Application:

All core business records relating to Competitive Neutrality Complaints Investigation, Government Commissioned Projects, Government Service Performance Monitoring, Supporting Research Programs.

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



David Fricker
Director-General
National Archives of Australia

Date of issue:

9 MAY 2012

COMPETITIVE NEUTRALITY COMPLAINTS INVESTIGATION

The core business of receiving and investigating complaints from individuals or public and private sector organisations under relevant legislation such as the *Productivity Commission Act 1998*, regarding:

- government business compliance with competitive neutrality arrangements;
- effectiveness of competitive neutrality arrangements in removal of competitive advantages arising from government ownership; or
- Australian Government businesses that should be subject to competitive neutrality arrangements.

Specific activities supporting the core business include:

- handling enquiries and providing advice;
- receiving, assessing and responding to complaints;
- preparing complaint investigation reports; and
- conducting research.

The performance of the core business is supported by low level administrative or operational tasks, such as:

- developing procedures and guidelines; and
- preparation of statistical reports.

For competitive neutrality complaints which lead to the Government's commissioning of a formal public inquiry, use GOVERNMENT COMMISSIONED PROJECTS.

For records of Commission meetings, use GOVERNING BODIES General Records Authority 27.

For the agency's annual reporting on competitive neutrality complaints investigation activities, use AFDA/AFDA Express - GOVERNMENT RELATIONS.

For the design of forms used to lodge complaints, use AFDA/AFDA Express - INFORMATION MANAGEMENT.

For managing the acquisition of goods and services, the issue, receipt and assessment of tenders and the management of the performance of external service providers, such as consultants or researchers, use AFDA/AFDA Express - PROCUREMENT.

For the production and distribution of published reports, use AFDA/AFDA Express - PUBLICATION.

Class no	Description of records	Disposal action
61021	The following significant records documenting: <ul style="list-style-type: none"> • final complaint investigation reports ; and • final research reports. 	Retain as national archives
61022	Records documenting: <ul style="list-style-type: none"> • provision of low level routine advice and the handling of routine enquiries which do not require a formal written response; and • records relating to the internal drafting of procedures and guidelines. 	Destroy 2 years after action completed
61023	Records documenting: <ul style="list-style-type: none"> • routine administrative tasks supporting the core business; and • competitive neutrality complaints investigation activities, other than those covered in classes 61021 and 61022. 	Destroy 7 years after action completed

GOVERNMENT COMMISSIONED PROJECTS

The core business of conducting government commissioned public inquiry and research projects on matters related to industry and productivity. Government commissioned projects aim to identify and analyse issues, develop policy options, and provide proposed recommendations for Government consideration.

Specific activities supporting government commissioned projects include:

- establishing and scoping projects;
- allocating Commissioners to projects;
- managing formal project communications;
- establishing and registering interested parties;
- public consultation, such as, visits, public hearings, workshops and roundtables;
- receiving and managing public submissions;
- conducting meetings;
- carrying out research;
- preparing project reports on the findings and recommendations of commissioned inquiries and research;
- delivering speeches, presentations and briefings;
- evaluating projects; and
- receiving feedback.

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

- operational management and implementation of projects;
- developing procedures and guidelines; and
- receiving and responding to enquiries and correspondence with interested parties.

Excludes original evidence or material.

For the appointment and management of Commissioners, and records of Commission meetings, use GOVERNING BODIES General Records Authority 27.

For legal advice supporting government commissioned projects, use AFDA/AFDA Express – LEGAL SERVICES.

For media releases and media monitoring relating to government commissioned inquiries and studies, use AFDA/AFDA Express - COMMUNITY RELATIONS.

For the preparation of budgets, invoices, monthly expenditure reports, and final project expenditure calculations, use AFDA/AFDA Express – FINANCIAL MANAGEMENT.

For the agency's participation in formal inquiries into its services, tabling of public inquiry and other reports in Parliament or annual reporting on Government commissioned inquiries and studies, use AFDA/AFDA Express - GOVERNMENT RELATIONS.

For the agency's reporting on the effectiveness and efficiency of government service provision, use GOVERNMENT SERVICE PERFORMANCE MONITORING.

For the design of forms/templates used in the conduct of government commissioned projects, use AFDA/AFDA Express - INFORMATION MANAGEMENT.

For the arrangement of travel for persons conducting public inquiries or other government commissioned projects, use AFDA/AFDA Express – PERSONNEL.

For managing the acquisition of goods and services, the issue, receipt and assessment of tenders, and the management of the performance of external service providers, such as consultants or researchers use AFDA/AFDA Express - PROCUREMENT.

For the production, publication and distribution of published reports, circulars, submissions and transcripts of hearings, use AFDA/AFDA Express - PUBLICATION.

GOVERNMENT COMMISSIONED PROJECTS

For the agency's self-initiated program of supporting research into industry, industry development and productivity issues affecting public and private sectors, states and territories, use SUPPORTING RESEARCH PROGRAMS.

Class no	Description of records	Disposal action
61024	<p>The following significant records documenting:</p> <ul style="list-style-type: none"> • allocating Commissioners to government commissioned projects; • formal project communications such as circulars and notices providing key details to stakeholders and the general public regarding project stages, milestones, requirements, or deliverables; • marketing plans and communication strategies for significant or controversial projects; • public submissions, including registers documenting receipt, control and movement of submissions; • transcripts and audio recordings of public hearings, workshops and roundtables; • final research reports supporting findings and recommendations outlined in final government commissioned inquiry and research reports; • final government commissioned project reports and draft reports such as 'early bottom lines'; and • final versions of speeches, presentations and/or briefings made by senior agency staff or Commissioners (including the Chair of the Commission) at major public forums, conferences, seminars and other events which promote, discuss or announce government commissioned inquiries and research projects and activities. Includes pre and post report release briefings provided to Ministers and heads of government agencies. 	Retain as national archives
61025	<p>Records documenting:</p> <ul style="list-style-type: none"> • low level routine administrative arrangements for workshops and roundtables, visits, public hearings or other meetings such as timetables, schedules and itineraries, venue and facility bookings, invitations, catering arrangements, and routine liaison with venue organisers; • routine enquiries from, and correspondence with, interested parties, such as submission receipt acknowledgement letters, correspondence confirming participation in hearings or roundtables, letters accompanying copies of transcripts, requests to withdraw submissions, registration of interest forms, requests for copies of papers and reports. • feedback surveys; • development of procedures, guidelines, project evaluation reports, communication strategies and marketing plans/report release plans not covered in class 61024, briefing materials and public hearing welcome documents. Includes working papers, drafts and background material; and • draft terms of reference for projects. 	Destroy 2 years after action completed
61026	Withdrawn submissions.	Return original to owner/author,

GOVERNMENT COMMISSIONED PROJECTS

Class no	Description of records	Disposal action
		and destroy copies 1 month after action completed.
61027	Records documenting: <ul style="list-style-type: none">• routine administrative tasks supporting the core business; and• government commissioned projects activities, other than those covered in classes 61024 to 61026.	Destroy 7 years after action completed

GOVERNMENT SERVICE PERFORMANCE MONITORING

The core business of measuring and reporting on the equity, efficiency and cost effectiveness of Australian government services.

Specific activities supporting government service performance monitoring include:

- managing committees and working groups;
- provision of advice;
- developing and delivering speeches, presentations and briefings;
- reporting on key government service performance monitoring areas; and
- conducting research.

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

- managing internal operational team meetings; and
- developing policies, procedures and guidelines.

For the arrangement and conduct of agency conferences, the production of media releases, and the agency's administrative arrangements with the media, use AFDA/AFDA Express - COMMUNITY RELATIONS.

For records of Commission meetings, use GOVERNING BODIES General Records Authority 27.

For the agency's participation in formal inquiries into its services and annual reporting on GOVERNMENT SERVICE PERFORMANCE MONITORING activities, use AFDA/AFDA Express - GOVERNMENT RELATIONS.

For the procurement of data, the issue, receipt and assessment of tenders and the management of the performance of external service providers, such as consultants or researchers, use AFDA/AFDA Express - PROCUREMENT.

For the production and distribution of published reports, use AFDA/AFDA Express - PUBLICATION.

For the provision of internal staff training to support the core business, such as training in the use of customised databases and software, or training relating to the agency's secretariat role, use AFDA/AFDA Express - STAFF DEVELOPMENT.

For the agency's systematic management planning; development of strategic plans, business plans, corporate plans or strategies or the development of quality assurance and continuous improvement processes supporting the core business, use AFDA/AFDA Express - STRATEGIC MANAGEMENT.

For the customisation and management of databases or software, the maintenance of data, and the development of systems manuals and other supporting documenting, use AFDA/AFDA Express - TECHNOLOGY & TELECOMMUNICATIONS.

Class no	Description of records	Disposal action
61031	<p>The following significant records documenting:</p> <ul style="list-style-type: none"> • high level external and internal committees, such as the Steering Committee for Government Service Provision, where the agency provides secretariat support, is the Australian Government's main representative, or plays a prominent or central role. Includes establishment records, agendas, final version of minutes, tabled papers, briefing notes reports and recommendations made by the committee; • final versions of policies and procedures which provide the high level framework for the operation and management of government service performance monitoring, such as the Steering Committee for the Review of Government Service provision terms of reference, charter of operations, and guiding principles; • high level advice to or from committees for which the Commission 	Retain as national archives

GOVERNMENT SERVICE PERFORMANCE MONITORING

Class no	Description of records	Disposal action
	<p>provides the secretariat, such as requests for advice from Treasury executive; and</p> <ul style="list-style-type: none"> • final versions of speeches, presentations and/or briefings made by senior agency staff or the Chair of the Commission at major public forums, conferences, seminars and other events which promote, discuss or announce matters in relation to the core business. Includes pre and post report release briefings provided to Ministers and heads of government agencies. 	
61032	Records documenting intergovernmental or inter-agency working groups not covered by class 61031.	Destroy 10 years after action completed
61033	<p>Records documenting:</p> <ul style="list-style-type: none"> • routine administrative tasks supporting the core business; and • government service performance monitoring activities, other than those covered in classes 61031 and 61032. 	Destroy 7 years after action completed

SUPPORTING RESEARCH PROGRAMS

The core business of managing the agency's self-initiated ('stand-alone') program of supporting research into industry, industry development and productivity issues affecting public and private sectors, states and territories. Includes joint research projects undertaken with the agency's partners. Also includes the agency's management of the visiting researcher program.

Specific activities relating to the supporting research programs core business include:

- establishment and management of research agreements and joint ventures;
- arranging and managing committees and working groups;
- managing conferences and roundtables;
- receiving feedback;
- conducting research and reporting on findings and outcomes;
- developing research procedures and guidelines;
- managing visiting researchers, including processing and managing funding applications; and
- delivering speeches, presentations and briefings.

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

- operational management and running of projects;
- receiving and responding to enquiries; and
- managing internal operational team meetings.

For the preparation and submission of research papers supporting a case or opinion held by the Commission submitted to another organisation and participation in parliamentary and other formal inquiries into its services, use AFDA/AFDA Express – GOVERNMENT RELATIONS

For records of Commission meetings, use GOVERNING BODIES General Records Authority 27.

For arranging and managing visits to the Commission by the public and non-government agencies and the production of media releases, use AFDA/AFDA Express – COMMUNITY RELATIONS.

For arranging and managing visits to the Commission by interstate and overseas government agencies and annual reporting on supporting research or visiting researcher programs, use AFDA/AFDA Express – GOVERNMENT RELATIONS.

For Government commissioned research projects on matters related to industry and productivity, use GOVERNMENT COMMISSIONED PROJECTS.

For managing the acquisition of goods and services, and the issue, receipt and assessment of tenders, use AFDA/AFDA Express - PROCUREMENT.

For the production, publication and distribution of research reports, papers and conference proceedings, use AFDA/AFDA Express - PUBLICATION.

SUPPORTING RESEARCH PROGRAMS

Class no	Description of records	Disposal action
61028	<p>The following significant records documenting:</p> <ul style="list-style-type: none"> • final versions of research reports and papers; • final versions of proceedings of conferences and roundtables hosted by the Commission; • intergovernmental and other high-level research agreements and joint ventures, such as intergovernmental agreements, joint venture and collaborative agreements between the Commonwealth, states and territories, universities and research bodies. Includes significant funding agreements and arrangements which have far reaching international implications such as those providing long term or block funding to research bodies and projects; • high level internal and external committees and working groups where the Commission is the lead agency, provides the secretariat or plays a leading role in deliberations. Includes documents establishing the committee, agenda, final version of minutes, reports, briefing notes and tabled papers; and • final versions of speeches, presentations and/or briefings made by Commissioners (including the Chair of the Commission) at major public forums, conferences, seminars and other events which promote, discuss or announce significant research programs and activities. Includes speeches and presentations made by internationally recognised figures at events hosted by the Commission, such as those delivered as part of the Richard Snape Lecture series. 	Retain as national archives
61029	<p>Records documenting:</p> <ul style="list-style-type: none"> • Low level routine administrative arrangements for workshops, conferences, roundtables, committees, or other meetings. Includes timetables and schedules, venue and facility bookings, announcements and notifications, invitations, catering arrangements, and routine liaison with venue organisers; • unsuccessful funding applications to host visiting researchers; • development of procedures and guidelines, speeches, presentations and/or briefings, and the preparation of conference/roundtable proceedings. Includes working papers, drafts and background material; • receiving and responding to enquiries which do not require a formal written response; and • feedback surveys. 	Destroy 2 years after action completed
61030	<p>Records documenting:</p> <ul style="list-style-type: none"> • routine administrative tasks supporting the core business; and • supporting research programs activities, other than those covered in classes 61028 and 61029. 	Destroy 7 years after action completed