



Australian Government

National Archives of Australia

Records Authority

2019/00059343

**Northern Australia Infrastructure
Facility**

Northern Australia Economic Infrastructure
Investment Assessment

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2019



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INTRODUCTION

The Northern Australia Infrastructure Facility (NAIF) 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 area of Northern Australia Economic Infrastructure Investment Assessment. It represents a significant commitment on behalf of NAIF to understand, create and manage the records of its activities.

This authority is based on the identification and analysis of the business of NAIF. It takes into account the agency's legal and organisational information management requirements, and the interests of stakeholders, NAIF and the National Archives.

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 NAIF 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 on the basis of information provided by the agency.

As changes in circumstances may affect future information 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 NAIF 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' are to be transferred to the National Archives for preservation.
2. This authority should be used in conjunction with general records authorities such as:
 - AFDA Express Version 2 issued by the National Archives to cover business processes and records common to Australian Government agencies; and
 - General Records Authority (31) - Destruction of source or original records after digitisation, conversion or migration (2015).
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 Express Version 2. The National Archives recommends that agencies develop and implement a NAP policy. Advice and guidance on destroying records as a normal administrative practice and on how to develop a NAP policy is available from the National Archives' website at 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.
6. Where the method of recording information changes (for example from an analogue system to a

digital 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 NAIF 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. The NAIF 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 NAIF 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. Records created digitally after 1 January 2016 can be transferred in digital formats only.
11. Advice on how to use this authority is available from the NAIF information 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 information management matters, please contact National Archives' [Agency Service Centre](#).

AUTHORISATION

RECORDS AUTHORITY 2019/00059343

Person to whom notice of authorisation is given:

Laurie Walker
Chief Executive Officer
Northern Australia Infrastructure Facility
Level 7, 46-48 Sheridan Street
Cairns, Queensland, 4870

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 Northern Australia Infrastructure Investment Assessment

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

Linda Macfarlane
Assistant Director-General (a/g)
National Archives of Australia

Date of issue:

12 September 2019

NORTHERN AUSTRALIA INFRASTRUCTURE INVESTMENT ASSESSMENT

The core business of providing financial assistance in the form of a loan or alternative financing mechanism for the construction of infrastructure for northern Australia and determining the terms and conditions of that financial assistance.

The **core activities** include:

- stakeholder engagement relating to the Northern Australia Infrastructure Facility (NAIF) mandate and identifying and assessing potential projects;
- receiving and responding to initial potential proponent enquiries;
- making Investment Decisions (a decision of the NAIF Board to offer, or not offer a Financing Mechanism), against the legislated NAIF Investment Mandate and NAIF Act;
- undertaking due diligence (including liaison with government or other stakeholders as required) on Investment Proposals submitted to the NAIF Board for an Investment Decision;
- determining terms and conditions, including concessions offered, for the financial assistance to be provided;
- engaging with the responsible Minister and jurisdiction stakeholders on their legislative activities under the NAIF legislative framework including the NAIF Investment Mandate and Master Facility Agreement;
- facilitating financial closure between relevant jurisdiction and project proponent; and
- loan portfolio management.

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

- developing legal loan documentation;
- preparing Board submissions;
- internal and external audits;
- managing and participating in committees and meetings;
- preparing and presenting speeches;
- handling enquiries from and liaising with various stakeholders;
- development and maintaining internal operational policies and procedures;
- strategic planning;
- financial, pipeline and other reporting;
- general research; and
- providing and receiving advice.

Cross references to AFDA Express Version 2

For the management of accounting activities related to NAIF loans and NAIF revenue and expenses use FINANCIAL MANAGEMENT.

For agreements with other government jurisdictions, use EXTERNAL RELATIONS.

For agency wide strategic plans, audits and policies, use STRATEGIC MANAGEMENT.

For the provision of legal advice and review, use LEGAL SERVICES.

For developing agency publications such as the regular newsletter, use PUBLICATION.

For managing FOI enquiries, use TECHNOLOGY AND INFORMATION MANAGEMENT.

Cross reference to other records authorities

For Board and governance matters, use General Records Authority 27 – GOVERNING BODIES.

Class no	Description of records	Disposal action
62558	<p>Records documenting:</p> <ul style="list-style-type: none"> • strategic assessment papers and related project proposals against the NAIF Investment Mandate; • investment decisions, including decisions not to invest. Includes supporting documentation such as the Investment Proposal incorporating due diligence, NAIF Credit Assessment Paper, Indigenous Engagement Strategy, Social and Environmental Risk Report, assessment Considerations, financial model, technical advice, evidence of satisfying conditions precedent, and Public Benefit Analysis; • Master Facility Agreements between the NAIF, the Commonwealth government and state or territory governments; • summary data of loan facilities; • final executed loan facility agreements including terms and conditions; • final versions of speeches made by Board members and senior agency officers; • formal communications with the Minister including proposal notice and rejection notice; and • assessment notifications to jurisdictional stakeholders and any written notification received from jurisdictions, including decisions to reject investment proposals. 	Retain as national archives
62559	<p>Records documenting:</p> <ul style="list-style-type: none"> • monthly loan portfolio management reports and proponent notices. 	Destroy 10 years after action completed
62560	<p>Records documenting:</p> <ul style="list-style-type: none"> • proponent information supporting the successful applications for funding, including business case and strategy and financial modelling. 	Destroy 10 years after loan is repaid in full
62561	<p>Records documenting:</p> <ul style="list-style-type: none"> • routine operational administrative tasks supporting the core business; and • NAIF activities other than those covered in classes 62558 to 62560, including: <ul style="list-style-type: none"> ○ identifying potential projects; ○ receiving and responding to initial potential proponent enquiries; ○ complaint management; and ○ proponent enquiries that don't proceed with NAIF, including business plans, timelines and proponent information. 	Destroy 7 years after action completed