## <u>PART I</u>

#### ALL PORTFOLIOS ARE REQUESTED TO COMPLETE PART I.

If you cannot answer a question, please indicate whether the question is NOT APPLICABLE or if INFORMATION IS NOT AVAILABLE.

Sec	tion 1: Contact details			
1.1	Portfolio	Department of Transport & Regional Services (DoTRS), Cross-Moda	l & Maritime	Transport
1.2		al arrangements are governed by: a 'X' whether one or more of the following Acts apply)		
	Financial I	Management and Accountability Act 1997	YES X YES	NO NO
	Commonw	realth Authorities and Companies Act 1997		
	Other	Part VI Navigation Act 1912		
1.3	Contact Officer	Jeremy Aldred		
	Position	Policy Officer		
	Phone	(02) 6274 7409		
	Fax	(02) 6274 7744		
	Email	jeremy.aldred@dotrs.gov.au		
	Address	Drakeford Building 72 Northbourne Ave Canberra City 2601		

This section asks about your portfolio's total revenues, charges and expenses (but not including the revenues, charges and expenses of agencies that will be completing separate responses to this questionnaire - see Attachment A). All portfolios should complete this section, whether or not you consider you undertake cost recovery.

#### Section 2: Portfolio revenues, charges and expenses

(Please indicate with a 'X' which response applies)

2.1 Has your portfolio charged any cost recovery fees, levies or other charges in the last five financial years?

YES NO

Relevant charges include any fees, levies, taxes (including some customs and excise duties earmarked for specific purposes) or other charges which arise from the services, programs or business activities of your portfolio, and which are collected by your portfolio, or by another agency on your behalf. For example, application fees, processing charges, consultancy fees, publication sales, special industry duties, excises or levies other than general taxation.

2.2 Were any of the appropriations allocated to your portfolio in the last five financial years linked (hypothecated) to revenue collected from fees, levies or charges (for example, levies paid to the Consolidated Revenue Fund but earmarked for allocation to your portfolio)? (Whether the revenue was collected by your portfolio or by another agency on your behalf).

YES	NO
	Х

2.3 Has your portfolio considered introducing any cost recovery arrangements in the past that were not implemented? (Please attach any relevant reviews, analysis or other information.)

YES	NO
	X

2.4 Is your portfolio considering introducing any cost recovery arrangements in the future? (Please attach any relevant reviews, analysis or other information.)

YES	NO
	Х

If you answered NO to questions 2.1 and 2.2, you need not answer any further questions. Thank you for your cooperation. Please return the questionnaire to the Commission (see front sheet for instructions).

If you answered YES to EITHER question 2.1 OR question 2.2 OR both, please complete section 3 below, and Part II on the following worksheet.

YES

Х

NO

#### Section 3: Portfolio revenues and expenses

Please do not include the revenues and expenses in this section of agencies that will be completing separate responses to this questionnaire (see Attachment A).

3.1 Does your portfolio classify revenues and expenses as agency and administered?

Agency revenues and expenses are those controlled by the department/agency (for example, employee and administrative expenses). Administered revenues and expenses are those which are controlled by Government and managed or oversighted by the department/agency on behalf of the Government (for example, social security payments).

If your portfolio classifies revenues and expenses as 'agency' and 'administered' then please fill in both tables below. If your portfolio does not classify revenues and expenses as 'agency' and 'administered' then please put all revenues and expenses in the 'agency' table below.

	ENCY portfolio revenues and expenses (Please use \$'000)	1995-96	1996-97	1997-98	1998-99	1999-2000
	Agency revenue from cost recovery (a)					
3.2	Cost recovery revenue retained by your portfolio					
3.3	Cost recovery revenue paid to CRF and appropriated to your portfolio					
	(or another agency for a specific purpose (ie. annotated,					
	hypothecated or earmarked revenues)					
3.4						
	to your portfolio (or another agency)					
3.5	Total agency revenue from cost recovery	0	0	0	0	0
	Agency revenue from other sources					
3.6	Other appropriations					
3.7	Other sources (eg. asset sales, dividends, interest, funding from other government agencies)					
3.8	Total agency revenue from other sources	0	0	0	0	0
3.9	Total portfolio agency revenue	0	0	0	0	0
3.10	Total agency expenses					

(a) Include all revenue from fees, levies, excises and other charges which arise from the services or activities of your portfolio, and which is paid to your portfolio, to another agency or to the Consolidated Revenue Fund.

ADMINISTERED portfolio revenues and expenses (Please use \$'000)					
γ,	1995-96	1996-97	1997-98	1998-99	1999-2000
Administered revenue from cost recovery (a)					
3.11 Cost recovery revenue retained by your portfolio					
3.12 Cost recovery revenue paid to CRF and appropriated to your portfolio (or another agency for a specific purpose (ie. annotated,					
3.13 Cost recovery revenue paid to CRF and not specifically appropriated to your portfolio (or another agency)	194	296	194	210	233
3.14 Total administered revenue from cost recovery	194	296	194	210	233
Administered revenue from other sources					•
3.15 Other appropriations					
3.16 Other sources (eg. asset sales, dividends, interest, funding from other government agencies)					
3.17 Total administered revenue from other sources	0	0	0	0	0
3.18 Total portfolio administered revenue	194	296	194	210	233
3.19 Total administered expenses					

(a) Include all revenue from fees, levies, excises and other charges which arise from the services or activities of your portfolio, and which is paid to your portfolio, to another agency or to the Consolidated Revenue Fund.

End of Part I. Please complete Part II, which is on a separate worksheet.

### **PART II**

If your portfolio operated any cost recovery arrangements in 1999-2000, please complete this par Please fill out a separate form for each sub-unit, cost recovery program or activity, or output or outcome for which you ar reporting. Similar cost recovery arrangements may be reported in groups.

### PART II(a)

Name of sub-unit, agency, program or activity, output or outcome

Cross-Modal & Maritime Transport Division (Coasting Trade Licence and Permit Scheme)

	Descriptive material	
4.1	Nature of cost recovery arrangement (eg. licence fee, service charge, hypothecated excise tax or levy etc)	Coasting Trade licence and permit fees (double for urgent processing):  Coasting Trade Licence \$22  Single Voyage Permit \$200 (cargo ) / \$22(passenger)  Continuing Voyage Permit \$400
4.2	Basic description of arrangements: (Please attach an relevant documents.)	see attached guidelines
4.3	Who pays the cost recovery charges?	licence and permit applicants ie. ship operators and charterers
4.4	Who benefits from the program or activity, output or outcome?	Australian ship operators benefit from licences Australian shippers benefit from permits
4.5	Do you attempt to measure these benefits? If YES, how?	e no
4.6	Are there alternate providers or substitutes for this program or activity, output or outcome? (Please describe)	no - these licences or permits are required (under the Navigation Act 1912) by any ships engaging in the coasting trade - that is, transporting passengers or cargo interstate by sea
4.7	When was this cost recovery arrangement introduced?	Around 1920, with the current fee structure in place since 1997

### PART II(b) Cross-Modal & Maritime Transport Division (Coasting Trade Licence and Permit Scheme) Name of sub-unit, agency, program or activity, output or outcome Program or activity, output or outcome cost recovery arrangements in 1999-2000 (continued (Please use \$'000) Program or activity, output or outcome revenues 4.8 Cost recovery revenue paid to CRF earmarked for appropriation to same portfolio 4.9 Cost recovery revenue paid to CRF earmarked for appropriation to a third party 4.10 Cost recovery revenue paid to CRF and not earmarked for particular appropriation 233 4.11 Cost recovery revenue paid to CRF (subtotal) 233 4.12 Cost recovery not paid into CRF 4.13 Total cost recovery revenue 233 4.14 Appropriations not related to cost recovery 4.15 Other sources (please specify) 4.16 Total program or activity, output or outcome revenues Program or activity, output or outcome expenses 4.17 Direct expenses 4.18 Indirect expenses (including corporate overheads) 4.19 Third party expenses (a) 4.20 Total program or activity, output or outcome expenses Administration costs 4.21 What costs are associated with administering the cost recovery arrangements? CRF Consolidated Revenue Fund. Direct costs are those directly related to a particular program. Indirect costs include indirect agency overheads and general running costs. (a) Include third party costs where third parties are involved in a program or activity a their costs are being recovered as part of the cost recovery arrangements.

		PART II(c)
	e of sub-unit, agency, program or ty, output or outcome	dal & Maritime Transport Division (Coasting Trade Licence and Permit Scheme)
Secti	on 5: Institutional arrangements	
5.1	What was the rationale for introducing these cost recovery arrangements? (Please attach sources, eg. legislative objects clauses, pres releases, second reading speeches.)	
5.2	What was the legal basis for establishing the	ese cost recovery arrangements: (Please name and attach relevant documents.)
	Legislation (eg. s.31 of the Financial Management and Accountability Act, tax or levy acts) Subordinate legislation (eg. regulations, standards)	Navigation Act 1912 Regulation 25
	Co-regulation or quasi-regulation	
	Commonwealth/State/Territory agreement Voluntary arrangements (eg. codes of practice) Other	
5.3	Who was consulted about introducing these consultation arrangements.)	cost recovery arrangements? (Please name relevant bodies and describe the
	Commonwealth government (DOFA etc) Other governments (state, territory, local) Industry Consumers Other	

5.4	What guidelines were consulted when establishing these cost recovery arrangements? (Please attach source of information, guidelines etc.)	
5.5	Which agency is responsible for the following Policy setting Price setting Administration Revenue collection	DoTRS DoTRS DoTRS DoTRS DoTRS DoTRS
5.6	Is there any ongoing consultation about thes Commonwealth government (DOFA etc) Other governments (state, territory, local) Industry Consumers Other	e cost recovery arrangements? With whom? (Please name relevant bodies.)
5.7	Please describe these consultation arrangements.	
5.8	Have the cost recovery arrangements been formally reviewed? What was the outcome? (Please attach copy of review)	

# PART II(d)

	of sub-unit, agency, program or , output or outcome	Cross-Modal & Maritime Transport Division (Coasting Trade Licence and Permit Scheme)
Sectio	n 6: Price setting arrangements	
6.1 (i)	How are these cost recovery charg How are charges set? (eg. by for legislation or based on 'market p	
(ii)	Are charges directly related to the particular activities, outcomes or charged on some other basis? (e on users' turnover, profits or asset	outputs, or eg. levies
6.2	If charges are directly related to the	e costs of particular activities, outputs or outcomes:
(i)	What costs do charges aim to re- (eg. only direct costs or indirect of as overheads)	
(ii)	What proportion of these costs daim to recover? (%)	o charges
(iii)	Does the charging regime require be valued? (eg. to allow the calcu user cost of capital or return on a	ulation of
(iv)	If 'YES' to (iii), on what basis are valued? (eg. historic, replacement or replacement cost)	
(v)	Do charges include a user cost of	f capital?
(vi)	If 'YES' to (iv), how is it calculate	d?
(vii)	Do charges include return on ass profit)	sets? (eg.
(viii)	If 'YES' to (vii), on what basis?	
(ix)	Do charges discriminate betweer users? If 'YES' to (ix), on what basis?	n types of

(xi) (xii) (xiii)	· //		
6.3	How are indirect costs allocated for cost recovery arrangements? (eg. activity based costing, according to share of direct costs or other rule.)		
6.4	Are there any price controls on these charges?		
6.5	How often is the level of charges changed?		
6.6	What happens if revenue recovered is greater than costs incurred?		
End of Part II. Thank you for your cooperation. Please return the questionnaire and attachments to			
	tne Commissi	on (see front sheet for instructions)	

## <u>PART I</u>

#### ALL PORTFOLIOS ARE REQUESTED TO COMPLETE PART I.

If you cannot answer a question, please indicate whether the question is NOT APPLICABLE or if INFORMATION IS NOT AVAILABLE.

#### Section 1: Contact details

Occion 1. Contact details					
1.1	Portfolio	DOTRS - Registrar of Liner Shipping			
1.2		I arrangements are governed by: 'X' whether one or more of the following Acts apply)			
	Financial N	Management and Accountability Act 1997  YES NO  YES NO  YES NO			
	Commonw	ealth Authorities and Companies Act 1997 X			
	Other	Part X of the Trade Practices Act 1974			
1.3	Contact Officer	Neil Kelso			
	Position	Registrar of Liner Shipping			
	Phone	02 6274 7084			
	Fax	02 6274 7884			
	Email	Neil.Kelso@dotrs.gov.au			
	Address	PO Box 625 CIVIC SQUARE ACT 2608			

This section asks about your portfolio's total revenues, charges and expenses (but not including the revenues, charges and expenses of agencies that will be completing separate responses to this questionnaire - see Attachment A). All portfolios should complete this section, whether or not you consider you undertake cost recovery.

#### Section 2: Portfolio revenues, charges and expenses

(Please indicate with a 'X' which response applies)

2.1 Has your portfolio charged any cost recovery fees, levies or other charges in the last five financial years?

YES NO

Relevant charges include any fees, levies, taxes (including some customs and excise duties earmarked for specific purposes) or other charges which arise from the services, programs or business activities of your portfolio, and which are collected by your portfolio, or by another agency on your behalf. For example, application fees, processing charges, consultancy fees, publication sales, special industry duties, excises or levies other than general taxation.

2.2 Were any of the appropriations allocated to your portfolio in the last five financial years linked (hypothecated) to revenue collected from fees, levies or charges (for example, levies paid to the Consolidated Revenue Fund but earmarked for allocation to your portfolio)? (Whether the revenue was collected by your portfolio or by another agency on your behalf).

YES	NO
	Х

2.3 Has your portfolio considered introducing any cost recovery arrangements in the past that were not implemented? (Please attach any relevant reviews, analysis or other information.)

YES	NO
	X

2.4 Is your portfolio considering introducing any cost recovery arrangements in the future? (Please attach any relevant reviews, analysis or other information.)

YES	NO
	Х

If you answered NO to questions 2.1 and 2.2, you need not answer any further questions. Thank you for your cooperation. Please return the questionnaire to the Commission (see front sheet for instructions).

If you answered YES to EITHER question 2.1 OR question 2.2 OR both, please complete section 3 below, and Part II on the following worksheet.

YES

Х

NO

#### Section 3: Portfolio revenues and expenses

Please do not include the revenues and expenses in this section of agencies that will be completing separate responses to this questionnaire (see Attachment A).

3.1 Does your portfolio classify revenues and expenses as agency and administered?

Agency revenues and expenses are those controlled by the department/agency (for example, employee and administrative expenses). Administered revenues and expenses are those which are controlled by Government and managed or oversighted by the department/agency on behalf of the Government (for example, social security payments).

If your portfolio classifies revenues and expenses as 'agency' and 'administered' then please fill in both tables below. If your portfolio does not classify revenues and expenses as 'agency' and 'administered' then please put all revenues and expenses in the 'agency' table below.

		1995-96	1996-97	1997-98	1998-99	1999-2000
	Agency revenue from cost recovery (a)					
3.2	Cost recovery revenue retained by your portfolio					
3.3	Cost recovery revenue paid to CRF and appropriated to your portfolio (or another agency for a specific purpose (ie. annotated, hypothecated or earmarked revenues)					
3.4	Cost recovery revenue paid to CRF and not specifically appropriated to your portfolio (or another agency)					
3.5	Total agency revenue from cost recovery	0	0	0	0	C
	Agency revenue from other sources		•			<u> </u>
3.6	Other appropriations					
3.7	Other sources (eg. asset sales, dividends, interest, funding from other government agencies)					
3.8	Total agency revenue from other sources	0	0	0	0	0
3.9	Total portfolio agency revenue	0	0	0	0	0
	Total agency expenses					

(a) Include all revenue from fees, levies, excises and other charges which arise from the services or activities of your portfolio, and which is paid to your portfolio, to another agency or to the Consolidated Revenue Fund.

A DIMINIOTED ED (1000)					
ADMINISTERED portfolio revenues and expenses (Please use \$'000)	1995-96	1996-97	1997-98	1998-99	1999-2000
Administered revenue from cost recovery (a)					
3.11 Cost recovery revenue retained by your portfolio					
3.12 Cost recovery revenue paid to CRF and appropriated to your portfolio (or another agency for a specific purpose (ie. annotated,					
3.13 Cost recovery revenue paid to CRF and not specifically appropriated to your portfolio (or another agency)	18	11	11	22	19
3.14 Total administered revenue from cost recovery	18	11	11	22	19
Administered revenue from other sources					
3.15 Other appropriations					
3.16 Other sources (eg. asset sales, dividends, interest, funding from other government agencies)					
3.17 Total administered revenue from other sources	0	0	0	0	0
3.18 Total portfolio administered revenue	18	11	11	22	19
3.19 Total administered expenses					

(a) Include all revenue from fees, levies, excises and other charges which arise from the services or activities of your portfolio, and which is paid to your portfolio, to another agency or to the Consolidated Revenue Fund.

End of Part I. Please complete Part II, which is on a separate worksheet.

### **PART II**

If your portfolio operated any cost recovery arrangements in 1999-2000, please complete this par Please fill out a separate form for each sub-unit, cost recovery program or activity, or output or outcome for which you ar reporting. Similar cost recovery arrangements may be reported in groups.

### PART II(a)

Name of sub-unit, agency, program or DOTRS - Registrar of Liner Shipping, Cross-Modal & Maritime Transport Division

activ	ity, output or outcome	
Sect	ion 4: Cost recovery arrangemer	nts in 1999-2000
	Descriptive material	
4.1	Nature of cost recovery arrangement (eg. licence fee, service charge, hypothecated excise tax or levy etc)	Fees for applications to the Registrar for registration of: Ocean Carrier Agents, liner shipping Conference Agreements and variations to agreements.  Fees for copies of conference agreements or conference agreement files.
4.2	Basic description of arrangements: (Please attach an relevant documents.)	Registration under Part X of the TPA of conference agreements between groups of ocean carriers provides limited exemptions from the TPA.
4.3	Who pays the cost recovery charges?	Ocean carriers pay application fees. Persons wanting copies of conference agreements (may be exporters, importers, shipping lines etc) pay fees for such copies.
4.4	Who benefits from the program or activity, output or outcome?	Australian exporters and importers have access to stable, frequent scheduled shipping services of adequate capacity provided jointly by shipping lines that are parties to conference agreements (which benefit from the exemptions).
4.5	Do you attempt to measure these benefits? If YES, how?	The Productivity Commission reviewed Part X of the Trade Practices Act in 1999, and recommended its retention and enhancement (see Report No.9).
4.6	Are there alternate providers or substitutes for this program or activity, output or outcome? (Please describe)	No.
4.7	When was this cost recovery arrangement introduced?	The current arrangements were introduced in 1989, but the rates charged have been revised on a number of occasions in line with costs

### PART II(b)

Name of sub-unit, agency, program or activity, output or outcome

DOTRS - Registrar of Liner Shipping, Cross-Modal & Maritime Transport Division

#### Program or activity, output or outcome cost recovery arrangements in 1999-2000 (continued (Please use \$'000)

#### Program or activity, output or outcome revenues

- 4.8 Cost recovery revenue paid to CRF earmarked for appropriation to same portfolio
- 4.9 Cost recovery revenue paid to CRF earmarked for appropriation to a third party
- 4.10 Cost recovery revenue paid to CRF and not earmarked for particular appropriation
- 4.11 Cost recovery revenue paid to CRF (subtotal)
- 4.12 Cost recovery not paid into CRF
- 4.13 Total cost recovery revenue
- 4.14 Appropriations not related to cost recovery
- 4.15 Other sources (please specify)
- 4.16 Total program or activity, output or outcome revenues

### Program or activity, output or outcome expenses

- 4.17 Direct expenses
- 4.18 Indirect expenses (including corporate overheads)
- 4.19 Third party expenses (a)
- 4.20 Total program or activity, output or outcome expenses

#### Administration costs

4.21 What costs are associated with administering the cost recovery arrangements?

\$ minimal

19

19

15

19

CRF Consolidated Revenue Fund. Direct costs are those directly related to a particular program. Indirect costs include indirect agency overheads and general running costs. (a) Include third party costs where third parties are involved in a program or activity a their costs are being recovered as part of the cost recovery arrangements.

		PART II(c)
	e of sub-unit, agency, program or ity, output or outcome	Registrar of Liner Shipping, Cross-Modal & Maritime Transport Division
Sect	ion 5: Institutional arrangements	
5.1	What was the rationale for introducing these cost recovery arrangements? (Please attach sources, eg. legislative objects clauses, presereleases, second reading speeches.)	
5.2	What was the legal basis for establishing the	se cost recovery arrangements: (Please name and attach relevant documents.)
	Legislation (eg. s.31 of the Financial Management and Accountability Act, tax or levy acts) Subordinate legislation (eg. regulations, standards)	Part X of the Trade Practices Act 1974 (sections 26, 31, 70 and 90)  Trade Practices Regulations (Regulations 38, 40, 44, 45 and Schedule 2).
	Co-regulation or quasi-regulation	
	Commonwealth/State/Territory agreement Voluntary arrangements (eg. codes of practice) Other	
5.3	Who was consulted about introducing these consultation arrangements.)	cost recovery arrangements? (Please name relevant bodies and describe the
	` ,	Information not available (current arrangements were introduced in 1989 and replaced an earlier, broadly similar, regime).

5.4	What guidelines were consulted when establishing these cost recovery arrangements? (Please attach source of information, guidelines etc.)	Information not available.
5.5	Which agency is responsible for the following Policy setting Price setting Administration Revenue collection	g activities? (Please name relevant agency)  DOTRS  DOTRS  DOTRS  DOTRS  DOTRS
5.6	Is there any ongoing consultation about thes Commonwealth government (DOFA etc) Other governments (state, territory, local) Industry Consumers Other	No.
5.7	Please describe these consultation arrangements.	Not applicable.
5.8	Have the cost recovery arrangements been formally reviewed? What was the outcome? (Please attach copy of review)	No.

# PART II(d)

Name of sub-unit, agency, program or activity, output or outcome

DOTRS - Registrar of Liner Shipping, Cross-Modal & Maritime Transport Division

S	ect	tion 6:	Price set	ting arrangements

Section	on 6: Price setting arrangements	
6.1	How are these cost recovery charges determ	ined? (Please attach any relevant documents)
(i)	How are charges set? (eg. by formula in	Maximum fee levels are set by section 10.90 of Part X of the Trade Practices
	legislation or based on 'market prices')	Act 1974. Actual levels are set to contribute approximately 20% of an EL1
		salary plus on-costs and corporate overheads.
(ii)	Are charges directly related to the costs of	Broadly related to the time taken to process the various applications.
	particular activities, outcomes or outputs, o	r
	charged on some other basis? (eg. levies	
	on users' turnover, profits or assets)	
6.2	If charges are directly related to the costs of I	
(i)	What costs do charges aim to recover?	Salary plus on-costs and corporate overheads relating to the Registrar activities
	(eg. only direct costs or indirect costs such	
	as overheads)	
(ii)	What proportion of these costs do charges	100%
	aim to recover? (%)	
(iii)	Does the charging regime require assets to	No
	be valued? (eg. to allow the calculation of	
	user cost of capital or return on assets)	
(iv)	, ,	
	valued? (eg. historic, replacement, deprival	
	or replacement cost)	
(v)	Do charges include a user cost of capital?	No
(vi)	If 'YES' to (iv), how is it calculated?	
(vii)	• • • • • • • • • • • • • • • • • • • •	No
	profit)	
(viii)	If 'YES' to (vii), on what basis?	
(ix)	Do charges discriminate between types of	
	users?	
(x)	If 'YES' to (ix), on what basis?	

(xii) (xiii)	considerations (eg. waivers, discounts)?  If 'YES' to (xi), on what basis?	There are no waivers provided for by Part X of the Trade Practices Act. Conference agreements become publicly available once registered (apart from information for which confidentiality is granted pursuant to section 10.37 of Part X).
6.3	How are indirect costs allocated for cost recovery arrangements? (eg. activity based costing, according to share of direct costs or other rule.)	Pro-rata based on % effort by FTE.
6.4	Are there any price controls on these charges?	Section 10.90 of Part X sets maximum fees.
6.5	How often is the level of charges changed?	Infrequently.
6.6	What happens if revenue recovered is greater than costs incurred?	If a significant discrepancy became apparent, the level of fees would be reviewed and consideration given to increasing the fees by an amendment to

the Commission (see front sheet for instructions)