



Records Authority

2013/00611451

Department of Industry

Bureau of Resources and Energy Economics

Economic Research Services

2014

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INTRODUCTION

The Department of Industry 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 of Economic Research Services. It represents a significant commitment on behalf of the Department to understand, create and manage the records of its activities.

This Authority is based on the identification and analysis of the business of the Bureau of Resources and Energy Economics, a unit within the Department of Industry. 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 permission under the *Archives Act 1983*, for the destruction of the temporary records described after the minimum retention period has expired. Retention periods for these temporary records are based on: an assessment of business needs; broader organisational accountability requirements; and community expectations, and are approved by the National Archives of Australia on the basis of information provided by the agency.

As changes in circumstances may affect future records management requirements, the periodic review of this Authority is recommended. All amendments must be approved by the National Archives.

APPLICATION OF THIS AUTHORITY

1. This Authority replaces class 18382 in Records Authority 2007/00307997 issued to the Department of Industry, Tourism and Resources in 2007. This class has been superseded and cannot be applied to further records after the issue of this authority.

This authority partially supersedes the following classes in Records Authority 2007/00307997 issued to the Department of Industry, Tourism and Resources in 2007: 18379-18381 and 18420. These classes cannot be used for records of the Bureau of Resources and Energy Economics after the date of issue of this Authority.

Where retention periods have increased, records previously identified for destruction must be kept until the revised minimum retention period is reached.

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 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 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 Bureau of Resources and Energy Economics 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 Department of Industry 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 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 2013/00611451

Person to whom notice of authorisation is given:

Glenys Beauchamp
Secretary
Department of Industry

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 Economic Research Services

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:

29 January 2014

ECONOMIC RESEARCH SERVICES

The core business of providing independent economic and statistical research, analysis, forecasts and strategic advice to the Australian government and stakeholders in the resources and energy sectors.

The **core activities** include:

- development of research policies and principles;
- application of research methodologies including applied research and evidence-based research;
- liaison with government agencies, industry, and representative organisations;
- providing and receiving advice;
- collaborative development with government agencies, private industry and research providers;
- hosting national and international conferences;
- data collection, verification and management;
- evaluating research needs, research performed and research proposals;
- internal approvals;
- planning, design and development of research programs. Includes consultations; and
- reporting on research outcomes.

The performance of the core business is supported by **general activities** such as:

- making arrangements;
- preparing addresses and presentations;
- negotiating, establishing, managing and reviewing agreements and joint venture arrangements;
- monitoring and reviewing;
- conducting audits;
- delegating powers and authorising actions;
- managing agency committees and meetings;
- receiving and responding to enquiries; and
- developing procedures.

Cross references to AFDA Express Records Authority

For agency media releases, use COMMUNITY RELATIONS.

For agency submissions, use GOVERNMENT RELATIONS.

For intellectual property rights related to research findings, use LEGAL SERVICES.

For commissioning professional services from external consultants and/or non-government organisations through a tendering process, use PROCUREMENT.

For the management of research funds, use FINANCIAL MANAGEMENT.

Cross references to other records authorities

For records of the advisory board, use ADVISORY BODIES.

Class no	Description of records	Disposal action
61484	<p>Records documenting:</p> <ul style="list-style-type: none"> • <u>outcomes of research</u> and analysis undertaken or commissioned by the agency. Includes final research reports, statistical and trend analysis and supporting research <u>datasets</u> and associated information; • final versions and major drafts of research <u>policy</u> and <u>principles</u>; • final versions of <u>strategic research plans</u>; • final versions of <u>speeches and presentations</u> made by the Minister or senior agency staff, including conference presentations which relate to the resources and energy sectors; • final proceedings of <u>conferences</u> hosted by the agency, such as the Australian National Conference on Resources and Energy (ANCRE); • high-level <u>advice</u> received or provided by the agency such as relating to commodity pricing issues; • <u>consultation</u> processes, such as seeking feedback on research plans, which involved extensive interaction or which elicited strong reaction; • <u>final</u> reports of evaluations or reviews of research programs which result in change to strategic direction; • resource energy <u>statistics</u> including data dictionaries, data tables business rules and metadata schemes; and • final version of agency <u>publications</u>. <p><i>[For the production and distribution of agency publications, use PUBLICATION]</i></p>	Retain as national archives
61485	<p>Records documenting:</p> <ul style="list-style-type: none"> • <u>analysis</u> and <u>outcomes</u> resulting from research studies, mathematical modelling and observations which do not inform final research reports covered in class 61484; and • <u>project management</u> including research methodology and processes for project. Includes: <ul style="list-style-type: none"> ○ requests and approvals for research projects ○ project milestones and deliverables ○ project methodology. 	Destroy 20 years after action completed.
61486	<p>Records documenting:</p> <ul style="list-style-type: none"> • receipt and provision of <u>advice</u> on routine matters; • negotiation, establishment, management and review of <u>agreements</u>. Includes agreements for research consultancy projects, licence agreements and MOU's; • internal and external <u>audit</u> activities and reports; • <u>evaluation</u> and ongoing monitoring of research projects, systems or services; and • <u>acquisition</u> and <u>management</u> of <u>data</u> specifically collected for a research project. Includes licence and conditions of use documentation. 	Destroy 10 years after last action.

Class no	Description of records	Disposal action
61490	Data collected from research participants. Includes facilitative collection tools where data is transferred into other formats for the purpose of analysis.	Destroy 24 hours after data is transferred from collection tool.
61491	Records documenting: <ul style="list-style-type: none">• routine operational administrative tasks supporting the core business; and• economic research services activities other than those covered in classes 61484 to 61486, and class 61490.	Destroy 7 years after last action.