



Appendix C: Background Research Template

This template collects information on the administrative, legislative and regulatory framework for the public authority and its recordkeeping environment to provide context for retention and disposal recommendations. Some of the information may be sourced from your Strategic Recordkeeping Implementation Plan and updated. Please see section 5.1 of the guidelines for information on completing this template.

Administrative context

1. Name of public authority: _____

2. Summarise the defining characteristics of the public authority.
Include sector, reporting arrangements, unique characteristics and whether the authority is 'lead agency' for any whole-of-government functions.

Characteristics

3. History of the public authority.
Please provide a chronological overview of the history of the authority, including predecessor agencies, any Machinery of Government changes and loss and gain of functions.

Date	Comments

4. What does the public authority do?

List the general areas of business of the industry sector for which the public authority is responsible and major outputs, services and products provided by the public authority.

Business activity	Outputs, products or services

5. Does the public authority have any formal links to other organisations, either public or private?

Include any links such as major contracts or Memorandums of Understanding (MOUs) based on data sharing arrangements, joint committees, service delivery, etc.

Name of organisation	Relationship

6. Structure of the public authority

Please attach a detailed organisational chart of the public authority, showing business units and any regional offices.

Legislative and regulatory framework

7. What legislation is administered by the public authority?

Also include repealed legislation that was administered by the public authority or predecessor, if relevant for the project scope. Older legislation may not be available online but a librarian will be able to locate it in hard copy.

Legislation

8. What legislation or standards affect the role or operation of the public authority?

List any legislation or external standards, for example NATA standards, excluding those that are common to most public authorities, such as the Financial Management Standards or the Public Records Act 2002 and those listed above.

Legislation / standard	Impact / business area affected

Records and recordkeeping systems

9. How is recordkeeping managed in the public authority?

Comment on whether recordkeeping is centralised, decentralised or mixed, and the management of paper and electronic records.

Records Management

10. What recordkeeping systems or collections exist in the public authority?

Provide a brief description of all recordkeeping systems that exist in the public authority including paper-based filing systems, electronic document management systems, database applications, collections of photographs, maps and plans and audio visual material. Also include legacy collections if relevant for the scope of the project.

System / Collection	Description

11. Dates of record holdings

Provide a brief description of the oldest records held by the organisation, including a summary list of records held dated prior to 1920, and indicate when the majority (80%) of the records date from.

Records Holdings