



Australian Government

National Archives of Australia

Records Authority
2013/00224651

**Department of Industry, Innovation,
Climate Change, Science, Research
and Tertiary Education**

Replacement of several classes in RA 2007/307997 issued to the former Department of Industry Tourism and Resources in November 2007.

2013

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INTRODUCTION

The Department of Industry, Innovation, Climate Change, Science, Research and Tertiary Education and the National Archives of Australia have developed this Records Authority to set out the requirements for keeping or destroying specific records for the core business areas of Business Information Access, Industry Support and Development, Metrological Business Development, Metrological Services, and Scientific Research. It represents a significant commitment on behalf of the Department of Industry, Innovation, Climate Change, Science, Research and Tertiary Education to understand, create and manage the records of its activities.

This Authority is based on the identification and analysis of the business of the Department of Industry, Innovation, Climate Change, Science, Research and Tertiary Education. 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 the Department of Industry, Innovation, Climate Change, Science, Research and Tertiary Education 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 several classes in Records Authority RA 2007/307997 issued to the former department of Industry Tourism and Resources in November 2007. Classes 17766, 17914, 17938, 18164, 18168, 18180 and 18432 cannot be used 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; and
 - 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; and
 - 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 Department of Industry, Innovation, Climate Change, Science, Research and Tertiary Education 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 Department of Industry, Innovation, Climate Change, Science, Research and Tertiary Education 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 Department of Industry, Innovation, Climate Change, Science, Research and Tertiary Education 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 the Department of Industry, Innovation, Climate Change, Science, Research and Tertiary Education 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
Parkes ACT 2600
PO Box 7425
Canberra Business Centre ACT 2610

Tel: (02) 6212 3610
Fax: (02) 6212 3989
Email: recordkeeping@naa.gov.au
Website: www.naa.gov.au

AUTHORISATION

RECORDS AUTHORITY 2013/00224651

Person to whom notice of authorisation is given:

Dr Don Russell
The Secretary
Department of Industry, Innovation, Climate Change,
Science, Research and Tertiary Education
GPO Box 9839
Canberra 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:

Specific core business records relating to: Business Information Access; Industry Support and Development; Metrological Business Development; Metrological Services; and Scientific Research.

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

David Fricker

Director-General
National Archives of Australia

Date of issue:

17 June 2013

BUSINESS INFORMATION ACCESS

The function of facilitating and providing Australian businesses with a single point of access to aggregated information from all levels of Government in Australia to assist them to plan, start and run their businesses. Includes access through online services; the aggregation and syndication of content; the development and management of websites; liaison and consultation with industry; and marketing.

For the technical elements related to this function and other Departmental online strategies and processes, including website security management, use TECHNOLOGY & TELECOMMUNICATIONS.

For the development of industry programs, use INDUSTRY SUPPORT AND DEVELOPMENT – Program Development.

Class no	Description of records	Disposal action
61316	<p>Records documenting the provision of information services for external clients, such as those concerning regulatory compliance obligations of businesses, via the agency's managed website. Includes user search queries, result sets, transactional summaries, packaged information and client account details.</p> <p><i>For the negotiation and establishment of agreements with various jurisdictional stakeholders; and records documenting other aspects of government website management, use BUSINESS INFORMATION ACCESS.</i></p> <p><i>For records documenting the management of system audit trails and logs, use AFDA/AFDA Express TECHNOLOGY & TELECOMMUNICATIONS.</i></p> <p><i>For the capture of published website pages and management of copyright, use AFDA/AFDA Express PUBLICATION.</i></p> <p><i>For legal advice concerning the business information access issues, use AFDA/AFDA Express LEGAL SERVICES.</i></p>	Destroy 15 years after last action
61317	Final reports documenting the outcomes of analysis and assessment of potential or existing business information access programs and services.	Destroy 10 Years after program or service terminates, or does not proceed.

INDUSTRY SUPPORT AND DEVELOPMENT

The function of formulating policy to regulate and support the private sector, including small business. Includes the development of strategies to foster innovation and growth in business and industry and the provision of assistance to industry through a range of measures including advisory services, entitlements, grants, funding and subsidies. Also includes industry development, industry assistance schemes, small business services, business sponsorship, regulatory reform and collaboration with industry and government bodies within Australia and overseas.

For the implementation and administration of the Australian Government's tourism policy, including the provision of advice and assistance to Australia's tourism industry and international liaison, use TOURISM.

For the development and regulation of energy and mineral resources, including fossil fuels and electricity, and the establishment of international energy and mineral related agreements, use ENERGY AND MINERAL RESOURCES.

For the development of foreign investment strategies, policies and programs, use FOREIGN INVESTMENT ATTRACTION.

Class no	Description of records	Disposal action
61319	<p>Records setting legal and decision-making precedence in relation to industry entitlements. Includes assessments and certificates issued by the decision-making body to the taxation commission to deny a research and development deduction previously claimed by a company.</p> <p><i>For precedent-setting legal advice related to the process, use the former Department of Industry, Tourism and Resources Records Authority (2007) class 18283.</i></p> <p><i>For records of the membership and meetings of the research and development board, use General Records Authority (GRA) 27 Advisory Bodies.</i></p> <p><i>For advice related to the process, use the former Department of Industry and Tourism and Resources Records Authority (2007) class 18283.</i></p> <p><i>For records of routine legal nature, use LEGAL SERVICES.</i></p>	Retain as national archives
61320	<p>Records documenting research and development tax concession cases administered by the agency from 1986 until 1 July 2011, under the former R&D Tax Concession Program. Includes:</p> <ul style="list-style-type: none"> • initial inquiry correspondence and advice regarding concessions; • meeting notes; • correspondence; • applications; • supporting documents; • certificates; • authorisations; • notifications; • reviews of decisions; and • compliance monitoring data and reports. <p><i>Excludes statutory assessments and certificates covered by class 61319, and industry entitlement related records covered by classes 18316, 18433 and 18349.</i></p>	Retain in accordance with applicable taxation law, or destroy 15 years after action completed, whichever is longer

INDUSTRY SUPPORT AND DEVELOPMENT

Class no	Description of records	Disposal action
61321	<p>Records documenting case records covering the receipt, assessment, amendment and revocation of industry entitlements such as tax incentives, tariff/customs duty concessions and duty credits. Includes:</p> <ul style="list-style-type: none"> • initial inquiry correspondence and advice regarding industry entitlements; • meeting notes; • correspondence; • applications; • supporting documents; • assessment reports and recommendations (includes successful and unsuccessful applications); • certificates; • authorisations; • notifications; • records of entitlements; and • compliance monitoring data and reports. <p><i>Excludes those records covered by classes 61319 and 61320, and industry entitlement related records covered by classes 18316, 18433, 18349.</i></p> <p><i>For high economic value venture capital cases, use class 18316.</i></p>	Destroy 7 years after last action
61318	<p>Records documenting :</p> <ul style="list-style-type: none"> • the agency's provision of review services to businesses to analyse and advise in relation to strengths and weaknesses, strategic issues, and potential areas for improvement and growth. Includes: <ul style="list-style-type: none"> • applications; • correspondence; • assessment details; and • final report. <p><i>For records documenting advisory service grants and applications for grants that may be made following a business review, use classes 18312, 18313 and 18314.</i></p>	Destroy 7 years after last action

METROLOGICAL BUSINESS DEVELOPMENT

The function of developing the organisation's commercial opportunities relating to metrological services. Includes contracts and agreements for all research, and technology transfer arrangements and confidentiality agreements other than with personnel.

For the provision of metrological services to external clients, use METROLOGICAL SERVICES.

Class no	Description of records	Disposal action
61322	Risk register relating to the metrological business development function.	Destroy 20 years after superseded

METROLOGICAL SERVICES

The function of providing physical, biological and chemical metrological services. Includes the development of analytical methods, tests and procedures, including measurements and calibration of metrological instruments; analytical services, including analysis of samples and testing of instruments; consulting and training services; the issuing of certificates under trade measurement legislation; proficiency testing; pattern approval, testing and compliance.

For the development and maintenance of the legal metrology infrastructure including the development of documentary standards, use METROLOGICAL COORDINATION.

For quality management of laboratories, use LABORATORY QUALITY MANAGEMENT.

For business development activities, use METROLOGICAL BUSINESS DEVELOPMENT.

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

For the issuing of certificates in relation to pattern approval, use METROLOGICAL SERVICES - Pattern Approval.

For contracts signed to provide consulting services, use METROLOGICAL SERVICES - Agreements.

For training provided to other organisations, use METROLOGICAL SERVICES - Training Services.

Class no	Description of records	Disposal action
61323	Original data from calibrations and tests (results), worksheets and field notes, and chromatograms of samples documenting the provision of testing and calibrating services, including forensic, drug, environmental and instrument tests, where the results or nature of the matter could have a major impact on the environment, society, economy or public health, or have other high scientific value, or concern other controversial public issues with far-reaching or international implications.	Retain as national archives
61325	Laboratory analyses, raw data and samples, and processed or interpreted data documenting the conduct of contract research services provided by the agency where the research made a major contribution, was controversial, subject to extensive debate or aroused wide interest, involved the use of major new or innovative techniques, or a 'first of a kind' process or product, or significantly improved an existing product or process.	Retain as national archives
61324	Registers of instruments and samples received for testing and calibration.	Destroy 75 years after last action

SCIENTIFIC RESEARCH

The function of investigating or enquiring into a subject or area of interest to discover facts and principles. Includes the development of projects, measurement standards and guidelines; international comparisons of measurement standards; liaison between scientists; meetings to discuss technical issues and unpublished technical papers; scientific conferences; and the design and construction of mechanical, technical and electronic equipment to support the organisation's business activities.

For the development of Documentary Standards, use METROLOGICAL COORDINATION.

For equipment hired or leased, use EQUIPMENT & STORES.

For the development and management of applications used with equipment, use TECHNOLOGY & TELECOMMUNICATIONS.

For the process of determining the suitability of or verifying a test method in order to subject and test samples or any other kind of materials to a chemical or other analysis and providing a scientifically based description of the outcome, use SCIENTIFIC RESEARCH - Method Validation.

For the development of documentary standards, use METROLOGICAL CONTROL -Documentary Standards.

Class no	Description of records	Disposal action
61326	Chemical reference register (chemical reference database).	Retain as national archives