



**Australian Government**  

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**National Archives of Australia**

**Records Authority**  
2012/00616143

**Low Carbon Australia Limited**  
*Low Carbon Program Management*

**February 2013**

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## INTRODUCTION

Low Carbon Australia Limited (LCAL) and the National Archives of Australia have developed this Records Authority to set out the requirements for keeping or destroying records for the business area of Low Carbon Program Management. It represents a significant commitment on behalf of LCAL to understand, create and manage the records of its activities.

This Authority is based on the identification and analysis of the business of LCAL. 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 LCAL 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 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.
2. 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.
3. 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](http://www.naa.gov.au).
4. 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.
5. 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](http://www.naa.gov.au).
6. 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. LCAL 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.

7. In general, retention requirements indicate a minimum period for retention. LCAL 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 LCAL 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.
8. 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*.
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 the LCAL 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](mailto:recordkeeping@naa.gov.au)  
Website: [www.naa.gov.au](http://www.naa.gov.au)

## AUTHORISATION

### RECORDS AUTHORITY 2012/00616143

**Person to whom notice of authorisation is given:**

Ms Margaret McDonald  
Chief Executive Officer  
Low Carbon Australia Limited  
Level 8, 140 Ann Street  
Brisbane QLD 4000

**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 Low Carbon Program Management.

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  
Assistant Director-General  
Government Information Management  
National Archives of Australia

**Date of issue:**

15 February 2013

## LOW CARBON PROGRAM MANAGEMENT

The core business of managing Australian Government programs aimed at encouraging action on energy efficiency and cost-effective carbon reduction within Australian business, government and the wider community. It includes providing financial solutions and advice, and certifying products or business operations as carbon neutral. Also includes managing aspects of the organisation's status as a wholly-owned Government company created for the management of the programs.

The core tasks associated with low carbon program management include:

- establishing and managing the organisation as a company, including winding-up the company;
- planning, developing and implementing programs to support the core business;
- designing, developing, implementing and managing clean energy finance and investment products, such as direct or co-financed loans;
- receiving, assessing and approving proposals from stakeholders, and providing clean energy finance and capital for stakeholder projects;
- managing certification, licensing/sub-licensing and reviews of decisions;
- negotiating, establishing and reviewing agreements;
- undertaking research, including surveys and consultation;
- liaising and entering into collaborative relationships with stakeholders;
- monitoring, evaluating and reviewing programs, products, rules and guidelines;
- developing and promulgating marketing and communications strategies; and
- developing and delivering training, briefings and case studies which aim to inform and educate, and promote program initiatives to stakeholders.

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

- developing, implementing and reviewing internal operational policies and procedures, including rules and guidelines, relating to the management of program activities;
- receiving and providing advice and other forms of information;
- managing and participating in internal and external meetings and committees, including the company's annual general and extraordinary meetings;
- arranging energy efficiency awareness and education sessions and events;
- identifying, assessing and managing risks;
- delegating powers and authorising actions;
- developing reports and submissions;
- planning, conducting and facilitating audits;
- preparing and presenting speeches and addresses; and
- managing public enquiries.

Excludes national and high level policy and standards.

*For media releases and interviews, and the handling of public reaction in relation to program management initiatives and activities, use AFDA/AFDA Express - COMMUNITY RELATIONS.*

*For the establishment and administration of the Board of Directors, including minutes of Board meetings, use the GOVERNING BODIES General Records Authority 27.*

*For Board committees and overarching corporate plans and strategies, use AFDA/AFDA Express - STRATEGIC MANAGEMENT.*

*For advice to the portfolio Minister, ministerial and cabinet submissions, the development of legislation, and the organisation's participation in formal inquiries such as Parliamentary Committee inquiries into programs, use AFDA/AFDA Express – GOVERNMENT RELATIONS.*

## LOW CARBON PROGRAM MANAGEMENT

*For management of legal action, use AFDA/AFDA Express - LEGAL SERVICES.*

*For the management of program finance and accounting transactions and compliance, including company registration and returns, use AFDA/AFDA Express - FINANCIAL MANAGEMENT.*

*For the production and distribution of LCAL publications, use AFDA/AFDA Express - PUBLICATION.*

*For the design of forms and templates, use AFDA/AFDA Express - INFORMATION MANAGEMENT.*

*For the issue, receipt and assessment of tenders and quotations, and the management of external service providers, such as consultants, use AFDA/AFDA Express - PROCUREMENT.*

Class no	Description of records	Disposal action
61253	<p>The following significant records documenting:</p> <ul style="list-style-type: none"> <li>• establishment of the organisation as a company. Includes the company constitution;</li> <li>• minutes and reports of the company's annual general and extraordinary meetings;</li> <li>• winding-up of the organisation as a company, including winding-up notifications, approvals and arrangements for the transfer of assets;</li> <li>• developing, implementing and reviewing high-level plans, strategies and frameworks to support low carbon program management. Includes program strategic, risk management, business and implementation plans. Includes final versions, proposals, discussion and issues papers, research reports, submissions, major drafts and stakeholder consultation;</li> <li>• developing major programs and projects supporting the core business, that are: of national or international significance, controversial or of considerable public interest; ground-breaking or innovative; or, have a substantial social, economic, or environmental impact (eg Carbon Neutral Program, Energy Efficiency Program). Includes projects undertaken as joint ventures. Includes project plans, research findings, program implementation and progress reports (including annual reports to the responsible government agency and program assessment reports to the Minister), risk analysis reports and project outcomes;</li> <li>• developing rules and guidelines to support program implementation, including program assessment criteria. Includes final versions, major drafts, and related research;</li> <li>• developing high-level reports relating to the core business, including research, monitoring, evaluation and commissioned market research reports. Includes final versions, stakeholder consultation, major drafts and supporting research;</li> <li>• providing and receiving high-level low carbon program management related advice, including external legal advice received in relation to matters which are precedent setting. Includes final version of advice, position and discussion papers, briefings, opinions, and stakeholder submissions;</li> </ul> <p><i>[For all other legal advice, use AFDA/AFDA Express – LEGAL SERVICES.]</i></p> <ul style="list-style-type: none"> <li>• case records supporting low carbon program management, including: <ul style="list-style-type: none"> <li>○ strategic program relationship cases,</li> <li>○ clean energy finance and capital project cases, and</li> </ul> </li> </ul>	Retain as national archives

## LOW CARBON PROGRAM MANAGEMENT

Class no	Description of records	Disposal action
	<ul style="list-style-type: none"> <li>○ carbon neutral certification cases, where the cases: are innovative or controversial; attract significant media, political or community interest; are precedent setting (eg first airline to be certified carbon neutral); result in major changes to low carbon policy and program management; or have a substantial social, economic or environmental impact. Case records include approvals, advice, consultation, liaison, planning, assessments, negotiations, monitoring, licences and the ongoing management of agreements;</li> <li>● summary records supporting energy efficiency and carbon reduction program implementation, such as those consolidating information on successful and unsuccessful applications, approvals, products, projects and sub-licensing arrangements with stakeholders (eg carbon neutral certification register). Includes registers/datasets and associated information about the data fields (eg data dictionaries);</li> <li>● major marketing campaigns promoting low carbon programs, products and initiatives, including national campaigns to raise public awareness. Includes conducting market research and developing program logos/trademarks, marketing and educational material. Includes final versions of marketing and educational material, final designs (artwork), scripts and style guides, market research reports, and case studies used for marketing purposes;</li> <li>● high-level reviews, including strategic reviews and major internal reviews, of the core business, where the review: relates to controversial matters or matters of public interest; will have a substantial social, economic, political or environmental impact; or results in major changes to LCAL policy and programs. Includes final review reports, recommendations, stakeholder consultations, submissions, and supporting research;</li> <li>● high-level internal and external committees where the organisation provides the Secretariat, is the Australian Government's main representative, or plays a prominent or central role (eg Program Investment Committee). Includes establishment documentation, agenda, final versions of minutes, reports, briefing notes and tabled papers;</li> <li>● final versions of significant agreements and contracts (including contracts under seal) and supporting documents, where the contracts and agreements: relate to substantial funding arrangements with the Australian Government, States and Territories and other organisations (eg Head Funding Deed); are controversial or of public interest; or will potentially have a substantial social, economic or environmental impact. Includes joint venture agreements, high-level inter-governmental agreements, and Memorandums of Understanding. Includes negotiation, establishment, variation and termination;</li> <li>● master versions of publications produced to support the core business (eg fact sheets); and</li> <li>● final versions of speeches, addresses and briefings presented by the portfolio Minister, Board Chair, Board Members or senior LCAL staff in support of low carbon programs and initiatives at major public forums, conferences, seminars, or other promotional events.</li> </ul>	

## LOW CARBON PROGRAM MANAGEMENT

Class no	Description of records	Disposal action
61254	<p>Case records, excluding those covered in class 61253, documenting:</p> <ul style="list-style-type: none"> <li>• approved strategic program relationship cases for the design, development and establishment of clean energy finance and investment products. Includes documentation associated with the planning, negotiation, liaison, establishment, ongoing management, and review of agreements, licences and associated products;</li> <li>• approved clean energy finance and capital projects cases. Includes applications, assessments, advice, liaison, approvals, stakeholder credit checks, condition precedents, agreements, schedules, statements, and other supporting documentation. Excludes those records covered by classes 61255 and 61256; and</li> <li>• approved carbon neutral certification cases. Includes liaison, advice, applications and supporting documentation, assessments, approvals, agreements, licences, monitoring records, and results of reviews of decisions. Excludes those records covered by class 61256.</li> </ul> <p><i>[For unsuccessful applications, use class 61257.]</i></p>	<p>Destroy 15 years after completion or termination of the agreement, or 7 years after termination of the program, whichever is longer</p>
61255	<p>Records documenting the identification of stakeholders undertaken during the assessment of proposals, and as part of the organisation's responsibilities in relation to anti-money laundering and counter-terrorism financing. Includes records of the identification procedure and copies of the information obtained (eg copies of primary identification documents).</p>	<p>Destroy 7 years after the end of the organisation's relationship with the relevant stakeholder</p>
61256	<p>Original documentation received from stakeholders to support the assessment of applications and proposals that are not required to be retained as part of the case file, where the documentation is considered to be commercially sensitive and is either:</p> <ul style="list-style-type: none"> <li>• no longer wanted by the applicant/owner; or</li> <li>• unable to be returned to the applicant/owner after reasonable efforts have been made for their return.</li> </ul> <p><i>[For records documenting program assessment processes and associated operational policies, use classes 61253 and 61257.]</i></p> <p><i>[For records of individual cases involving assessments of applications and proposals, use classes 61253 and 61254.]</i></p>	<p>Destroy 1 year after reasonable efforts have been made to return the documents</p>
61257	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>• routine operational administrative tasks supporting the core business; and</li> <li>• low carbon program management activities, other than those covered in classes 61253 – 61256.</li> </ul>	<p>Destroy 7 years after action completed</p>