



Australian Government



NATIONAL
ARCHIVES
OF AUSTRALIA

General Records Authority No 37
2014/00675051

Research & Development

SUPERSEDED

2016



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INTRODUCTION

The National Archives of Australia has developed this General Records Authority to set out the requirements for keeping or destroying records relating to Research & Development.

This Authority is based on the identification and analysis of the business of Research & Development. It takes into account legal and organisational records management requirements, and the interests of stakeholders, Australian Government agencies 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 agencies 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.

As changes in circumstances may affect future records management requirements, this Authority will occasionally require amendment by the addition of new classes or variation to existing classes. The National Archives will notify agencies of any changes and the information will also be published on the Archives website.

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:
 - AFDA Express which covers administrative business processes and records common to many Australian Government agencies;
 - General Records Authority 26 – Advisory Bodies; 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 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.
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 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 agency 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 agency 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 agency 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 agency's 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 2014/00675051

Person to whom notice of authorisation is given:

Heads of Commonwealth institutions under the *Archives Act 1983* responsible for Research & Development records.

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 Research & Development.

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

Anne Lyons
Assistant Director-General
National Archives of Australia

Date of issue:

1 April 2016

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The core business of supporting, commissioning and/or contributing to the seeking of new knowledge and the application of that knowledge for policy, programs, advice and other practical and innovative uses, including the development of new products, services and processes.

The **core activities** include:

- developing and implementing research and development policies, procedures, principles, standards, frameworks, strategies and programs;
- planning research and development programs and projects, including modelling and forecasting;
- evaluating research and development program proposals in relation to identified needs and priorities;
- liaising with stakeholders, including consulting with community and industry;
- developing, designing and applying methodologies for scientific experimentation and observations, including for applied research and evidence-based research;
- undertaking and managing research and development projects, including conducting formal experiments and observations and the gathering of specimens and samples collections;
- establishing and managing joint venture and collaboration projects with government agencies, private industry, research providers and other organisations;
- collecting, collating, managing and analysing research data;
- reporting on progress and outcomes of research and development projects, including providing or receiving final research reports and project deliverables;
- commercialisation relating to research and development projects, including identifying, developing, implementing, reviewing and revising new business opportunities, products and services resulting from research outcomes. Includes licensing research outcomes and related intellectual property;
- negotiating, establishing, implementing and monitoring agreements and contracts, including agreements with research and development providers and funders;
- promotion and support of research and development, including development assistance for research projects;
- disseminating research and development findings;
- managing specialised research and development facilities and laboratories;
- designing, building, managing and maintaining specialised research and development equipment and instruments, including creating and maintaining manuals for purpose-built research equipment and instruments;
- management of research misconduct;
- arranging and attending research and development conferences and seminars; and
- conferring or receiving awards for excellence in the field of research and development.

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

- providing and receiving advice and other information;
- planning, conducting and facilitating audits;
- managing and participating in internal and external committees and meetings;
- project management;
- planning and reporting, including budget and compliance reporting;
- reviewing and evaluating;
- preparing and presenting speeches;
- delegating powers and authorising actions;

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- handling enquiries and complaints; and
- identifying, assessing and managing risks.

Cross references to AFDA Express Records Authority

For advice, briefs and submissions to the portfolio Minister, cabinet submissions and the organisation's participation in formal inquiries, use GOVERNMENT RELATIONS.

For media releases, use COMMUNITY RELATIONS and/or GOVERNMENT RELATIONS.

For the management of research funds, use FINANCIAL MANAGEMENT.

For managing the acquisition of goods and services, including tendering and contracting arrangements, use PROCUREMENT.

For the establishment and management of intellectual property, use LEGAL SERVICES.

Cross references to other records authorities

For statutory and non-statutory advisory bodies, use General Records Authority 26 – ADVISORY BODIES.

For the issuing and management of grants, fellowships and scholarships, use General Records Authority 28 – GRANT MANAGEMENT.

For developing and executing contracts under seal or deeds, use General Records Authority 36 - CONTRACTS UNDER SEAL/DEEDS.

Class no	Description of records	Disposal action
61721	<p>The following significant records relating to the management of research and development programs, documenting:</p> <ul style="list-style-type: none"> • developing and reviewing high-level research and development policies, principles, plans, standards, frameworks, strategies, methodologies and programs. Includes research management plans. Includes final versions, policy statements, major drafts, stakeholder consultation and supporting research; • providing and receiving high-level advice, including advice in relation to issues that are controversial or precedent setting. Includes final versions of advice, position papers, briefings, reports, opinions and submissions; • development of national and high-level reports, including major statistical reports. Includes final versions, major drafts, stakeholder consultation, and supporting research; • high-level internal and external, including inter-governmental or inter-agency, committees, working groups, forums, panels and other bodies where the agency provides the secretariat, is the Australian Government's main representative, or plays a prominent or central role. Includes committees formed to consider significant matters relating to research and development, such as the establishment of a new research discipline or facility. Includes establishment documentation, agenda, final versions of minutes, reports and tabled papers; • summary records created to support research and development activities, such as those consolidating information on research project outcomes; 	Retain as national archives

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Class no	Description of records	Disposal action
	<ul style="list-style-type: none"> • final versions of significant agreements and contracts and supporting documents, that: relate to substantial funding arrangements or the establishment of major partnerships and cooperative arrangements with other governments, agencies and organisations; are controversial, of public interest or ground-breaking in nature; substantially impact upon the provision of research and development in Australia; or, have major implications for the conduct of agency business. Includes high-level inter-governmental and international agreements, joint ventures and memoranda of understanding; • high-level and strategic reviews of research and development, including reviews of capabilities, programs, performance, efficiencies and cost effectiveness. Includes final review reports, major drafts, recommendations, stakeholder consultations, and submissions • ceremonies for conferring national and international awards, honours and prizes in relation to the research and development core business. Includes programs, photographs, attendees, and nomination and assessment documentation; <p><i>[For recipients of grants, scholarships and fellowships, use General Records Authority 28 – GRANT MANAGEMENT]</i></p> <ul style="list-style-type: none"> • final versions of papers, reports, presentations and proceedings from research and development related conferences, forums, seminars and workshops hosted by the agency; and • final versions of speeches presented by the portfolio Minister, the agency head or senior agency staff (including senior researchers), in relation to research and development. <p>The following significant records relating to specific research and development activities, documenting:</p> <ul style="list-style-type: none"> • final outcomes of major research and development projects undertaken or commissioned by the agency. Includes final research and development reports, research and technical papers, research findings, modelling and forecasting, and statistical and trend analysis; • research and development projects undertaken by the agency (research case files), where the projects: may be considered controversial, are the subject of extensive debate, or arouse widespread scientific or other interest; involve the use of new or innovative techniques; involve eminent researchers; represent a significant contribution to the existing body of knowledge; or, investigate matters that may potentially have a major economic, political, cultural, or environmental impact or otherwise be of substantial historical interest. Includes joint venture research and development projects. Includes project plans, methodologies, laboratory notebooks, observations, analysis, reports, and project deliverables; <p><i>[For routine project management, use class 61724]</i></p> <ul style="list-style-type: none"> • scientific and technical research datasets that support major research and development projects, including associated information (eg data dictionaries); 	

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Class no	Description of records	Disposal action
	<ul style="list-style-type: none"> • commercialisation of research and development outcomes to develop new products and services that: relate to the outcomes of major research and development projects; involve substantial funding or investment; are the result of partnerships, joint ventures or cooperative arrangements with other governments, agencies and organisations; are controversial or of considerable public interest; are considered ground-breaking, innovative or original; involve the use of new or innovative techniques; or, may potentially have a major economic, political, cultural, or environmental impact or otherwise be of substantial historical interest. Includes identifying, developing, implementing, reviewing and revising new business opportunities, products and services (including licencing) resulting from research outcomes. Includes proposals, feasibility studies, assessments and recommendations, briefs, business case and modelling, scoping studies, notifications, performance reviews, reports, agreements and market research and analysis; • design, development and manufacture of purpose built research equipment, where the equipment is highly specialised or ground-breaking in design, or represents a major advance or significant improvement in functionality. Includes initial proposal, designs, plans, specifications, reports and operating manuals; • disclosures of inventions that have major economic outcomes where their industrial application and innovation in industry or first of a kind process or product. Includes description of research, results, value, use and possible commercial application; and • master versions of agency publications, including published research reports, products and datasets resulting from research outcomes. 	
61722	<p>Records documenting:</p> <ul style="list-style-type: none"> • final versions of agreements and contracts, including consent forms with individuals, joint venture partnerships and memoranda of understanding, other than those covered in class 61721; • final outcomes of major research and development projects undertaken or commissioned by the agency, other than those covered in class 61721; • research and development projects undertaken by the agency (research case files), other than those covered in class 61721; <p><i>[For routine project management, use class 61724]</i></p> <ul style="list-style-type: none"> • scientific and technical research datasets that support research and development projects, including associated information (eg data dictionaries), other than those covered in class 61721; • commercialisation of research and development outcomes to develop new products and services, other than those covered in class 61721; and • disclosures of inventions that result in minor economic outcomes Includes description of research, results, value, use and possible commercial application. 	Destroy 20 years after action completed

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Class no	Description of records	Disposal action
61724	Records documenting: <ul style="list-style-type: none">• routine operational administrative tasks supporting the core business; and• research and development activities, other than those covered in classes 61721 to 61722.	Destroy 7 years after action completed

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