



Australian Government

National Archives of Australia

Records Authority

2020/00108042

**Commonwealth Grants Commission
(CGC)**

FISCAL EQUALISATION ADVICE

2020

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CONTENTS

INTRODUCTION.....	4
APPLICATION OF THIS AUTHORITY	4
CONTACT INFORMATION.....	5
AUTHORISATION.....	6
FISCAL EQUALISATION ADVICE.....	7

INTRODUCTION

The Commonwealth Grants Commission (CGC) 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 FISCAL EQUALISATION ADVICE. It represents a significant commitment on behalf of CGC to understand, create and manage the records of its activities.

This authority is based on the identification and analysis of the business of CGC. It takes into account the agency's legal and organisational information management requirements, and the interests of stakeholders, the agency 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 CGC 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 supersedes records authority (RA) 2003/00258141. The superseded records authority cannot be used by Commonwealth Grants Commission to sentence records after the date of issue of this authority.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 CGC's 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.
3. This authority should be used in conjunction with general records authorities such as:
 - the 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).
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 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.
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 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 CGC 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 CGC 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 CGC 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' class 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. Records created digitally after 1 January 2016 can be transferred in digital formats only.
 12. Advice on how to use this authority is available from the CGC 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 2020/00108042

Person to whom notice of authorisation is given:

Secretary
Commonwealth Grants Commission
Mr Michael Willcock
86/88 Northbourne Ave, Braddon ACT 2612

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 'Fiscal Equalisation Advice'.

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
A/g Assistant Director- General
National Archives of Australia

Date of issue:

16 April 2020

FISCAL EQUALISATION ADVICE

The core business of informing the Australian Government on decisions of fiscal equalisation between the States and Territories through advice and recommendations on the distribution of Goods and Services Tax (GST) revenue. Includes inquiring into, and reporting on, an application or matter referred to the Commission, engaging with stakeholders and undertaking research and analysis.

The **core activities** include:

- conduct Commissioner meetings, supported by the Secretariat;
- develop and establish fiscal equalisation policy;
- provide reports relating to Terms of Reference;
- undertake fiscal equalisation research and analysis. Includes preparing papers and analysing data sets, submissions, statements of opinion and supporting correspondence received from external stakeholders;
- engagement with key stakeholders, including the Department of Treasury, States and Territories, through formal submissions in response to Inquiries; and
- provide consulting services to Australian Government agencies.

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

- implement the accountable authority instructions and exercising delegations, as prescribed under the relevant legislation (currently the *Public Governance, Performance and Accountability Act 2013*);
- manage Secretariat committees and staff meetings;
- plan and review work programs and operational matters;
- develop and establish operational policies, procedures and guidelines; and
- identify, assess, and manage risks.

Cross references to other records authorities

Use *GRA 26 ADVISORY BODIES* for:

- addresses and presentations made by Commissioners,
- appointments and separations of Commissioners
- provision of Secretariat support to Commissioners, such as arranging meetings, travel and allowances.

Cross references to AFDA Express Version 2

For master set of media relations announcing new inquiries and reports from inquiries, use *EXTERNAL RELATIONS*.

For Secretariat high level reports to external entities, including corporate plans and annual reports, use *EXTERNAL RELATIONS*.

For managing copyright arrangements for published reports, and for design and production of publications, use *PUBLICATIONS*.

FISCAL EQUALISATION ADVICE

Class no	Description of records	Disposal action
62750	Final records documenting Commission: <ul style="list-style-type: none"> • meetings, including agenda, papers and minutes; • reports relating to Terms of Reference, including: <ul style="list-style-type: none"> ○ Commissioner recommendation; ○ information, supporting data and calculations used in an Inquiry; and ○ formal submissions providing feedback on Commission papers. 	Retain as national archives
62751	Records documenting: <ul style="list-style-type: none"> • all other fiscal equalisation advice activities not covered in class 62750, such as: <ul style="list-style-type: none"> ○ Secretariat administration and general stakeholder liaison ○ consulting services provided to appropriate external parties ○ meetings with internal and external stakeholders ○ research activities eg. consultation with external stakeholders, staff papers, requests and receipt of data. • routine operational administrative tasks supporting the core business. 	Destroy 7 years after action completed