

PART I

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

1.1 Portfolio

1.2 Reporting and financial arrangements are governed by:
(Please indicate with a 'X' whether one or more of the following Acts apply)

Financial Management and Accountability Act 1997

YES	NO
X	

Commonwealth Authorities and Companies Act 1997

YES	NO
X	

Other

1.3 Contact Officer

Position

Phone

Fax

Email

Address

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
X	

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
	X

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

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

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.

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).

YES	NO
X	

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.

AGENCY 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	319	398	319	433	1034
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	319	398	319	433	1034
Agency revenue from other sources					
3.6 Other appropriations	43281	51525	50137	50449	65733
3.7 Other sources (eg. asset sales, dividends, interest, funding from other government agencies)	1560	1884	1302	863	3228
3.8 Total agency revenue from other sources	44841	53409	51439	51312	68961
3.9 Total portfolio agency revenue	45160	53807	51758	51745	69995
3.10 Total agency expenses	45985	51555	50993	55359	69239

CRF Consolidated Revenue Fund

(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)

	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)					
3.14 Total administered revenue from cost recovery	0	0	0	0	0
Administered revenue from other sources					
3.15 Other appropriations		32404081	106369105	104374523	18685892
3.16 Other sources (eg. asset sales, dividends, interest, funding from other government agencies)	6741160	5859974	13805349	12085685	4206349
3.17 Total administered revenue from other sources	6741160	38264055	120174454	116460208	22892241
3.18 Total portfolio administered revenue	6741160	38264055	120174454	116460208	22892241
3.19 Total administered expenses	27430338	28782192	35483442	26943175	18392584

CRF Consolidated Revenue Fund

(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 part. Please fill out a separate form for each sub-unit, cost recovery program or activity, or output or outcome for which you are reporting. Similar cost recovery arrangements may be reported in groups.

PART II(a)

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

Section 4: Cost recovery arrangements in 1999-2000

Descriptive material	
4.1	Nature of cost recovery arrangement (eg. licence fee, service charge, hypothecated excise tax or levy etc) <input type="text" value="Service charges for providing Corporate Services to AOFM"/>
4.2	Basic description of arrangements: (Please attach any relevant documents.) <input type="text" value="Via Service Level Agreements (SLA)"/>
4.3	Who pays the cost recovery charges? <input type="text" value="AOFM"/>
4.4	Who benefits from the program or activity, output or outcome? <input type="text" value="AOFM"/>
4.5	Do you attempt to measure these benefits? If YES, how? <input type="text" value="No"/>
4.6	Are there alternate providers or substitutes for this program or activity, output or outcome? (Please describe) <input type="text" value="AOFM as an independent agency can elect to choose their own service provider"/>
4.7	When was this cost recovery arrangement introduced? <input type="text" value="1) Other Agencies -1999-2000"/>

PART II(b)

Name of sub-unit, agency, program or activity, output or outcome Corporate services for the Australian Office of Financial Management (AOFM)

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	\$	<input type="text"/>		
4.9	Cost recovery revenue paid to CRF earmarked for appropriation to a third party	\$	<input type="text"/>		
4.10	Cost recovery revenue paid to CRF and not earmarked for particular appropriation	\$	<input type="text"/>		
4.11	Cost recovery revenue paid to CRF (subtotal)	\$	<input type="text" value="0"/>		
4.12	Cost recovery not paid into CRF		\$	<input type="text" value="575"/>	
4.13	Total cost recovery revenue		\$	<input type="text" value="575"/>	
4.14	Appropriations not related to cost recovery			\$	<input type="text"/>
4.15	Other sources (please specify)			\$	<input type="text"/>
4.16	Total program or activity, output or outcome revenues			\$	<input type="text" value="575"/>

Program or activity, output or outcome expenses

4.17	Direct expenses	\$	<input type="text" value="575"/>
4.18	Indirect expenses (including corporate overheads)	\$	<input type="text"/>
4.19	Third party expenses (a)	\$	<input type="text"/>
4.20	Total program or activity, output or outcome expenses	\$	<input type="text" value="575"/>

Administration costs

4.21	What costs are associated with administering the cost recovery arrangements?	\$	<input type="text"/>
------	--	----	----------------------

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 acti

PART II(c)

Name of sub-unit, agency, program or activity, output or outcome Corporate services for the Australian Office of Financial Management (AOFM)

Section 5: Institutional arrangements

5.1 What was the rationale for introducing these cost recovery arrangements? (Please attach sources, eg. legislative objects clauses, press releases, second reading speeches.) Inter Agency agreement on cost sharing

5.2 What was the legal basis for establishing these 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)	
Co-regulation or quasi-regulation	
Commonwealth/State/Territory agreement	
Voluntary arrangements (eg. codes of practice)	
Other	Other Agreement

5.3 Who was consulted about introducing these cost recovery arrangements? (Please name relevant bodies and describe the consultation arrangements.)

Commonwealth government (DOFA etc)	
Other governments (state, territory, local)	
Industry	
Consumers	
Other	Agency

<p>5.4 What guidelines were consulted when establishing these cost recovery arrangements? (Please attach source of information, guidelines etc.)</p>	<p>Nil</p>					
<p>5.5 Which agency is responsible for the following activities? (Please name relevant agency)</p> <p>Policy setting</p> <p>Price setting</p> <p>Administration</p> <p>Revenue collection</p>	<table border="1"> <tr> <td>Treasury</td> </tr> <tr> <td>Treasury</td> </tr> <tr> <td>Treasury</td> </tr> <tr> <td>Treasury</td> </tr> </table>	Treasury	Treasury	Treasury	Treasury	
Treasury						
Treasury						
Treasury						
Treasury						
<p>5.6 Is there any ongoing consultation about these cost recovery arrangements? With whom? (Please name relevant bodies.)</p> <p>Commonwealth government (DOFA etc)</p> <p>Other governments (state, territory, local)</p> <p>Industry</p> <p>Consumers</p> <p>Other</p>	<table border="1"> <tr> <td></td> </tr> <tr> <td></td> </tr> <tr> <td></td> </tr> <tr> <td></td> </tr> <tr> <td>AOFM</td> </tr> </table>					AOFM
AOFM						
<p>5.7 Please describe these consultation arrangements.</p>	<p>Regular review of the agreement (SLA) in order to provide the level of support required.</p>					
<p>5.8 Have the cost recovery arrangements been formally reviewed? What was the outcome? (Please attach copy of review)</p>	<p>Currently being reviewed.</p>					

PART II(d)

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

Corporate services for the Australian Office of Financial Management (AOFM)

Section 6: Price setting arrangements

6.1 How are these cost recovery charges determined? (Please attach any relevant documents)

(i) How are charges set? (eg. by formula in legislation or based on 'market prices')	By agreement.
(ii) Are charges directly related to the costs of particular activities, outcomes or outputs, or charged on some other basis? (eg. levies on users' turnover, profits or assets)	Based on estimated pro-rata costs for Treasury

6.2 If charges are directly related to the costs of particular activities, outputs or outcomes:

(i) What costs do charges aim to recover? (eg. only direct costs or indirect costs such as overheads)	Direct Costs - estimate only
(ii) What proportion of these costs do charges aim to recover? (%)	100%
(iii) Does the charging regime require assets to be valued? (eg. to allow the calculation of user cost of capital or return on assets)	No
(iv) If 'YES' to (iii), on what basis are assets valued? (eg. historic, replacement, deprival or replacement cost)	N/A
(v) Do charges include a user cost of capital?	No
(vi) If 'YES' to (iv), how is it calculated?	N/A
(vii) Do charges include return on assets? (eg. profit)	No
(viii) If 'YES' to (vii), on what basis?	N/A
(ix) Do charges discriminate between types of users?	No
(x) If 'YES' to (ix), on what basis?	N/A

(xi) Do charges allow for access and equity considerations (eg. waivers, discounts)?	No
(xii) If 'YES' to (xi), on what basis?	N/A
(xiii) Other (Please describe other significant features)	N/A
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 estimate based on avg staff costs
6.4 Are there any price controls on these charges?	No
6.5 How often is the level of charges changed?	Reviewed annually
6.6 What happens if revenue recovered is greater than costs incurred?	N/A

End of Part II. Thank you for your cooperation. Please return the questionnaire and attachments to the Commission (see front sheet for instructions)

PART II

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

PART II(a)

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

Section 4: Cost recovery arrangements in 1999-2000

Descriptive material	
4.1	Nature of cost recovery arrangement (eg. licence fee, service charge, hypothecated excise tax or levy etc) <input type="text" value="Cost allocation to other agencies for portfolio ministerial support."/>
4.2	Basic description of arrangements: (Please attach any relevant documents.) <input type="text" value="Informal"/>
4.3	Who pays the cost recovery charges? <input type="text" value="Productivity Commission;APRA;ATO;ABS;ACCC and ASIC"/>
4.4	Who benefits from the program or activity, output or outcome? <input type="text" value="Portfolio Agencies"/>
4.5	Do you attempt to measure these benefits? If YES, how? <input type="text" value="No"/>
4.6	Are there alternate providers or substitutes for this program or activity, output or outcome? (Please describe) <input type="text" value="No. Service is specific to provider."/>
4.7	When was this cost recovery arrangement introduced? <input type="text" value="Approx. 1993"/>

PART II(b)

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

Ministerial support provided to portfolio agencies

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)	\$	0	
4.12	Cost recovery not paid into CRF	\$		300
4.13	Total cost recovery revenue	\$		300
4.14	Appropriations not related to cost recovery			\$
4.15	Other sources (please specify)			\$
4.16	Total program or activity, output or outcome revenues			\$ 300

Program or activity, output or outcome expenses

4.17	Direct expenses	\$	300
4.18	Indirect expenses (including corporate overheads)	\$	
4.19	Third party expenses (a)	\$	
4.20	Total program or activity, output or outcome expenses	\$	300

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 acti

PART II(c)

Name of sub-unit, agency, program or activity, output or outcome Ministerial support provided to portfolio agencies

Section 5: Institutional arrangements

5.1 What was the rationale for introducing these cost recovery arrangements? (Please attach sources, eg. legislative objects clauses, press releases, second reading speeches.) Inter Agency agreement on cost sharing.

5.2 What was the legal basis for establishing these 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)	
Co-regulation or quasi-regulation	
Commonwealth/State/Territory agreement	
Voluntary arrangements (eg. codes of practice)	
Other	Informal agreement.

5.3 Who was consulted about introducing these cost recovery arrangements? (Please name relevant bodies and describe the consultation arrangements.)

Commonwealth government (DOFA etc)	
Other governments (state, territory, local)	
Industry	
Consumers	
Other	Agencies affected.

<p>5.4 What guidelines were consulted when establishing these cost recovery arrangements? (Please attach source of information, guidelines etc.)</p>	<p>Nil</p>					
<p>5.5 Which agency is responsible for the following activities? (Please name relevant agency)</p> <p>Policy setting</p> <p>Price setting</p> <p>Administration</p> <p>Revenue collection</p>	<table border="1"> <tr><td>Treasury</td></tr> <tr><td>Treasury</td></tr> <tr><td>Treasury</td></tr> <tr><td>Treasury</td></tr> </table>	Treasury	Treasury	Treasury	Treasury	
Treasury						
Treasury						
Treasury						
Treasury						
<p>5.6 Is there any ongoing consultation about these cost recovery arrangements? With whom? (Please name relevant bodies.)</p> <p>Commonwealth government (DOFA etc)</p> <p>Other governments (state, territory, local)</p> <p>Industry</p> <p>Consumers</p> <p>Other</p>	<table border="1"> <tr><td></td></tr> <tr><td></td></tr> <tr><td></td></tr> <tr><td></td></tr> <tr><td>N/A</td></tr> </table>					N/A
N/A						
<p>5.7 Please describe these consultation arrangements.</p>	<p>N/A</p>					
<p>5.8 Have the cost recovery arrangements been formally reviewed? What was the outcome? (Please attach copy of review)</p>	<p>Currently being reviewed.</p>					

PART II(d)

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

Ministerial support provided to portfolio agencies

Section 6: Price setting arrangements

6.1 How are these cost recovery charges determined? (Please attach any relevant documents)

(i) How are charges set? (eg. by formula in legislation or based on 'market prices')	Informal agreement
(ii) Are charges directly related to the costs of particular activities, outcomes or outputs, or charged on some other basis? (eg. levies on users' turnover, profits or assets)	Based on estimated pro-rata costs for Treasury

6.2 If charges are directly related to the costs of particular activities, outputs or outcomes:

(i) What costs do charges aim to recover? (eg. only direct costs or indirect costs such as overheads)	Direct Costs - estimate only
(ii) What proportion of these costs do charges aim to recover? (%)	N/A
(iii) Does the charging regime require assets to be valued? (eg. to allow the calculation of user cost of capital or return on assets)	No
(iv) If 'YES' to (iii), on what basis are assets valued? (eg. historic, replacement, deprival or replacement cost)	N/A
(v) Do charges include a user cost of capital?	No
(vi) If 'YES' to (iv), how is it calculated?	N/A
(vii) Do charges include return on assets? (eg. profit)	No
(viii) If 'YES' to (vii), on what basis?	N/A
(ix) Do charges discriminate between types of users?	No
(x) If 'YES' to (ix), on what basis?	N/A

(xi) Do charges allow for access and equity considerations (eg. waivers, discounts)?	No
(xii) If 'YES' to (xi), on what basis?	N/A
(xiii) Other (Please describe other significant features)	N/A
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 estimate based on avg staff costs
6.4 Are there any price controls on these charges?	No
6.5 How often is the level of charges changed?	Reviewed annually
6.6 What happens if revenue recovered is greater than costs incurred?	N/A

End of Part II. Thank you for your cooperation. Please return the questionnaire and attachments to the Commission (see front sheet for instructions)

PART II

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

PART II(a)

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

Section 4: Cost recovery arrangements in 1999-2000

Descriptive material	
4.1	Nature of cost recovery arrangement (eg. licence fee, service charge, hypothecated excise tax or levy etc) <input type="text" value="Publication costs contribution."/>
4.2	Basic description of arrangements: (Please attach any relevant documents.) <input type="text" value="Sales through Commonwealth Book Shops on consignment."/>
4.3	Who pays the cost recovery charges? <input type="text" value="Purchasers of publications"/>
4.4	Who benefits from the program or activity, output or outcome? <input type="text" value="Users of publications"/>
4.5	Do you attempt to measure these benefits? If YES, how? <input type="text" value="No"/>
4.6	Are there alternate providers or substitutes for this program or activity, output or outcome? (Please describe) <input type="text" value="No. Service is specific to provider."/>
4.7	When was this cost recovery arrangement introduced? <input type="text" value="pre 1995"/>

PART II(b)

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

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	\$	<input type="text"/>
4.9	Cost recovery revenue paid to CRF earmarked for appropriation to a third party	\$	<input type="text"/>
4.10	Cost recovery revenue paid to CRF and not earmarked for particular appropriation	\$	<input type="text"/>
4.11	Cost recovery revenue paid to CRF (subtotal)	\$	0
4.12	Cost recovery not paid into CRF	\$	159
4.13	Total cost recovery revenue	\$	159
4.14	Appropriations not related to cost recovery	\$	<input type="text"/>
4.15	Other sources (please specify)	\$	<input type="text"/>
4.16	Total program or activity, output or outcome revenues	\$	159
Program or activity, output or outcome expenses			
4.17	Direct expenses	\$	318
4.18	Indirect expenses (including corporate overheads)	\$	<input type="text"/>
4.19	Third party expenses (a)	\$	<input type="text"/>
4.20	Total program or activity, output or outcome expenses	\$	318
Administration costs			
4.21	What costs are associated with administering the cost recovery arrangements?	\$	<input type="text"/>

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 acti

PART II(c)

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

Section 5: Institutional arrangements

5.1 What was the rationale for introducing these cost recovery arrangements? (Please attach sources, eg. legislative objects clauses, press releases, second reading speeches.) Partial cost recovery to maintain quality.

5.2 What was the legal basis for establishing these cost recovery arrangements: (Please name and attach relevant documents.)

Legislation (eg. s.31 of the Financial Management and Accountability Act, tax or levy acts)	Section 31
Subordinate legislation (eg. regulations, standards)	
Co-regulation or quasi-regulation	
Commonwealth/State/Territory agreement	
Voluntary arrangements (eg. codes of practice)	
Other	

5.3 Who was consulted about introducing these cost recovery arrangements? (Please name relevant bodies and describe the consultation arrangements.)

Commonwealth government (DOFA etc)	
Other governments (state, territory, local)	
Industry	
Consumers	
Other	AUSINFO/Australian Government Publishers

<p>5.4 What guidelines were consulted when establishing these cost recovery arrangements? (Please attach source of information, guidelines etc.)</p>	<p>Memorandum of understanding between Treasury and AUSINFO</p>
<p>5.5 Which agency is responsible for the following activities? (Please name relevant agency)</p> <p>Policy setting</p> <p>Price setting</p> <p>Administration</p> <p>Revenue collection</p>	<p>Treasury</p> <p>Treasury</p> <p>Treasury</p> <p>Treasury</p>
<p>5.6 Is there any ongoing consultation about these cost recovery arrangements? With whom? (Please name relevant bodies.)</p> <p>Commonwealth government (DOFA etc)</p> <p>Other governments (state, territory, local)</p> <p>Industry</p> <p>Consumers</p> <p>Other</p>	<p></p> <p></p> <p></p> <p></p> <p>Nil</p>
<p>5.7 Please describe these consultation arrangements.</p>	<p>N/A</p>
<p>5.8 Have the cost recovery arrangements been formally reviewed? What was the outcome? (Please attach copy of review)</p>	<p>No</p>

PART II(d)

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

Publication Sales

Section 6: Price setting arrangements

6.1 How are these cost recovery charges determined? (Please attach any relevant documents)

- | | |
|--|--|
| (i) How are charges set? (eg. by formula in legislation or based on 'market prices') | Memorandum of understanding between Treasury and AUSINFO |
| (ii) Are charges directly related to the costs of particular activities, outcomes or outputs, or charged on some other basis? (eg. levies on users' turnover, profits or assets) | Arbitrary (50%) costs recovered. |

6.2 If charges are directly related to the costs of particular activities, outputs or outcomes:

- | | |
|--|---|
| (i) What costs do charges aim to recover? (eg. only direct costs or indirect costs such as overheads) | Direct Costs of printing the publication(s) |
| (ii) What proportion of these costs do charges aim to recover? (%) | N/A |
| (iii) Does the charging regime require assets to be valued? (eg. to allow the calculation of user cost of capital or return on assets) | No |
| (iv) If 'YES' to (iii), on what basis are assets valued? (eg. historic, replacement, deprival or replacement cost) | N/A |
| (v) Do charges include a user cost of capital? | No |
| (vi) If 'YES' to (iv), how is it calculated? | N/A |
| (vii) Do charges include return on assets? (eg. profit) | No |
| (viii) If 'YES' to (vii), on what basis? | N/A |
| (ix) Do charges discriminate between types of users? | No |
| (x) If 'YES' to (ix), on what basis? | N/A |

(xi) Do charges allow for access and equity considerations (eg. waivers, discounts)?	No
(xii) If 'YES' to (xi), on what basis?	N/A
(xiii) Other (Please describe other significant features)	N/A
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 estimate based on avg staff costs
6.4 Are there any price controls on these charges?	No
6.5 How often is the level of charges changed?	Reviewed annually
6.6 What happens if revenue recovered is greater than costs incurred?	N/A

End of Part II. Thank you for your cooperation. Please return the questionnaire and attachments to the Commission (see front sheet for instructions)

PART II

If your portfolio operated any cost recovery arrangements in 1999-2000, please complete this part.

Please fill out a separate form for each sub-unit, cost recovery program or activity, or output or outcome for which you

PART II(a)

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

Section 4: Cost recovery arrangements in 1999-2000

Descriptive material	
4.1	Nature of cost recovery <input type="text" value="License fee for supply of TRYM model and/or database."/>
4.2	Basic description of <input type="text" value="Those interested in subscribing to TRYM may select from a variety of options (full model,"/>
4.3	Who pays the cost recovery <input type="text" value="Subscribers to TRYM pay the ABS (who handle all administrative arrangements for"/>
4.4	Who benefits from the program <input type="text" value="The Treasury, The Australian Bureau of Statistics, subscribers and the wider community"/>
4.5	Do you attempt to measure <input type="text" value="No."/>
4.6	Are there alternate providers or <input type="text" value="Several similar uni and private sector models are available (Access Economics' model,"/>
4.7	When was this cost recovery <input type="text" value="In approximately 1995/96."/>

PART II(b)

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	\$ 3000
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)	\$ 3000
4.12 Cost recovery not paid into CRF	\$
4.13 Total cost recovery revenue	\$ 3000
4.14 Appropriations not related to cost recovery	\$
4.15 Other sources (please specify)	\$
4.16 Total program or activity, output or outcome revenues	\$ 3000
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	\$ 0
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

PART II(c)

Name of sub-unit, agency, program or activity, output or outcome: Macroeconomic Modelling Unit, Domestic Economy Division (Sale of TRYM model)

Section 5: Institutional arrangements

5.1	What was the rationale for introducing these	In the interests of transparency (as well as to allow improvement of the model)
5.2	What was the legal basis for establishing these cost recovery arrangements: (Please name and attach relevant	
	Legislation (eg. s.31 of the Financial	[Presumably FMA -- Ian Douglas]
	Subordinate legislation (eg. regulations,	
	Co-regulation or quasi-regulation	
	Commonwealth/State/Territory agreement	
	Voluntary arrangements (eg. codes of	

	Other	No special legal basis - simple "user charge" (ie, fee for service)
5.3	Who was consulted about introducing these cost recovery arrangements? (Please name relevant bodies and describe the	
	Commonwealth government (DOFA etc)	Australian Bureau of Statistics (ABS), Attorney General's Dept (I think)
	Other governments (state, territory, local)	
	Industry	
	Consumers	
	Other	Reserve Bank of Australia
5.4	What guidelines were consulted when	Discussions were undertaken with relevant departments about legal and
5.5	Which agency is responsible for the following activities? (Please name relevant agency)	
	Policy setting	Treasury and ABS
	Price setting	Treasury and ABS
	Administration	ABS
	Revenue collection	ABS
5.6	Is there any ongoing consultation about these cost recovery arrangements? With whom? (Please name relevant bodies.)	
	Commonwealth government (DOFA etc)	Intermittent discussion with the ABS.
	Other governments (state, territory, local)	
	Industry	
	Consumers	
	Other	
5.7	Please describe these consultation	Ad hoc discussion as issues arise from discussion with current subscribers or
5.8	Have the cost recovery arrangements been	Apparently they have been reviewed at least once (by an external consultant),

PART II(d)

Name of sub-unit, agency, program or activity, output or outcome	Macroeconomic Modelling Unit, Domestic Economy Division (Sale of TRYM model)
--	--

Section 6: Price setting arrangements

6.1	How are these cost recovery charges determined? (Please attach any relevant documents)	
(i)	How are charges set? (eg. by formula in	Based on Treasury and ABS assessment of 'what the market will bear' (for a
(ii)	Are charges directly related to the costs of	No.
6.2	If charges are directly related to the costs of particular activities, outputs or outcomes:	
(i)	What costs do charges aim to recover?	N/A
(ii)	What proportion of these costs do charges	N/A
(iii)	Does the charging regime require assets	N/A
(iv)	If 'YES' to (iii), on what basis are assets	N/A
(v)	Do charges include a user cost of capital?	N/A
(vi)	If 'YES' to (iv), how is it calculated?	N/A
(vii)	Do charges include return on assets? (eg.	N/A
(viii)	If 'YES' to (vii), on what basis?	N/A
(ix)	Do charges discriminate between types of	N/A
(x)	If 'YES' to (ix), on what basis?	N/A
(xi)	Do charges allow for access and equity	N/A
(xii)	If 'YES' to (xi), on what basis?	N/A
(xiii)	Other (Please describe other significant	N/A
6.3	How are indirect costs allocated for cost	Tsy's tiny cost recovery for model developmnt/maintenance (via fees) isn't
6.4	Are there any price controls on these	No.
6.5	How often is the level of charges changed?	Infrequently, on an ad hoc basis.
6.6	What happens if revenue recovered is	N/A. (Total revenue recovery for Treasury in 1999-2000 was far below costs

End of Part II. Thank you for your cooperation. Please return the questionnaire and attachments to the Commission (see front sheet for instructions)

PART II

If your portfolio operated any cost recovery arrangements in 1999-2000, please complete this part.

Please fill out a separate form for each sub-unit, cost recovery program or activity, or output or outcome for which you

PART II(a)

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

Section 4: Cost recovery arrangements in 1999-2000

Descriptive material	
4.1	Nature of cost recovery <input type="text" value="charges for actuarial services"/>
4.2	Basic description of <input type="text" value="We provide actuarial services on a time/cost basis to the APS and sometimes to State or"/>
4.3	Who pays the cost recovery <input type="text" value="The client. That is, the agency, government or bank concerned"/>
4.4	Who benefits from the program <input type="text" value="The client or the country the work is done for. Eg, the Asian Dev Bank work was done for"/>
4.5	Do you attempt to measure <input type="text" value="no"/>
4.6	Are there alternate providers or <input type="text" value="There are several large firms of consulting actuaries that could do a large part of what we"/>
4.7	When was this cost recovery <input type="text" value="about 1990 but there appears to be no documentation and the degree of cost recovery"/>

PART II(b)

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	\$	
4.11	Cost recovery revenue paid to CRF (subtotal)	\$	0
4.12	Cost recovery not paid into CRF	\$	855,000
4.13	Total cost recovery revenue	\$	855000
4.14	Appropriations not related to cost recovery	\$	0
4.15	Other sources (please specify)	\$	0
4.16	Total program or activity, output or outcome revenues	\$	855000
Program or activity, output or outcome expenses			
4.17	Direct expenses	\$	223000
4.18	Indirect expenses (including corporate overheads)	\$	96000
4.19	Third party expenses (a)	\$	22000
4.20	Total program or activity, output or outcome expenses	\$	341000
Administration costs			
4.21	What costs are associated with administering the cost recovery arrangements?	\$	incl above

CRF Consolidated Revenue Fund. Direct costs are those directly related to a particular program. Indirect costs include indirect

PART II(c)

Name of sub-unit, agency, program or activity, output or outcome Australian Government Actuary (AGA)

Section 5: Institutional arrangements

5.1	What was the rationale for introducing these	Documentation, if any, cannot be found. The generally accepted rationale is
5.2	What was the legal basis for establishing these cost recovery arrangements: (Please name and attach relevant	
	Legislation (eg. s.31 of the Financial	FMA
	Subordinate legislation (eg. regulations,	no
	Co-regulation or quasi-regulation	no
	Commonwealth/State/Territory agreement	no
	Voluntary arrangements (eg. codes of	no

	Other	no
5.3	Who was consulted about introducing these cost recovery arrangements? (Please name relevant bodies and describe the	
	Commonwealth government (DOFA etc)	probably
	Other governments (state, territory, local)	no
	Industry	no
	Consumers	no
	Other	no
5.4	What guidelines were consulted when	unknown
5.5	Which agency is responsible for the following activities? (Please name relevant agency)	
	Policy setting	if any, it would now be Treasury
	Price setting	AGA, subject to Treasury approval
	Administration	Treasury, through a Service Level Agreement and some in AGA
	Revenue collection	Treasury, but AGA does it from within Treasury
5.6	Is there any ongoing consultation about these cost recovery arrangements? With whom? (Please name relevant bodies.)	
	Commonwealth government (DOFA etc)	no
	Other governments (state, territory, local)	no
	Industry	no
	Consumers	no
	Other	no
5.7	Please describe these consultation	not applicable
5.8	Have the cost recovery arrangements been	no

PART II(d)

Name of sub-unit, agency, program or activity, output or outcome	Australian Government Actuary (AGA)
--	-------------------------------------

Section 6: Price setting arrangements

6.1	How are these cost recovery charges determined? (Please attach any relevant documents)	
(i)	How are charges set? (eg. by formula in	so as to meet fully the expenses of AGA. This also requires AGA pricing to
(ii)	Are charges directly related to the costs of	charges are made on a time/cost basis at different levels depending on the
6.2	If charges are directly related to the costs of particular activities, outputs or outcomes:	
(i)	What costs do charges aim to recover?	all costs, including all overheads
(ii)	What proportion of these costs do charges	all, that is 100%
(iii)	Does the charging regime require assets	No -- value too low.
(iv)	If 'YES' to (iii), on what basis are assets	not applicable
(v)	Do charges include a user cost of capital?	no
(vi)	If 'YES' to (iv), how is it calculated?	not applicable
(vii)	Do charges include return on assets? (eg.	no
(viii)	If 'YES' to (vii), on what basis?	not applicable
(ix)	Do charges discriminate between types of	no
(x)	If 'YES' to (ix), on what basis?	not applicable
(xi)	Do charges allow for access and equity	no
(xii)	If 'YES' to (xi), on what basis?	not applicable
(xiii)	Other (Please describe other significant	not applicable
6.3	How are indirect costs allocated for cost	required services (eg, IT, personnel etc) are purchased from Treasury via a
6.4	Are there any price controls on these	No formal price controls but 2000/01 increases were suppressed to less than
6.5	How often is the level of charges changed?	Main review for 1 July increase each year. Mid year increases now made to
6.6	What happens if revenue recovered is	AGA workload is quite variable and AGA receives zero appropriation. Hence,

End of Part II. Thank you for your cooperation. Please return the questionnaire and attachments to the Commission (see front sheet for instructions)

PART II

If your portfolio operated any cost recovery arrangements in 1999-2000, please complete this part.

Please fill out a separate form for each sub-unit, cost recovery program or activity, or output or outcome for which you are

PART II(a)

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

Australian Government Actuary (AGA)

Section 4: Cost recovery arrangements in 1999-2000

Descriptive material		
4.1	Nature of cost recovery	Sale of Australian Life Tables, a quinquennial publication produced by AGA
4.2	Basic description of	Sale of publication - no documentation
4.3	Who pays the cost recovery	The client. Clients are mainly private sector users such as financial service providers,
4.4	Who benefits from the program	The client and their clients
4.5	Do you attempt to measure	no
4.6	Are there alternate providers or	no
4.7	When was this cost recovery	probably 1980/92 quinquennial Tables but certainly by the 1990/92 Tables Tables

PART II(b)

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

Australian Government Actuary (AGA)

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 portfo	\$		
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 appropriat	\$		
4.11	Cost recovery revenue paid to CRF (subtotal)	\$	0	
4.12	Cost recovery not paid into CRF		\$	6,000
4.13	Total cost recovery revenue		\$	6000
4.14	Appropriations not related to cost recovery		\$	0
4.15	Other sources (please specify)		\$	0
4.16	Total program or activity, output or outcome revenues		\$	6000
Program or activity, output or outcome expenses				
4.17	Direct expenses	\$	0	
4.18	Indirect expenses (including corporate overheads)	\$	0	
4.19	Third party expenses (a)	\$	0	
4.20	Total program or activity, output or outcome expenses	\$	0	
Administration costs				
4.21	What costs are associated with administering the cost recovery arrangements?	\$	0	

CRF Consolidated Revenue Fund. Direct costs are those directly related to a particular program. Indirect costs include indirect agency

PART II(c)

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

Australian Government Actuary (AGA)

Section 5: Institutional arrangements

5.1	What was the rationale for introducing these	Documentation, if any, cannot be found. The Tables cost about \$60,000 to
5.2	What was the legal basis for establishing these cost recovery arrangements: (Please name and attach relevant documents.)	
	Legislation (eg. s.31 of the Financial	FMA
	Subordinate legislation (eg. regulations,	no
	Co-regulation or quasi-regulation	no
	Commonwealth/State/Territory agreement	no
	Voluntary arrangements (eg. codes of	no

	Other	no
5.3	Who was consulted about introducing these cost recovery arrangements? (Please name relevant bodies and describe the	
	Commonwealth government (DOFA etc)	probably
	Other governments (state, territory, local)	no
	Industry	no
	Consumers	no
	Other	no
5.4	What guidelines were consulted when	unknown
5.5	Which agency is responsible for the following activities? (Please name relevant agency)	
	Policy setting	if any, it would now be Treasury
	Price setting	AGA, subject to Treasury approval
	Administration	Treasury
	Revenue collection	Treasury, but AGA does it from within Treasury
5.6	Is there any ongoing consultation about these cost recovery arrangements? With whom? (Please name relevant bodies.)	
	Commonwealth government (DOFA etc)	no
	Other governments (state, territory, local)	no
	Industry	no
	Consumers	no
	Other	no
5.7	Please describe these consultation	not applicable
5.8	Have the cost recovery arrangements been	no

PART II(d)

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

Australian Government Actuary (AGA)

Section 6: Price setting arrangements

6.1	How are these cost recovery charges determined? (Please attach any relevant documents)	
(i)	How are charges set? (eg. by formula in	Cost is set at a level that is not prohibitive to recover some of costs
(ii)	Are charges directly related to the costs of	No - but as high as thought acceptable to purchasers
6.2	If charges are directly related to the costs of particular activities, outputs or outcomes:	
(i)	What costs do charges aim to recover?	as much as possible
(ii)	What proportion of these costs do charges	as much as possible - but only about 25% is recovered
(iii)	Does the charging regime require assets	no
(iv)	If 'YES' to (iii), on what basis are assets	not applicable
(v)	Do charges include a user cost of capital?	no
(vi)	If 'YES' to (iv), how is it calculated?	not applicable
(vii)	Do charges include return on assets? (eg.	no
(viii)	If 'YES' to (vii), on what basis?	not applicable
(ix)	Do charges discriminate between types of	no
(x)	If 'YES' to (ix), on what basis?	not applicable
(xi)	Do charges allow for access and equity	no
(xii)	If 'YES' to (xi), on what basis?	not applicable
(xiii)	Other (Please describe other significant	not applicable
6.3	How are indirect costs allocated for cost	required services (eg, IT, personnel etc) are purchased from Treasury via a
6.4	Are there any price controls on these	no - other than market pressures
6.5	How often is the level of charges changed?	A new charge is set each time the Tables are produced. That is, each 5 years
6.6	What happens if revenue recovered is	It is always way short of costs incurred

End of Part II. Thank you for your cooperation. Please return the questionnaire and attachments to the Commission (see front sheet for instructions)

PART I

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

1.1 Portfolio

1.2 Reporting and financial arrangements are governed by:
(Please indicate with a 'X' whether one or more of the following Acts apply)

Financial Management and Accountability Act 1997

YES	NO
<input type="checkbox"/>	<input type="checkbox"/>

Commonwealth Authorities and Companies Act 1997

YES	NO
<input type="checkbox"/>	<input type="checkbox"/>

Other

1.3 Contact Officer

Position

Phone

Fax

Email

Address

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
<input type="checkbox"/>	<input type="checkbox"/>

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
<input type="checkbox"/>	<input type="checkbox"/>

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
<input checked="" type="checkbox"/>	<input type="checkbox"/>

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
<input checked="" type="checkbox"/>	<input type="checkbox"/>

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.

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).

YES NO

--	--

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.

AGENCY 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 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	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					
CRF Consolidated Revenue Fund					
(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)

	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)					
3.14 Total administered revenue from cost recovery	0	0	0	0	0
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	0	0	0	0	0
3.19 Total administered expenses					

CRF Consolidated Revenue Fund

(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 part. Please fill out a separate form for each sub-unit, cost recovery program or activity, or output or outcome for which you are reporting. Similar cost recovery arrangements may be reported in groups.

PART II(a)

Name of sub-unit, agency, program or activity, output or outcome Corporations and Securities Panel

Section 4: Cost recovery arrangements in 1999-2000

Descriptive material	
4.1	Nature of cost recovery arrangement (eg. licence fee, service charge, hypothecated excise tax or levy etc) a. we requested the parties to a Panel enquiry to contribute to the cost of an independent expert to assist the Panel's consideration of issues in dispute between the parties in a matter before the Panel. b. We requested that parties who wanted a copy of the transcript of the proceedings to pay an equal portion of the Panel's transcription costs.
4.2	Basic description of arrangements: (Please attach any relevant documents.) The Panel asked the lawyers for the parties whether they would contribute. Each consulted their client and agreed to pay up to half of the maximum cost which the Panel had been quoted.
4.3	Who pays the cost recovery charges? The cost recovery charges were paid by the parties (the bidder and the target in a takeover dispute).
4.4	Who benefits from the program or activity, output or outcome? The direct "beneficiaries" are the bidders and targets in takeover contests who bring applications before the Panel. The next most direct beneficiaries are the shareholders of target companies. Overall, the takeovers market and Australia's securities markets benefit
4.5	Do you attempt to measure these benefits? If YES, how? Not directly yet. We conduct post-mortems with parties about disputes after the matter has been settled, but these tend to focus on the process rather than benefits. We intend to see
4.6	Are there alternate providers or substitutes for this program or activity, output or outcome? (Please describe) There are two possible alternates. The first is the court, but commercial parties have limited access since the CLERP Bill. The second is commercial dispute resolution firms.
4.7	When was this cost recovery arrangement introduced? It was introduced on an ad hoc basis after 13 March 2000.

PART II(b)

Name of sub-unit, agency, program or activity, output or outcome Corporations and Securities Panel

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	\$	<input type="text"/>
4.9	Cost recovery revenue paid to CRF earmarked for appropriation to a third party	\$	<input type="text"/>
4.10	Cost recovery revenue paid to CRF and not earmarked for particular appropriation	\$	<input type="text"/>
4.11	Cost recovery revenue paid to CRF (subtotal)	\$	0
4.12	Cost recovery not paid into CRF	\$	13
4.13	Total cost recovery revenue	\$	13
4.14	Appropriations not related to cost recovery		\$ 2289
4.15	Other sources (please specify)		\$ <input type="text"/>
4.16	Total program or activity, output or outcome revenues		\$ 2302
Program or activity, output or outcome expenses			
4.17	Direct expenses	\$	561
4.18	Indirect expenses (including corporate overheads)	\$	427
4.19	Third party expenses (a)	\$	<input type="text"/>
4.20	Total program or activity, output or outcome expenses	\$	988
Administration costs			
4.21	What costs are associated with administering the cost recovery arrangements?	\$	0

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)

Name of sub-unit, agency, program or activity, output or outcome Corporations and Securities Panel

Section 5: Institutional arrangements

5.1 What was the rationale for introducing these cost recovery arrangements? (Please attach sources, eg. legislative objects clauses, press releases, second reading speeches.)

	The Panel is required to conduct its proceedings with as little formality, and in a timely a manner as the circumstances of cases allow. The voluntary contributions allowed the panel to give a quality response more easily.
--	--

5.2 What was the legal basis for establishing these 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)	
Co-regulation or quasi-regulation	
Commonwealth/State/Territory agreement	
Voluntary arrangements (eg. codes of practice)	Voluntary agreements by the parties
Other	

5.3 Who was consulted about introducing these cost recovery arrangements? (Please name relevant bodies and describe the consultation arrangements.)

Commonwealth government (DOFA etc)	
Other governments (state, territory, local)	
Industry	
Consumers	
Other	Parties to the matter/application

<p>5.4 What guidelines were consulted when establishing these cost recovery arrangements? (Please attach source of information, guidelines etc.)</p>	
<p>5.5 Which agency is responsible for the following activities? (Please name relevant agency)</p> <p>Policy setting</p> <p>Price setting</p> <p>Administration</p> <p>Revenue collection</p>	<p>Corporations and Securities Panel</p> <p>Corporations and Securities Panel</p> <p>Corporations and Securities Panel</p> <p>Corporations and Securities Panel</p>
<p>5.6 Is there any ongoing consultation about these cost recovery arrangements? With whom? (Please name relevant bodies.)</p> <p>Commonwealth government (DOFA etc)</p> <p>Other governments (state, territory, local)</p> <p>Industry</p> <p>Consumers</p> <p>Other</p>	<p></p> <p></p> <p></p> <p></p> <p>Parties to the matter/application</p>
<p>5.7 Please describe these consultation arrangements.</p>	<p>Parties were asked whether they agreed to contribute.</p>
<p>5.8 Have the cost recovery arrangements been formally reviewed? What was the outcome? (Please attach copy of review)</p>	<p>No</p>

PART II(d)

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

Corporations and Securities Panel

Section 6: Price setting arrangements

6.1 How are these cost recovery charges determined? (Please attach any relevant documents)

(i) How are charges set? (eg. by formula in legislation or based on 'market prices')	Market prices
(ii) Are charges directly related to the costs of particular activities, outcomes or outputs, or charged on some other basis? (eg. levies on users' turnover, profits or assets)	Directly related to costs incurred

6.2 If charges are directly related to the costs of particular activities, outputs or outcomes:

(i) What costs do charges aim to recover? (eg. only direct costs or indirect costs such as overheads)	Only some direct costs that are specific to the matter.
(ii) What proportion of these costs do charges aim to recover? (%)	In some cases 100%, in other cases, the percentage of the cost that was consumed by the parties.
(iii) Does the charging regime require assets to be valued? (eg. to allow the calculation of user cost of capital or return on assets)	No
(iv) If 'YES' to (iii), on what basis are assets 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) Do charges include return on assets? (eg. profit)	No
(viii) If 'YES' to (vii), on what basis?	
(ix) Do charges discriminate between types of users?	No
(x) If 'YES' to (ix), on what basis?	

(xi) Do charges allow for access and equity considerations (eg. waivers, discounts)?	Yes
(xii) If 'YES' to (xi), on what basis?	Although it has not arisen yet, we might seek costs contributions only from
(xiii) Other (Please describe other significant features)	
6.3 How are indirect costs allocated for cost recovery arrangements? (eg. activity based costing, according to share of direct costs or other rule.)	N/A
6.4 Are there any price controls on these charges?	N/A
6.5 How often is the level of charges changed?	N/A
6.6 What happens if revenue recovered is greater than costs incurred?	N/A

End of Part II. Thank you for your cooperation. Please return the questionnaire and attachments to the Commission (see front sheet for instructions)