



**Australian Government**  

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**National Archives of Australia**

General Records Authority

**AFDA EXPRESS**

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**The National Archives wishes to acknowledge the advice and input provided by many Commonwealth agencies during the production of this Records Authority.**

## **Change History**

Each entry in this table has been separately authorised under the *Archives Act 1983*.

<b>Date</b>	<b>Changes</b>
7 February 2013	<ul style="list-style-type: none"><li>• Government Relations – RNA class 20267 replaced by RNA class 61224</li><li>• References to class 20267 replaced by 61224 in all functions</li></ul>

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The function terms taken from *Keyword AAA: A Thesaurus of General Terms* (Government of New South Wales, 1988) are produced under a licence agreement between the Office for Government Online, the National Archives of Australia and the State Records Authority of New South Wales.

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## INTRODUCTION

AFDA Express is a streamlined version of the Administrative Functions Disposal Authority (AFDA) covering records relating to the administrative business performed by the Commonwealth and its agencies. It applies to Central or National Offices, State/Territory or Branch Offices, Local Offices and Overseas Posts. It applies to all records created since Federation, regardless of format. AFDA Express includes all of the records in AFDA and is consistent with the approach now used for agency records authorities.

The simplified approach is in line with one of the key recommendations from the 2007 Management Advisory Committee (MAC) report *Note for File: A report on recordkeeping in the Australian public service*; that not all records need the same degree of management and allows agencies and the National Archives to identify and focus on the most useful and important records.

AFDA Express has fewer classes and is easier and quicker to use than AFDA. There is no requirement for agencies to use this Authority and the full version of AFDA is still current and available for use.

Commonwealth agencies now have the following tools available to dispose of their records:

- their own Records Authorities covering specific agency records;
- the Administrative Functions Disposal Authority (AFDA) covering administrative business commonly performed by most Commonwealth agencies;
- AFDA Express, a streamlined version of AFDA;
- other general records authorities covering business performed by many agencies; and
- normal administrative practice (NAP) which allows for the destruction of records where the records are duplicated, unimportant or for short-term use only.

## APPLICATION OF THIS AUTHORITY

1. AFDA Express relates to common administrative records and covers 17 administrative businesses based on the Keyword AAA business classification scheme with the additional business of Procurement.

2. AFDA Express covers the 18 AFDA functions and includes all of the records in AFDA. AFDA Express is a streamlined version of AFDA developed by removing activities, merging multiple Retain as National Archives classes relating to a function into one class, merging AFDA classes with similar retention periods and/or covering similar activities and rolling-up classes with short term disposal actions into a class with a higher retention period. While most AFDA disposal actions have been merged in this Authority some disposal actions are the same in both AFDA and AFDA Express; RNA records and temporary records with specific disposal actions and directions have been retained. The disposal action column in this Authority is titled 'Rolled-up disposal action'. AFDA is the source document on which AFDA Express is based and the disposal actions in AFDA are the minimum periods for retention. All AFDA functions and class numbers can be linked to AFDA Express functions and class numbers and a mapping document linking the two authorities is available on the National Archives website at [www.naa.gov.au](http://www.naa.gov.au). The rolled-up disposal actions in AFDA Express do not cancel any disposal actions specified in AFDA. The minimum retention period in AFDA for a class is still the minimum required time related records must be kept before destruction is permitted.

3. The following four class categories appear in AFDA Express (note not all functions have all categories):

- Retain as national archives class. The RNA class will always be presented first where a function has RNA records;
- Long term temporary classes. These are classes with a particular or stand alone disposal action that have been retained as presented in AFDA;
- Low level high volume records classes. Several low level high volume classes have been identified where it is known that agencies generate large volumes of records which would not be efficient or cost effective to keep for the longer rolled-up period (eg individual performance agreements). For many agencies there may be other such classes. In these cases the option of using the shorter term AFDA class is available; and
- Default class. This class is always listed last and covers the bulk of records for the function.

4. The Authority begins with an introduction and notes on its application followed by the authorisation page and then 18 sections providing details about each function and related classes. For each section the following details are provided:

<b><u>Function</u></b>	<p>This is the broad level business function and is displayed in bold capital letters at the top of each page.</p> <p>It is followed by the Keyword AAA <b><u>scope note</u></b>, which provides an overview of the business processes carried out in undertaking the function.</p> <p>A <b><u>function note</u></b> provides guidance on the relationship between AFDA functions and an agency's own core businesses, or any special considerations that need to be taken into account when using the function in the Commonwealth environment. The function note also includes a summary list of business activities expected to be carried out in performing the function.</p>
<b><u>Class No.</u></b>	<p>This is the unique number allocated automatically by the National Archives 'RecordsSearch' System. It is the number that agencies must quote on records control systems and on National Archives' transfer documentation. A barcode representing the Class No. is available and may be used in records management systems.</p>
<b><u>Description of Records</u></b>	<p>This is the description of the records documenting the business function. The descriptions can relate to a specific record such as a register or a group of records documenting a particular set of transactions.</p> <p>The RNA class, the long term temporary classes and classes with specific retention requirements that could not be rolled-up usually describe specific records. The default class provides a broad and non specific description covering all remaining records not covered in the other classes relating to the function.</p>
<b><u>Rolled-up disposal action</u></b>	<p>This describes the rolled-up AFDA Express disposal action reflecting the streamlined approach adopted in this Authority.</p> <p>The rolled-up disposal action 'D x years after action completed' is commonly used in AFDA Express. To apply</p>

	this action special care is required to determine if the action has been completed. Factors to consider include an assessment of the nature of the business being documented, whether or not there may be any outstanding or ongoing business need to action the record, the risks to the agency of not having the record, and the history of its use.
<b><u>'For' statements</u></b>	'For' statements provide guidance on the inter-related links to other functions and classes. These statements can be found under function notes and relate to the application of that function. "For" statements under certain classes relate to the particular records described.

5. There is no requirement for agencies to resentence records that have been sentenced using AFDA. The full version of AFDA is still current and available for use. The existence of the two authorities offers agencies a degree of flexibility for planning and implementing sentencing programs. For example some agencies may create large quantities of low level high volume records which under AFDA Express have a higher rolled-up retention period than the minimum period in AFDA. In such circumstances the agency has the option of selecting the class in AFDA with the shorter disposal action. Advice on sentencing using AFDA Express and AFDA as complementary authorities is available from the National Archives.

6. This Authority does not cover:

- Pre-Federation records. The National Archives should be contacted if agency holdings include such records.
- Records created in support of agencies core businesses. All core business records are to be covered by records authorities created specifically for an agency.
- Records which document the Defence military combat function, or the management of Defence military personnel.
- Records created as a result of a change in legal or regulatory requirements to AFDA functions not taken into account when AFDA was developed or revised.

7. A number of agencies manage their establishment structures and employ staff under their own enabling legislation rather than the *Public Service Act 1999*. Such agencies are not excluded from using the sections of the Authority relating to the Establishment and Personnel functions, but before doing so should check their own enabling legislation and other regulatory directives for major variations in scope and requirements. In cases where variations are great this Authority is not applicable and the agency's own Records Authority must instead cover these records.

8. The disposal action noted against various classes in the Authority relates to Australian statutory requirements. Australian overseas posts may have to increase the retention period to meet any statute of limitation periods in their host country.

9. The Normal Administrative Practice (NAP) provision of the Archives Act 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 Record Authority or Authorities, and with AFDA and AFDA Express. The National Archives recommends that agencies develop and implement a Normal Administrative Practice policy to assist in planning and implementing activities to determine whether records should be kept or destroyed. 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](http://www.naa.gov.au)

10. In accordance with Section 26(2)(b) of the *Archives Act 1983*, this Authority permits the addition of such registry annotations as file marking, re-classification stamps, the annotation of master control records to show the disposal class applied and similar markings to records over 25 years old located with the agency. Records over 25 years old which are required for the ongoing management of employees, such as case records in the Compensation, Occupational Health & Safety and Personnel functions may be added to or amended, providing the alterations do not involve erasures or deletions.

11. Under some functions the transfer of custody and ownership of Commonwealth records is directed in the disposal action. This Authority permits the transfer of the records under Section 24(2)(b) of the *Archives Act 1983*, subject to them no longer being needed as evidence for further Commonwealth liability (eg for compensation issues). If there are any doubts in relation to this requirement, copies should be made of the records before they are transferred.

12. From time to time the National Archives will place a freeze on some groups of records relating to a particular topic or event which has gained prominence or provokes controversy. While the freeze is in place no records relating to the topic or event may be destroyed. 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](http://www.naa.gov.au).

13. Records which relate to any current or pending legal action, or are subject to a request for access under the *Archives Act 1983* or any other relevant Act must not be destroyed until the action has been completed.

14. 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 to the public currently after thirty years, including those records that remain in agency custody after this time.

15. The National Archives accepts for transfer only those records designated as national archives. Appropriate arrangements should be made with the National Archives when records are to be transferred into custody.

## CONTACT INFORMATION

For training and assistance with this Authority or for advice on other recordkeeping matters, please contact National Archives' Agency Service Centre.

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## AUTHORISATION

### RECORDS AUTHORITY

**Person to whom notice of authorisation is given:**

Heads of Commonwealth institutions under the *Archives Act 1983*, as listed in National Archives file RkS Ref: 2009/1156

**Purpose:**

AUTHORISES ARRANGEMENTS FOR THE DISPOSAL OF RECORDS IN ACCORDANCE WITH SECTION 24(2)(b) OF THE *ARCHIVES ACT 1983*

AUTHORISES ARRANGEMENTS FOR THE ADDITION TO, OR ALTERATION OF RECORDS OVER 25 YEARS OLD, IN ACCORDANCE WITH SECTION 26(2)(b) OF THE *ARCHIVES ACT 1983*

**Application:**

AFDA Express covers the following general administrative business areas: Community Relations; Compensation; Equipment & Stores; Establishment; Financial Management; Fleet Management; Government Relations; Industrial Relations; Information Management; Legal Services; Occupational Health & Safety; Personnel; Procurement; Property Management; Publication; Staff Development; Strategic Management and Technology & Telecommunications

This authorisation gives permission for the destruction, retention or transfer to the National Archives of Australia of the records described. The Authority will apply only if these actions take place with the consent of the agency responsible for the administrative business documented in the records.

**Authorising Officer****Date of issue:**

Ross Gibbs  
Director-General  
National Archives of Australia



## COMMUNITY RELATIONS

The function of establishing rapport with the community and raising and maintaining the organisation's broad public profile. Includes marketing, advertising, media liaison, exhibitions, celebrations, ceremonies, speeches, official representation at functions and participation in community activities. Also includes relations with professional bodies and industry, the management of customer services, handling reactions to those services, customer consultations and feedback.

*Function note:* Where an agency has specific or unique relationships with the public Community Relations should not be used. These core business activities should be covered in the agency's own Records Authority. For example exhibitions developed by the Australian War Memorial are central to its operations and would not be covered under Community Relations. Where an agency participates in a joint activity with another government agency, aimed at interacting with the community, and where the activity is not central to its operations, Community Relations should be used, rather than Government Relations.

This function includes such community relations activities as:


- preparing and presenting addresses;
- arranging and managing agency events and attending external events including celebrations, ceremonies, conferences, exhibitions, social functions and visits;
- managing customer services, public reactions and media relations;
- receiving and making donations and seeking grant funding;
- receiving and responding to enquiries and suggestions;
- receiving and responding to greetings;
- managing joint venture arrangements;
- marketing activities;
- representing the agency on community organisations and liaising;
- managing security arrangements;
- making submissions; and
- arranging visits.

The performance of the function is supported by routine administrative tasks such as:





- making arrangements;
- managing committees and meetings;
- evaluating and reviewing;
- planning;
- researching and reporting; and
- developing policies and procedures.

*For managing the acquisition of goods and services, and tendering and contracting arrangements to support the community relations function, use PROCUREMENT.*

*For financial transactions supporting the community relations function, use FINANCIAL MANAGEMENT.*

Class No	Description of records	Rolled-up disposal action
20439 	The following <b>significant records</b> documenting the community relations function: <ul style="list-style-type: none"> <li>• <u>addresses</u> made by the Minister, members of the Government, senior agency officers, or members of governing bodies;</li> <li>• <u>printed programs</u>, <u>invitations</u>, <u>guest lists</u> and <u>photographs</u> of major occasions;</li> <li>• master set of agency <u>media releases</u>; and</li> <li>• records of <u>donations of money and items, artefacts or property</u> that are of long-term value or ongoing benefit to the nation.</li> </ul>	Retain as national archives

## COMMUNITY RELATIONS

Class No	Description of records	Rolled-up disposal action
(cont)	<i>[For community relations records that do not fall into the significant category detailed in 20439 or are not covered in classes 20440 to 20442, use COMMUNITY RELATIONS – 20443.]</i>	
20440 	Signed <b>joint venture contracts under seal prior to 15 November 2005</b> and supporting records: <b>Western Australia</b> .  <i>[For records supporting the management of joint ventures undertaken to support the community relations function, use COMMUNITY RELATIONS – 20443 For joint venture agreements that are not contracts under seal, use COMMUNITY RELATIONS – 20443.]</i>	Destroy 21 years after completion or other termination of contract
20441 	Signed <b>joint venture contracts under seal</b> and supporting records: <b>Victoria</b> and <b>South Australia</b> .  <i>[For records supporting the management of joint ventures undertaken to support the community relations function, use COMMUNITY RELATIONS – 20443 For joint venture agreements that are not contracts under seal, use COMMUNITY RELATIONS – 20443]</i>	Destroy 15 years after completion or other termination of contract
20442 	Signed <b>joint venture contracts under seal</b> and supporting records: <b>New South Wales, Western Australia (from 15 November 2005), Queensland, Australian Capital Territory, Northern Territory</b> and <b>Tasmania</b> .  <i>[For records supporting the management of joint ventures undertaken to support the community relations function, use COMMUNITY RELATIONS – 20443 For joint venture agreements that are not contracts under seal, use COMMUNITY RELATIONS – 20443]</i>	Destroy 12 years after completion or other termination of contract
20443 	Records documenting: <ul style="list-style-type: none"> <li>• <b>routine operational administrative tasks</b> supporting the function; and</li> <li>• Records documenting <b>community relations activities, other than those covered in classes 20439 to 20442</b>.</li> </ul> <i>[For printing of community conference proceedings hosted by the agency or service charters, use PUBLICATION. For visits by Royalty or Heads of State to the agency, use GOVERNMENT RELATIONS – 61224]</i>	Destroy 7 years after action completed

## COMPENSATION

The function of providing compensation to personnel and visitors injured while proceeding to or from work, during working hours or on the organisation's premises. Includes the rehabilitation of injured workers and compensation for damage to property where such damage is claimed as the organisation's responsibility. This function excludes Defence military personnel.

*Function note:* Compensation is one of the AFDA Express suite of functions covering the management of an agency's human resources. Others are – Establishment, Industrial Relations, Occupational Health & Safety (OH&S), Personnel, and Staff Development. This function covers staff and the public who have sustained injuries at work or when visiting the agency and lodged a compensation claim. The two functions most closely linked to Compensation are OH&S, which aims at establishing and implementing preventative health and safety measures and Personnel, which manages the engagement of individual staff members and their conditions of employment with the APS. Personnel also covers the rehabilitation of employees who have been injured but have not lodged a compensation claim.

Records of all current and finalised asbestos-related claims for compensation must be transferred to the central agency with legislative responsibility for the management of asbestos liability in the Commonwealth (currently Comcare) under the *Asbestos-related Claims (Management of Commonwealth Liabilities) Act 2005*.

The function includes such compensation related activities as:


- taking out insurance and managing claims: and
- managing compensation cases, including appealing decisions, entering into agreements and any subsequent rehabilitation activities.

The performance of the function is supported by routine administrative tasks such as:



- providing and receiving advice;
- managing committees;
- fulfilling compliance requirements;
- delegating powers and authorising actions;
- developing policies and procedures;
- reporting;
- reviewing the management of the function; and
- managing risks.

*For managing the acquisition of goods and services, and tendering and contracting arrangements to support the compensation function, use PROCUREMENT.*

*For managing financial transactions supporting compensation payments for claims, use FINANCIAL MANAGEMENT.*

Class No	Description of records	Rolled-up disposal action
20253 	Records of <b>cases where a compensation claim has been submitted by an employee for personal injury, death, or loss or damage to personal property</b> . Includes: <ul style="list-style-type: none"> <li>• <u>accident reports (copies) and associated papers</u> such as witness statements;</li> <li>• <u>claims</u>;</li> <li>• <u>determinations</u>;</li> <li>• <u>correspondence</u> and <u>notes of meetings</u> and conversations with the lead agency (currently Comcare) and claimant;</li> <li>• <u>appointment</u> of a <u>case manager</u> or <u>rehabilitation provider</u>;</li> <li>• <u>return to work plan</u>;</li> <li>• <u>progress reports</u>;</li> </ul>	Destroy 75 years after date of birth of employee or 7 years after last action, whichever is longest. If date of birth is unknown assume the person was 15 at the time of the accident

## COMPENSATION

Class No (cont)	Description of records	Rolled-up disposal action
	<ul style="list-style-type: none"> <li>• <u>assessment reports</u>;</li> <li>• <u>medical reports and certificates</u>;</li> <li>• <u>claim reviews</u>;</li> <li>• <u>appeal records</u> (including reconsideration and appeals to Administrative Appeals Tribunal);</li> <li>• <u>agreements</u> entered into by the parties; and</li> <li>• <u>legal records</u> documenting any legal advice received and action taken in relation to the case.</li> </ul> <p><i>[For compensation claims made by public visitors, use COMPENSATION – 20255.</i></p> <p><i>For claims made by governing body members, use GOVERNING BODIES.</i></p> <p><i>For all asbestos-related claims relating to the Asbestos-related Claims (Management of Commonwealth Liabilities) Act 2005, transfer records to the central agency with legislative responsibility for the management of asbestos liability in the Commonwealth (currently Comcare).]</i></p>	
20254 	<p>Records documenting <b>annual renewal and the management of premium payments</b>. Includes salary statements, advice on premiums payable and any review of premiums levied by an insurance provider (eg Comcare and/or Comcover).</p> <p><i>[For other records relating to the management of the agency's insurance arrangements (eg insurance policies; obtaining a licence to self insure), use COMPENSATION – 20255.]</i></p>	Destroy 10 years after action completed
20255 	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>• <b>routine operational administrative tasks</b> supporting the function; and</li> <li>• <b>compensation activities, other than those covered in classes 20253 and 20254.</b></li> </ul> <p><i>[For original accident reports for members of the public under 18 years of age where there was no claim for compensation, use OCCUPATIONAL HEALTH &amp; SAFETY – 20464.</i></p> <p><i>For original accident reports for members of the public over 18 years of age where there was no claim for compensation, use OCCUPATIONAL HEALTH &amp; SAFETY – 20467.]</i></p>	Destroy 7 years after action completed

## EQUIPMENT & STORES

The function of supplying, maintaining, repairing and disposing of equipment and stores stocked and used by the organisation. Items of equipment include instruments, tools, machines, plant, furniture and furnishings. Stores include chemicals, hardware, homeware items, kitchen/cleaning items, medical supplies and stationery. Excludes equipment and stores acquired to support the Defence combat function.

*Function note:* Equipment & Stores is one of the AFDA Express functions that relates to managing agency assets. The other asset management functions are – Fleet Management, Property Management and Technology and Telecommunications. Equipment & Stores covers portable and less durable assets, but not computer and telecommunications equipment. The function Technology & Telecommunications should be used for managing computer hardware and software and phones, faxes, mobiles and other communication devices. The evaluation and selection of equipment and stores and the subsequent acquisition of those items, through leasing, tendering and contracting arrangements, is covered by the Procurement function.

The function includes such equipment and stores related activities as:

- establishing and managing agreements;
- allocation and distribution;
- arranging use and storage;
- auditing, creating inventories and stocktaking;
- contracting-out (not related to procurement activities);
- disposing of items;
- installation, inspections and maintenance;
- managing insurance policies and claims; and
- securing and protecting.

The performance of the function is supported by routine administrative tasks such as:

- fulfilling compliance requirements;
- delegating powers and authorising actions;
- developing policies and procedures;
- reviewing and reporting; and
- managing risks.

*For managing the acquisition of goods and services, and tendering and contracting arrangements to support the equipment and stores function, use PROCUREMENT.*

*For managing financial transactions supporting equipment and stores activities, use FINANCIAL MANAGEMENT.*

Class No	Description of records	Rolled-up disposal action
20256 ■■■■■■■■■■	Records documenting <b>equipment and stores activities and routine operational administrative tasks</b> supporting the function.	Destroy 7 years after action completed

*[For the storage of hazardous waste prior to disposal, use PROPERTY MANAGEMENT – 20323.*

*For managing the agency's Hazardous Substances Register, use OCCUPATIONAL HEALTH & SAFETY – 20457.*

*For inspections relating to the use of equipment, use OCCUPATIONAL HEALTH & SAFETY – 20466.*

*For the installation of plant and equipment within a building, use PROPERTY MANAGEMENT – 20318 or 20325.*

*For disciplinary action relating to a breach of the law relating to the management of equipment and stores by an APS employee, use PERSONNEL – 20304, 20308 and 20312.]*

## ESTABLISHMENT

The function of establishing and changing the organisational structure. Including moving employees from one agency to another and reducing and increasing an agency's staffing levels. Also includes internal reorganisations to meet agency goals.

*Function note:* Establishment is one of the AFDA Express suite of functions covering the management of an agency's human resources. Others are – Compensation, Industrial Relations, Occupational Health & Safety (OH&S), Personnel, and Staff Development. Establishment relates to managing the overall administrative structure of an agency to ensure it meets its assigned role within government. It is closely related to Personnel. Under the Establishment function the structure of the agency is developed, including the nomination, classification and allocation of duties and under Personnel staff are recruited to fill those positions.



Before using this Authority, agencies that employ staff under legislation other than the *Public Service Act 1999* should check their own enabling legislation and other regulatory directives for major variations from this Act. In cases where the variations differ greatly the AFDA and consequently AFDA Express is not applicable and should not be used. In such circumstances relevant classes must be included under the agency's own Records Authority.

The function includes such establishment related activities as:

- restructuring;
- setting work level standards; and
- creating and abolishing positions (managing variations).

The performance of the function is supported by routine administrative tasks such as:

- providing and receiving advice;
- managing committees and meetings;
- delegating powers and authorising actions;
- planning;
- developing policies and procedures;
- evaluating and reviewing; and
- reporting.

Class No	Description of records	Rolled-up disposal action
20257 	<b>Agency-wide organisational charts</b> produced <b>after a major restructure</b> eg a machinery of government change or an extensive internal restructure.	Retain as national archives
20258 	Records documenting: <ul style="list-style-type: none"> <li>• <b>routine operational administrative tasks</b> supporting the function; and</li> <li>• <b>establishment activities, other than those covered in class 20257.</b></li> </ul>	Destroy 10 years after action completed

*[For recruitment activities undertaken to fill vacancies, use PERSONNEL – 20313.]*

## FINANCIAL MANAGEMENT

The function of managing the organisation's financial resources. Includes establishing, operating, and maintaining accounting systems, controls and procedures, financial planning, framing budgets and budget submissions, obtaining grants, managing funds in the form of allocations from the Consolidated Revenue Fund and revenue from charging, trading and investments. Also includes the monitoring and analysis of assets to assist the delivery of economic and social services to government, industry and the community.

*Function note:* The Financial Management function supports the allocation and spending of funds to support the performance of all other general administrative functions and agency core businesses. Closely linked is the Strategic Management function which sets the overall goals and objectives of an agency and the allocation of resources. It is also linked to the Procurement function which manages the acquisition of goods and services to support the performance of an agency's business.


This function includes such financial management activities as:

- keeping the agency's principal accounting records;
- providing and receiving advice;
- managing agreements;
- managing the agency's asset register;
- auditing and inventory management;
- budgeting and allocating funds;
- adopting fraud control measures;
- preparing financial statements;
- managing grant funding and donations;
- paying accounts/salaries;
- standards implementation; and
- treasury management.


The performance of the function is supported by routine administrative tasks such as:

- managing committees and meetings;
- fulfilling compliance requirements;
- delegating powers and authorising actions;
- planning and reporting;
- developing policies and procedures;
- reviewing and evaluating; and
- risk management.

*For managing the acquisition of goods and services, and tendering and contracting arrangements to support the financial management function, use PROCUREMENT.*

Class No	Description of records	Rolled-up disposal action
20259 	Records documenting the following <b>accountability activities</b> : <ul style="list-style-type: none"> <li>• <u>audits</u> (both internal and external) qualified by the Auditor-General, resulting in major or significant changes to practices; and</li> <li>• <u>delegating powers</u> and <u>authorising actions</u>.</li> </ul>	Destroy 10 years after action completed

## FINANCIAL MANAGEMENT

Class No	Description of records	Rolled-up disposal action
20260 	Records documenting: <ul style="list-style-type: none"><li>• <b>routine operational administrative tasks</b> supporting the function; and</li><li>• <b>financial management activities, other than those covered in class 20259.</b></li></ul>	Destroy 7 years after action completed



## FLEET MANAGEMENT

The function of managing, maintaining, repairing and disposing of vehicles. Vehicles are any means of conveyance owned or used by the organisation to transport people or items. Excludes vehicles acquired to support the Defence combat function, but includes all other special purpose vehicles.

*Function note:* Fleet Management is one of the AFDA Express functions that relates to managing agency assets. The other asset management functions are – Equipment & Stores, Property Management and Technology & Telecommunications. The evaluation and selection of vehicles, and the subsequent acquisition of those items, through leasing, tendering and contracting arrangements, is covered by the Procurement function.

The function includes such fleet management related activities as:

- managing vehicle accidents;
- managing agreements;
- arranging vehicle allowances;
- managing arrangements for day-to-day vehicle use;
- disposal;
- handling infringements;
- taking out insurance and managing claims; and
- vehicle maintenance.

The performance of the function is supported by routine administrative tasks such as:




- managing committees and meetings;
- fulfilling compliance requirements;
- delegating powers and authorising actions;
- developing policies and procedures; and
- reporting.

*For legal advice supporting fleet management activities, use LEGAL SERVICES.*

*For the purchase, leasing or chartering of vehicles, and managing tendering and contracting arrangements, use PROCUREMENT.*

*For managing financial transactions supporting fleet management activities, use FINANCIAL MANAGEMENT.*

## FLEET MANAGEMENT

Class No	Description of records	Rolled-up disposal action
20261 	<p>Records documenting the <b>maintenance, repair and modification of Commonwealth owned vehicles.</b></p> <p><i>[For activities involved in the acquisition of Commonwealth vehicles, use PROCUREMENT.]</i></p>	Transfer to the new owner after sale or destroy 6 months after the write-off of a Commonwealth vehicle. (See instruction on the transfer of custody and ownership of Commonwealth records in Introduction.)
20262 	<p>Records documenting the <b>maintenance and servicing of leased vehicles.</b></p> <p><i>[For activities involved in leasing vehicles, use PROCUREMENT.]</i></p>	Transfer to leasing company after lease expires or is terminated. (See instruction on the transfer of custody and ownership of Commonwealth records in Introduction.)
20263 	<p>Records documenting:</p> <ul style="list-style-type: none"><li>• <b>routine operational administrative tasks</b> supporting the function; and</li><li>• <b>fleet management activities, other than those covered in classes 20261 and 20262.</b></li></ul> <p><i>[For managing legal action resulting from fleet management activities, use LEGAL SERVICES – 20449 or 20455.]</i></p>	Destroy 7 years after action completed

## GOVERNMENT RELATIONS


The function of administering the formal relationship between the organisation and those processes of government not covered by other general administrative or agency core businesses. Includes the organisation's relationship with Ministers and Members of Parliament and the political processes of Government; liaison with bodies carrying out investigations and participating in formal inquiries and investigations such as Royal Commissions, and inquiries by Parliamentary Committees and the Ombudsman; and relationship with Local, State or overseas governments.

*Function note:* This function should only be used if the agency's Records Authority does not include relevant classes, or if activities are not covered in another AFDA Express function eg Financial Management should be used to cover interaction between the agency and the Department of Finance and Deregulation and Compensation and OH&S should be used for interactions between the agency and Comcare. Communications between the public (individuals and groups) relating to the responsibilities and actions of the agency, received by the Minister ('Ministerials'), are covered by the Government Relations function.


The function includes government relations activities such as:

- preparing addresses and presentations;
- providing advice;
- agency liaison;
- managing agreements and joint ventures;
- managing committees and meetings;
- fulfilling compliance requirements;
- managing customer services;
- contributing to inquiries;
- preparing legislation for presentation in Parliament;
- managing media relations;
- developing policies and procedures;
- researching, reporting and reviewing;
- responding to representations from Members of Parliament and the public ('Ministerials');
- managing staff representatives on government bodies;
- managing security requirements for government representatives;
- making submissions; and
- arranging visits.



*For legal advice supporting government relations activities, use LEGAL SERVICES.*

Class No	Description of records	Rolled-up disposal action
61224 	<p>The following <b>significant records</b>:</p> <p>Records relating to <b>controversial public issues</b> with <b>far reaching social, economic and international implications</b>, and/or <b>major significance</b> to the Commonwealth, including:</p> <ul style="list-style-type: none"> <li>• <u>advice</u> provided by the agency to the portfolio Minister and other agencies, including working papers;</li> <li>• <u>papers documenting the development of Cabinet memorandums, Cabinet discussion papers, Cabinet submissions</u>;</li> </ul> <p><i>[For Cabinet documents, use GOVERNMENT RELATIONS – 20268.]</i></p> <ul style="list-style-type: none"> <li>• <u>submissions, other than cabinet submissions</u>, made to the Prime Minister, Minister and other government bodies, including working papers;</li> <li>• <u>'Ministerials' (representations)</u> from peak industry bodies, leading community interest groups, recognised influential stakeholders and individuals;</li> </ul>	Retain as national archives

## GOVERNMENT RELATIONS

Class No	Description of records	Rolled-up disposal action
(cont)	<ul style="list-style-type: none"> <li>• <u>agreements/joint venture agreements with government bodies</u> with major liabilities or obligations, applying to whole of government, or result in changes to performance of statutory functions, includes negotiations, reviews and working papers;</li> </ul> <p>and <b>records of:</b></p> <ul style="list-style-type: none"> <li>• <u>government inquiries</u> directly impacting on the agency's functions;</li> <li>• supporting the passage of an agency's <u>legislation through Parliament</u>;</li> <li>• <u>high level inter-government (both State/Territory and overseas) or inter-agency committees</u> where the agency provides the Secretariat, is the Commonwealth's main representative, or plays a significant role;</li> <li>• <u>visits</u> to the agency by <u>royalty and Heads of State</u>;</li> </ul> <p>and the following <b>specific records:</b></p> <ul style="list-style-type: none"> <li>• <u>addresses</u> of portfolio Ministers, agency heads and members of governing bodies;</li> <li>• <u>Ministerial media releases</u> and <u>interview transcripts</u>;</li> <li>• <u>formal reports</u> on agency's core functions and supporting working papers; and</li> <li>• <u>advice and briefs</u> provided to or prepared for a Minister, government or incoming government. Includes briefs for: potential Ministers; potential incoming governments; minority parties and independents. Includes major drafts and working papers documenting: development, communication and contributions from other agencies. Includes briefs known as the red and blue books.</li> </ul> <p><i>[For government relations records that do not fall into the significant category detailed in 61224, or are not covered in classes 20268 or 20269, use GOVERNMENT RELATIONS – 20270.</i></p> <p><i>For routine 'Ministerials', use GOVERNMENT RELATIONS – 20269.</i></p> <p><i>For records documenting the development of proposals for new legislation and amendments to existing legislation, use STRATEGIC MANAGEMENT – 20340.]</i></p>	
20268 	<p>The following records <b>regulated by Cabinet Handbook instructions:</b></p> <ul style="list-style-type: none"> <li>• <u>Cabinet documents</u>; and</li> <li>• <u>notes made by agency officials</u> attending Cabinet or Cabinet committee meetings other than official notetakers. Excludes Cabinet notebooks held by PM&amp;C.</li> </ul> <p><i>[For working papers documenting the development of Cabinet records, use GOVERNMENT RELATIONS – 61224.]</i></p>	Destroy in accordance with Cabinet Handbook instructions

## GOVERNMENT RELATIONS

Class No	Description of records	Rolled-up disposal action
20269 	<p>Records documenting the management of correspondence received from the public (<b>'Ministerials'</b>) of a <b>routine nature</b> and responses sent relating to issues which are not of a major significance to the agency and/or the community at large.</p> <p><i>[For 'Ministerials' from peak industry bodies, leading community groups, influential stakeholders and individuals concerning issues of a contentious nature which are of major interest to the agency and community, use GOVERNMENT RELATIONS – 61224.]</i></p>	Destroy 2 years after action completed
20270 	<p>Records documenting:</p> <ul style="list-style-type: none"><li>• <b>routine operational administrative tasks</b> supporting the function; and</li><li>• <b>government relations activities, other than those covered in classes 61224, 20268 and 20269.</b></li></ul>	Destroy 10 years after action completed

## INDUSTRIAL RELATIONS

The function of establishing formal relations with the organisation's employees and their representatives to achieve a harmonious workplace. Includes negotiations conducted to obtain determinations, agreements or awards, industrial disputes settled within the organisation or by an external arbitrator and reports of the state of industrial relations within an organisation.

*Function note:* Industrial Relations is one of the AFDA Express suite of functions covering the management of an agency's human resources. Other functions are – Compensation, Establishment, Occupational Health & Safety (OH&S), Personnel and Staff Development. Industrial Relations establishes and manages the overall relationships between management and agency staff. It is closely linked to the Personnel function which covers the engagement of individual staff members and their conditions of employment.

This function includes such industrial relations related activities as:

- negotiating, establishing and maintaining awards and agreements;
- managing appeals to central arbitration or determining body;
- handling disputes;
- undertaking enterprise bargaining negotiations;
- handling grievances;
- managing industrial action;
- handling infringements; and
- undertaking inspections.

The performance of the function is supported by routine administrative tasks such as:

- providing and receiving advice;
- organising allowances;
- managing committees and meetings;
- fulfilling compliance requirements;
- managing insurance and claims;
- planning;
- developing policies and procedures;
- reporting and research; and
- managing risk.

*For legal advice supporting industrial relations activities, use LEGAL SERVICES.*




*For managing the acquisition of goods and services, and tendering and contracting arrangements to support the industrial relations function, use PROCUREMENT.*

*For managing financial transactions supporting industrial relations activities, use FINANCIAL MANAGEMENT.*

Class No	Description of records	Rolled-up disposal action
20271 ■■■■■■■■■■	The following <b>significant records</b> documenting: <ul style="list-style-type: none"> <li>• <u>industrial relations policies</u>; and</li> <li>• <u>management of industrial action of a significant nature</u> eg involving large numbers of staff, where the action has a major affect on the provision of services to the community or if it has service-wide implications significantly changing work practices.</li> </ul>	Retain as national archives

*[For industrial relation records that do not fall into the significant category detailed in 20271 or are not covered in classes 20272 or 20273, use INDUSTRIAL RELATIONS – 20274.]*

## INDUSTRIAL RELATIONS

Class No	Description of records	Rolled-up disposal action
20272 	<p>The following records relating to <b>industrial awards and agreements</b>:</p> <ul style="list-style-type: none"> <li>• case records covering <u>awards and agreements heard or certified by the central arbitration or determining body; and</u></li> <li>• records documenting the <u>establishment and implementation of collective agreements or enterprise bargaining agreements.</u></li> </ul> <p><i>[For Australian Workplace Agreements (AWAs) with individual employees, use PERSONNEL – 20304.</i></p> <p><i>For records documenting employment agreements/contracts other than AWA's made with individual employees including non-ongoing employees, use PERSONNEL – 20313.]</i></p>	Destroy 10 years after action completed
20273 	Records of internal and external <b>industrial relations committees.</b>	Destroy 10 years after action completed
20274 	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>• <b>routine operational administrative tasks</b> supporting the function; and</li> <li>• <b>industrial relations activities, other than those covered in classes 20271 to 20273.</b></li> </ul>	Destroy 7 years after action completed

## INFORMATION MANAGEMENT

The function of managing the organisation's information resources. Includes creating, capturing, registering, classifying, indexing, storing, retrieving and disposing of records and developing strategies to manage records. Also includes the control and disposal of library and other information products, items kept for reference purposes and the provision of services to internal and external customers, based on information resources. Data administration, archival records and the handling of Freedom of Information (FOI) requests are also classified under this keyword.

*Function note:* Information Management is one of the AFDA Express functions relating to the management of an agency's information and knowledge resources. The other function is Publication. The Information Management function covers all library and reference material and records created to support the performance of an agency's business activities. Publication covers published works created for distribution by the agency.

This function includes such information management related activities as:

- managing access requests to information\_under FOI, Archives Act and Privacy Act;
- negotiating and establishing agreements;
- conserving, maintaining and restoring;
- controlling information sources;
- handling customer services, enquiries and suggestions;
- data administration;
- disposing of records and publications;
- distributing information sources;
- managing donations;
- supporting inspections;
- managing intellectual property;
- creating inventories;
- marketing;
- administering privacy requirements;
- managing information security;
- administering standards; and
- preparing submissions.

The performance of the function is supported by routine administrative tasks such as:

- providing advice;
- auditing;
- managing committees and meetings;
- fulfilling compliance requirements;
- delegating powers and authorising actions;
- managing insurance and claims;
- planning;
- developing policies and procedures;
- researching and reporting;
- reviewing and evaluating; and
- managing risks.




*For legal advice supporting information management activities, use LEGAL SERVICES.*

*For managing acquisition, tendering, and contracting-out arrangements supporting the information management function, use PROCUREMENT.*



*For managing financial transactions supporting information management activities, use FINANCIAL MANAGEMENT.*



## INFORMATION MANAGEMENT

Class No	Description of records	Rolled-up disposal action
20444 	<p>The following <b>significant records</b>:</p> <ul style="list-style-type: none"> <li>• <u>master control records for agency recordkeeping systems</u> (both paper and electronic) for central, state, local and overseas area offices;</li> <li>• <u>business rules</u> and <u>configuration settings for agency metadata</u> including developmental records and requests for changes;</li> <li>• <u>master copy of file classification/ business classification scheme</u> and abbreviations used in paper and electronic systems;</li> <li>• <u>master copy of record titling thesaurus</u> and creation, maintenance and evaluation records including developmental records and requests for changes;</li> <li>• <u>master set of recordkeeping rules and guidelines</u>;</li> </ul> <p>and <b>records documenting</b>:</p> <ul style="list-style-type: none"> <li>• <u>implementation of vital records plans, counter-disaster plans and disaster plans</u>;</li> <li>• <u>major security breaches</u> where classified records and information have been removed from official custody and passed to a third party;</li> <li>• requests for <u>public access to records and documents that set a precedent, lead to a change of policy, relate to issues of national significance, relate to issues of public controversy, and/or result in appeals to the Administrative Appeals Tribunal, the Federal or High Court</u>; and</li> <li>• arrangements for <u>the transfer of ownership of records</u> following corporatisation and privatisation.</li> </ul> <p><i>[For information management records that do not fall into the significant category detailed in 20444 or are not covered in classes 20445 to 20447, use INFORMATION MANAGEMENT – 20448.]</i></p>	Retain as national archives
20445 	Records documenting the creation of the <b>agency's Records Authority</b> .	Destroy 20 years after Authority is superseded
20446 	Records documenting <b>recurring or protracted access requests</b> received from the public for access to records and documents under the FOI Act, the Privacy Act, the Archives Act and other legislation specific to the agency.	Destroy 10 years after completion of case
	<p><i>[For access requests that set a precedent, lead to a change of policy, relate to issues of national significance, relate to issues of public controversy, result in appeals to the Administrative Appeals Tribunal (AAT), the Federal or High Court, use INFORMATION MANAGEMENT – 20444.</i></p> <p><i>For access cases that are less complex or not proceeded with, use INFORMATION MANAGEMENT – 20448.]</i></p>	

## INFORMATION MANAGEMENT

Class No	Description of records	Rolled-up disposal action
20447 	Records documenting <b>functions which have been transferred to another Commonwealth agency or institution.</b>  <i>[For the transfer of records documenting functions transferred to a non-Commonwealth institution, refer to the National Archives for authorisation.]</i>	Transfer to Commonwealth agency or institution
20448 	Records documenting: <ul style="list-style-type: none"><li>• <b>routine operational administrative tasks</b> supporting the function; and</li><li>• <b>information management activities, other than those covered in classes 20444 to 20447.</b></li></ul>	Destroy 7 years after action completed

## LEGAL SERVICES

The function of providing legal services to the organisation. Includes the interpretation and provision of advice to the organisation regarding legal matters, the drawing up of legal agreements and the handling of legal actions and disputes. Also includes legal advice received from in-house consultants and external sources.

*Function note:* Legal Services, covering the provision of specialist legal advice, supports all general administrative AFDA Express functions and agency core businesses.

This function includes such legal services activities as:


- managing claims;
- supporting the conduct or participation in inquiries;
- managing infringements;
- managing intellectual property;
- providing legal advice; and
- handling litigation.

The performance of the function is supported by routine administrative tasks such as:

- managing agreements;
- managing committees and meetings;
- fulfilling compliance requirements;
- delegating powers and authorising actions;
- planning;
- developing policies and procedures;
- researching and reporting;
- reviewing; and
- managing risks.






*For managing acquisition, tendering and contracting-out arrangements supporting the legal services function, use PROCUREMENT.*

*For managing financial transactions supporting legal services activities, use FINANCIAL MANAGEMENT.*


Class No	Description of records	Rolled-up disposal action
20449 	The following <b>significant records</b> : <ul style="list-style-type: none"> <li>• <u>legal advice</u> received relating to <u>Cabinet matters, international law, national security, agency-wide industrial issues, interpretation of an agency's legislation, proposal for new or amended agency legislation</u>; and</li> <li>• <u>litigation records where legal precedents are set</u>.</li> </ul>	Retain as national archives

*[For legal services records that do not fall into the significant category detailed in 20449 or are not covered in classes 20450 to 20454, use LEGAL SERVICES – 20455.]*

## LEGAL SERVICES

Class No	Description of records	Rolled-up disposal action
20450 	Signed <b>deeds of release, deeds of indemnity</b> and other similar agreements and supporting documents.  <i>[For agreements not resulting from a tender process, and signed simple contracts and agreements resulting from tenders, use LEGAL SERVICES – 20455. For signed agreements and contracts under seal, use LEGAL SERVICES – 20451, 20452 or 20453.]</i>	Destroy after indemnity ceases
20451 	Signed <b>agreements and contracts under seal prior to 15 November 2005</b> and supporting records: <b>Western Australia</b> .  <i>[For agreements not resulting from a tender process, and signed simple contracts and agreements resulting from tenders, use LEGAL SERVICES – 20455. For signed deeds, deeds of indemnity and other similar agreements and supporting documents, use LEGAL SERVICES - 20450.]</i>	Destroy 21 years after completion or other termination of contract
20452 	Signed <b>agreements and contracts under seal</b> and supporting records: <b>Victoria</b> and <b>South Australia</b> .  <i>[For agreements not resulting from a tender process, and signed simple contracts and agreements resulting from tenders, use LEGAL SERVICES – 20455. For signed deeds, deeds of indemnity and other similar agreements and supporting documents, use LEGAL SERVICES - 20450.]</i>	Destroy 15 years after completion or other termination of contract
20453 	Signed <b>agreements and contracts under seal</b> and supporting records: <b>New South Wales, Western Australia (from 15 November 2005), Queensland, Australian Capital Territory, Northern Territory</b> and <b>Tasmania</b> .  <i>[For agreements not resulting from a tender process, and signed simple contracts and agreements resulting from tenders, use LEGAL SERVICES – 20455. For signed deeds, deeds of indemnity and other similar agreements and supporting documents, use LEGAL SERVICES - 20450.]</i>	Destroy 12 years after completion or other termination of contract
20454 	Records documenting the <b>establishment and general management of an agency's intellectual property</b> .  <i>[For managing copyright arrangements for publications, use PUBLICATION – 20337. For legal actions relating to establishing and managing infringements of an agency's intellectual property, use LEGAL SERVICES - 20455. For unsuccessful or abandoned attempts to establish intellectual property, use LEGAL SERVICES – 20455.]</i>	Destroy 3 years after intellectual property rights lapse

## LEGAL SERVICES

Class No	Description of records	Rolled-up disposal action
20455 	Records documenting: <ul style="list-style-type: none"><li>• <b>routine operational administrative tasks</b> supporting the legal services function; and</li><li>• the <b>provision of advice and legal services, other than those covered in classes 20449 to 20454.</b></li></ul>	Destroy 7 years after action completed

## OCCUPATIONAL HEALTH & SAFETY (OH&S)

The function of implementing and coordinating occupational health and safety and associated legislation throughout the organisation. Includes safety, occupational hygiene, ergonomic, occupational medicine and first aid measures together with policy, procedural and monitoring matters associated with the organisation's preventive and curative OH&S program. Includes the establishment of committees to investigate and advise on health and safety issues in the workplace.

*Function note:* Occupational Health & Safety is one of the AFDA Express suite of functions covering the management of an agency's human resources. Others are – Compensation, Establishment, Industrial Relations, Personnel, and Staff Development. The OH&S function aims at establishing and implementing preventative health and safety measures. The two functions most closely linked to OH&S are Compensation, which covers the provision of compensation to those who have sustained injuries and Personnel, which manages the engagement of individual staff members and their conditions of employment with the APS. Staff Development should be used for OH&S training, including the handling of hazardous substances.

The function includes such OH&S related activities as:

- accident management;
- providing advice;
- managing agreements;
- managing appeals to the Australian Industrial Relations Commission;
- auditing, inspecting and reviewing;
- managing committees and meetings;
- fulfilling compliance requirements;
- delegating powers and authorising actions;
- health surveillance, promotion, provision of first aid treatment and preventive measures;
- inquiry management;
- planning;
- developing policies and procedures;
- reporting and researching;
- nominating and electing OH&S representatives;
- managing risks; and
- implementing standards.




*For managing tendering, and contracting-out arrangements supporting the OH&S function, use PROCUREMENT.*

*For managing financial transactions supporting OH&S activities, use FINANCIAL MANAGEMENT.*

Class No	Description of records	Rolled-up disposal action
20456 	Records documenting <b>medical examinations of employees undertaken for health surveillance purposes.</b>	Destroy in the year 2040 or 75 years after date of birth whichever is later

*[For records detailing potential exposure to hazardous substances, including asbestos, or for records detailing that an employee was employed at places identified as containing a hazardous substance, use PERSONNEL – 20305.]*

## OCCUPATIONAL HEALTH & SAFETY (OH&S)

Class No	Description of records	Rolled-up disposal action
20457 	<p>The following records supporting the <b>management of hazardous substances</b> listed in the Occupational Health &amp; Safety (Commonwealth Employment) (National Standards) Regulations, including asbestos:</p> <ul style="list-style-type: none"> <li>• <u>environmental monitoring</u> of hazardous substances records;</li> <li>• <u>hazardous substances registers</u> (includes asbestos register);</li> <li>• <u>risk management records for all hazards</u> including substances where risk assessments indicate risk to the employees and where health surveillance and/or monitoring of the employees is necessary;</li> <li>• <u>risk register</u> covering hazard management; and</li> <li>• records of <u>routine inspections of hazardous substances</u>.</li> </ul> <p><i>[For inspections to determine the presence of asbestos or other hazardous substances, use PROPERTY MANAGEMENT – 20319.</i></p> <p><i>For the removal and disposal of asbestos and other hazardous substances, use PROPERTY MANAGEMENT – 20319.</i></p> <p><i>For routine OH&amp;S inspections, other than for hazardous substances, use OCCUPATIONAL HEALTH &amp; SAFETY – 20466.</i></p> <p><i>For OH&amp;S inspections following major accidents, use OCCUPATIONAL HEALTH &amp; SAFETY – 20459.]</i></p>	Destroy 75 years after last action
20458 	<p>Master set of agency <b>manuals, handbooks, directives etc detailing OH&amp;S requirements</b> for specific tasks and work procedures.</p> <p><i>[For master set of other agency manuals, handbooks, directives etc detailing routine procedures, use OCCUPATIONAL HEALTH &amp; SAFETY – 20467.]</i></p>	Destroy 75 years after last action
20459 	<p>Records documenting an <b>OH&amp;S inspection following a major accident</b>.</p> <p><i>[For routine inspections of hazardous substances in the workplace, use OCCUPATIONAL HEALTH &amp; SAFETY – 20457.</i></p> <p><i>For routine OH&amp;S inspections, other than for hazardous substances, use OCCUPATIONAL HEALTH &amp; SAFETY – 20466.]</i></p>	Destroy 75 years after last action

## OCCUPATIONAL HEALTH & SAFETY (OH&S)

Class No	Description of records	Rolled-up disposal action
20460 ■■■■■■■■■■	<p><b>Accident records for death, serious personal injury, dangerous occurrences and incapacity</b> to Commonwealth employees and members of the public.</p> <p><i>[For copies of reports placed on employees' files, use PERSONNEL – 20304.</i></p> <p><i>For copies of reports where a compensation claim has been submitted, use COMPENSATION – 20253.</i></p> <p><i>For copies of accident reports where no compensation claim is lodged, use PERSONNEL – 20304.</i></p> <p><i>For all other accident/incident reports for Commonwealth employees retained for agency OH&amp;S assessment purposes, use OH&amp;S – 20467.</i></p> <p><i>For reports of personal injuries to members of the public aged under 18 years, not resulting in a claim, use OCCUPATIONAL HEALTH &amp; SAFETY – 20464.</i></p> <p><i>For reports of personal injuries to members of the public aged over 18 years, not resulting in a claim, use OCCUPATIONAL HEALTH &amp; SAFETY – 20467.]</i></p>	Destroy 30 years after last action
20461 ■■■■■■■■■■	<p>Records documenting the development and establishment of an agency's <b>asbestos policy</b>.</p> <p><i>[For an agency's OH&amp;S policy, use OCCUPATIONAL HEALTH &amp; SAFETY – 20467.]</i></p>	Destroy 75 years after removal of asbestos
20462 ■■■■■■■■■■	<p>Records documenting <b>risk management of OH&amp;S hazards</b> where risk assessments indicate <b>no risk</b> to employees and where no health surveillance and/or surveillance and/or monitoring is required. Includes documentation covering each state of the process, treatment schedules and action plans.</p> <p><i>[For risk assessments which indicate a risk to employees, use OCCUPATIONAL HEALTH &amp; SAFETY – 20457.]</i></p>	Destroy 30 years after last action
20463 ■■■■■■■■■■	<p><b>Accident registers.</b></p>	Destroy 30 years after last action
20464 ■■■■■■■■■■	<p><b>Accident/incident reports</b> (originals) of personal injuries to members of the public aged <b>under 18 years</b>, not resulting in claims for compensation.</p> <p><i>[For reports of personal injuries to members of the public aged over 18 years, not resulting in a claim, use OCCUPATIONAL HEALTH &amp; SAFETY – 20467.</i></p> <p><i>For records documenting a claim for compensation by a member of the public, use COMPENSATION – 20255.]</i></p>	Destroy when person reaches 25 years of age, or 7 years after last action whichever is later



## OCCUPATIONAL HEALTH & SAFETY (OH&S)

Class No	Description of records	Rolled-up disposal action
20465 ■■■■■■■■■■	Records documenting <b>payment of the annual compulsory contribution</b> supporting the administration of the <i>Occupational Health &amp; Safety (Commonwealth Employment) Act 1991</i> required under Part 4A.	Destroy 10 years after action completed
20466 ■■■■■■■■■■	Records of inquiries, <b>routine inspections</b> and reviews including: <ul style="list-style-type: none"> <li>• <u>inquiry</u> into an <u>agency's performance</u> of the OH&amp;S function;</li> <li>• <u>routine inspections</u> carried out by Comcare under the Planned Investigation program and/or self-audit program or as a result of a safety dispute; and</li> <li>• <u>reviews and monitoring</u> of an agency's OH&amp;S programs and operations.</li> </ul> <p><i>[For OH&amp;S inspections following a major incident, use OCCUPATIONAL HEALTH &amp; SAFETY – 20459.</i></p> <p><i>[For routine inspections of hazardous substances, use OCCUPATIONAL HEALTH &amp; SAFETY – 20457.]</i></p>	Destroy 10 years after action completed
20467 ■■■■■■■■■■	Records documenting: <ul style="list-style-type: none"> <li>• <b>routine operational administrative tasks</b> supporting the function; and</li> <li>• <b>occupational health and safety activities, other than those covered in classes 20456 to 20466.</b></li> </ul> <p><i>[For the training of staff in handling hazardous substances, use STAFF DEVELOPMENT – 20338.]</i></p>	Destroy 7 years after action completed

## PERSONNEL

The function of managing all employees in the organisation employed under the *Public Service Act 1999* and previous legislation and volunteer workers. Includes review of actions, overtime, salaries, superannuation and working hours for individuals.

*Function note:* Personnel is one of the AFDA Express suite of functions covering the management of an agency's human resources. Other functions are – Compensation, Establishment, Industrial Relations, Occupational Health & Safety (OH&S), and Staff Development. The Personnel function covers the engagement of individual staff members and their conditions of employment, including appraising performance and resolving disputes. Compensation supports employees who have sustained injuries while at work; Establishment covers setting up and changing the organisational structure; OH&S relates to implementing and coordinating preventative health and safety measures in the workplace; Industrial Relations establishes and manages the overall relationship between management and agency employees and Staff Development supports the development of staff skills and abilities.

Before using this Authority, agencies who employ staff under legislation other than the *Public Service Act 1999*, should check their own enabling legislation and other regulatory directives for major variations from the Public Service Act in scope and conditions of employment. In cases where the variations differ greatly AFDA and consequentially AFDA Express is not applicable and should not be used. In such circumstances relevant classes must be included under the agency's own Records Authority.

This function includes such personnel related activities as:

- negotiating and establishing employment agreements (eg AWAs);
- managing allowances;
- managing conditions of employment for individual workers;
- counselling;
- handling grievances, disciplinary action and appeals;
- handling infringements;
- managing insurance and claims;
- administering leave;
- moving personnel;
- supporting performance management frameworks;
- managing recruitment and separation from the APS;
- administering rehabilitation not related to a compensation case;
- arranging staff representations;
- administering salaries;
- overseeing personnel security requirements;
- supporting social clubs; and
- seeking and using staff suggestions.

The performance of the function is supported by routine administrative tasks such as:


- providing and receiving advice;
- managing committees and meetings;
- fulfilling compliance requirements;
- delegating powers and authorising actions;
- planning;
- developing policies and procedures;
- reporting; and
- reviewing and evaluating.

*For managing tendering, and contracting-out arrangements supporting the personnel function, use PROCUREMENT.*

*For managing financial transactions supporting personnel activities, use FINANCIAL MANAGEMENT.*

## PERSONNEL

For the transfer of Personal Security Files between Commonwealth and State and Territory agencies, use the General Records Authority for the Transfer of Custody and Ownership of Personal Security Files (PSFs).

Class No	Description of records	Rolled-up disposal action
20304 	<p><b>Employment records of all ongoing/permanent and SES employees and Heads of Agencies, kept in a consolidated format</b> (as 'Personal files') <b>or as separate records</b>, including:</p> <ul style="list-style-type: none"> <li>• <u>letters of appointments/ promotions</u> and conditions of engagement and acceptance letters;</li> <li>• <u>agreements</u> with individual employees (eg AWA's);</li> <li>• <u>details of assigned duties</u> (initial/subsequent variations including higher duties);</li> <li>• <u>probation and increment reports</u>;</li> <li>• <u>medical examinations and health declarations</u>;</li> <li>• <u>accident records</u>;</li> <li>• <u>identity records</u> (eg birth certificates, qualifications);</li> <li>• declarations of any <u>conflict of interest</u>;</li> <li>• <u>official secrets declarations</u>;</li> <li>• <u>investigations of misconduct</u> where allegations are proved unfounded and the employee has requested the records be retained;</li> <li>• details of <u>long service leave, parental leave, military leave and leave without pay</u>;</li> <li>• details of <u>redeployments, classification reductions</u>;</li> <li>• <u>salary payments</u> (pay history records) including superannuation deductions and agency contributions, recovery of overpayments, deductions to satisfy a judgment debt; and</li> <li>• <u>separation records</u>.</li> </ul>	Destroy 75 years after date of birth of employee or 7 years after last action, whichever is later

*[For collective/enterprise bargaining agreements, use INDUSTRIAL RELATIONS – 20272.*

*For agreements with other employees (eg non-ongoing), use PERSONNEL – 20313.*

*For investigations into breaches of the code of conduct that resulted in disciplinary action, use PERSONNEL – 20308.*

*For investigations into breaches of the code of conduct that were proved to be frivolous or vexatious, or proved to be unfounded and the employee has requested the records not be retained, use PERSONNEL – 20312.*

*For records documenting potential exposure of staff members to hazardous substances, including asbestos, use PERSONNEL – 20305.*

*For compensation cases where a claim has been lodged, use COMPENSATION – 20253.*


*For records documenting security checks (vetting), use PERSONNEL – 20307.*

*For records documenting the development and review of performance agreements, use PERSONNEL – 20310.*

## PERSONNEL

Class No	Description of records	Rolled-up disposal action
(cont)	<i>For routine low level records supporting the payment of salaries, use PERSONNEL – 20311 or 20313.]</i>	
20305 ■■■■■■■■■■	Records documenting potential <b>exposure to hazardous substances</b> , including asbestos, or records detailing that an employee was located at places identified as containing hazardous substances.	Destroy in the year 2040 or 75 years after date of birth whichever is later
20306 ■■■■■■■■■■	Register of staff <b>security clearances and passes</b> .  <i>[For records documenting security checks (vetting), use PERSONNEL – 20307.]</i>	Destroy 10 years after last entry
20307 ■■■■■■■■■■	Records documenting <b>security checks (vetting)</b> carried out as part of pre-engagement and pre-employment checks, or periodic reviews.  <i>[For the transfer of Personal Security Files between Commonwealth and State and Territory agencies, use the General Records Authority for the Transfer of Custody and Ownership of Personal Security Files (PSFs).]</i>  <i>For an agency's register of security passes, use PERSONNEL – 20306.]</i>	Destroy 5 years after separation from the APS or 6 years after the date of the last clearance check on file, whichever is sooner
20308 ■■■■■■■■■■	Records of investigations into <b>breaches of the Code of Conduct which result in disciplinary action</b> being taken.  <i>[For allegations into breaches of the Code of Conduct that were proved to be frivolous or vexatious, or proved to be unfounded and the employee has requested the records not be retained, use PERSONNEL – 20312.]</i>  <i>For investigations of misconduct which resulted in no disciplinary action being taken where the employee has requested the records be retained, use PERSONNEL – 20304.]</i>  <i>For investigations of misconduct which resulted in no disciplinary action being taken and the employee has not requested that the records be retained, use PERSONNEL – 20312.]</i>	Destroy 5 years after action completed
20310 ■■■■■■■■■■	Records documenting the <b>development and review of individual performance agreements and assessments</b> .	Destroy 2 years after action completed
20311 ■■■■■■■■■■	Records documenting <b>taxation declarations</b> .	Destroy 2 years after action completed
20312 ■■■■■■■■■■	Records documenting <b>investigations into misconduct</b> where: <ul style="list-style-type: none"> <li>the <u>allegations</u> were proved to be <u>frivolous or vexatious</u> and where there was no follow-up investigation;</li> <li>the <u>allegations</u> were investigated and proved to be <u>unfounded and the employee has not requested the retention of the records;</u> and</li> </ul>	Destroy 18 months after action/investigation is completed

## PERSONNEL

Class No	Description of records	Rolled-up disposal action
(cont)	<ul style="list-style-type: none"><li>• <u>reviews not proceeded with.</u></li></ul> <p><i>[For investigations of misconduct where allegations are proved unfounded and the employee has requested the records be retained, use PERSONNEL – 20304</i></p> <p><i>For investigations of misconduct (eg a breach of the Code of Conduct) or criminal activity which results in disciplinary action being taken, use PERSONNEL – 20308.]</i></p>	
20313 	Records documenting: <ul style="list-style-type: none"><li>• <b>routine operational administrative tasks</b> supporting the function; and</li><li>• <b>personnel activities, other than those covered in classes 20304 to 20308, and 20310 to 20312.</b></li></ul>	Destroy 7 years after action completed

## PROCUREMENT

The function of obtaining goods and services to support an agency's business, including the services of consultants and contractors. Includes the activities of acquisition, agreements, contracting-out and tendering. Also includes the development and review of policies and procedures to support the function, planning the procurement process, assessment and management of associated risks, auditing, authorisation of delegates and reporting. Excludes acquisition of land and construction of buildings, and procurement undertaken to support the Defence combat function.

*Function note:* Procurement covers both simple purchases and complex contractual acquisition processes to obtain goods and services needed to support the performance of administrative functions and agency core businesses. It is closely linked to the Financial Management function through managing financial transactions associated with the procurement activities.

This function includes such procurement activities as:

- acquiring goods and services;
- negotiating, establishing, maintaining and reviewing agreements;
- complaint handling;
- undertaking and managing construction works;
- contracting-out;
- evaluating goods and services;
- leasing; and
- tendering and finalising contracts.

The performance of the function is supported by routine administrative tasks such as:

- providing advice;
- auditing;
- managing committees and meetings;
- fulfilling compliance requirements;
- delegating powers and authorising actions;
- planning;
- developing policies and procedures;
- reviewing and reporting; and
- managing risks.


*For managing financial transactions supporting procurement activities, use FINANCIAL MANAGEMENT.*

*For legal advice supporting procurement activities, use LEGAL SERVICES.*

*For information on records issues relating to outsourcing and contracting-out, see GDA 25.*

Class No	Description of records	Rolled-up disposal action
20314 ■■■■■■■■■■	Signed <b>contracts under seal prior to 15 November 2005</b> and supporting records and tender documentation: <b>Western Australia</b> .	Destroy 21 years after completion or other termination of contract
20315 ■■■■■■■■■■	Signed <b>contracts under seal</b> and supporting records and tender documentation: <b>Victoria</b> and <b>South Australia</b> .	Destroy 15 years after completion or other termination of contract
20316 ■■■■■■■■■■	Signed <b>contracts under seal</b> and supporting records and tender documentation: <b>New South Wales, Western Australia (from 15 November 2005), Queensland, Australia Capital Territory, Northern Territory</b> and <b>Tasmania</b> .	Destroy 12 years after completion or other termination of contract

## PROCUREMENT

Class No	Description of records	Rolled-up disposal action
20317 	Records documenting: <ul style="list-style-type: none"><li>• <b>routine operational administrative tasks</b> supporting the function; and</li><li>• <b>procurement activities, other than those covered in classes 20314 to 20316.</b></li></ul>	Destroy 7 years after action completed

## PROPERTY MANAGEMENT

The function of managing land and working, storage or living spaces within premises, and of acquiring, constructing, fitting-out, managing, maintaining, protecting and disposing of premises. Includes the removal of pollutants and waste. This function also covers properties owned by the Commonwealth or Commonwealth institutions which have national significance including natural, historic and indigenous significance and are listed in the Register of the National Estate, by the World Heritage Commission, classified by the National Trusts or on State heritage listings.

*Function Note:* Property Management is one of the AFDA Express functions that relates to managing agency assets. The other asset management functions are – Equipment & Stores, Fleet Management and Technology & Telecommunications. The Property Management function covers the acquisition, maintenance, use and disposal of land and buildings.

Care should be taken when using this function for records covering the management of specialised premises, i.e. purpose-built, specialised premises supporting core functions, or with unique design features eg army barracks, immigration detention centres, Lucas Heights Nuclear Reactor Building or Mt Stromlo Observatory. While this function should provide classes that cover most property management matters relating to specialised premises, there may be unique requirements that will necessitate specific classes for specialised premises within an agency's own Records Authority.

This function includes such property management related activities as:

- acquiring (including compulsory acquisition) purchasing and leasing;
- managing compensation appeals;
- constructing, conserving and carrying out enhancements;
- disposing of property;
- implementing disaster plans;
- carrying out inspections (routine and to determine the existence of contaminants);
- managing fit-outs;
- installing equipment;
- maintaining properties;
- undertaking inventories;
- managing lost property;
- arranging moves;
- removing hazardous material; and
- managing property security.

The performance of the function is supported by routine administrative tasks such as:

- providing advice;
- establishing and managing agreements;
- managing routine arrangements for the use of properties;
- managing internal and external audits;
- managing committees and meetings;
- fulfilling compliance requirements;
- managing contracting-out arrangements;
- delegating powers and authorising actions;
- planning;
- developing policies and procedures;
- managing property insurance and claims;
- reporting, reviewing and evaluating; and
- managing risks.


*For managing financial transactions supporting property management activities, use FINANCIAL MANAGEMENT.*

*For legal advice supporting any property management activity, use LEGAL SERVICES.*



## PROPERTY MANAGEMENT

For information on records issues relating to outsourcing and contracting-out, see GDA 25.

Class No	Description of records	Rolled-up disposal action
20318 	<p><b>Significant records</b> documenting the following property management activities relating to the <b>acquisition</b> (including compulsory acquisition), <b>management and disposal of properties of national significance</b> (see function scope note) such as:</p> <ul style="list-style-type: none"> <li>• <u>acquisitions</u> (eg property investigations and reports, environmental impact assessments, budgetary estimates and cost benefit analyses);</li> <li>• <u>committee records</u> (both internal and external) managing the properties;</li> <li>• <u>conservation and maintenance activities</u> undertaken to preserve, protect and maintain, restore and enhance properties;</li> <li>• <u>construction</u> (eg consultations with owners and local authorities, specifications, building plans, project management records);</li> <li>• <u>implementation plans and repair</u> records following a disaster;</li> <li>• <u>disposing of properties</u> (eg assessments and investigation, valuation certificates, details of preparation undertaken before disposal i.e. 'making good');</li> <li>• <u>equipment installation</u> (major);</li> <li>• <u>fitting-out of properties</u> (eg justification, notification of intent and assessment of obligations regarding heritage properties);</li> <li>• <u>plans, reports, reviews</u>;</li> </ul> <p>and <b>other significant records documenting</b>:</p> <ul style="list-style-type: none"> <li>• Records documenting the <u>restoration of contaminated land</u>; and</li> <li>• Records documenting <u>major security breaches or incidents</u> (eg which result in the laying of charges, or where sabotage is strongly suspected). Includes break-ins, unauthorised access or entry/trespass, intrusions into restricted areas, terrorism, intentional damage, bomb threats, fires, records of investigations, liaison with law-enforcement agencies.</li> </ul>	Retain as national archives

*[For property management records that do not fall into the significant category detailed in 20318 or are not covered in classes 20319 to 20327, use PROPERTY MANAGEMENT – 20328.*

*For appeals made against the compulsory acquisition of land, use PROPERTY MANAGEMENT – 20324.*

*For Deeds and Certificates of Title of buildings of national significance, use PROPERTY MANAGEMENT – 20326.*




*For contracts signed under seal for the purchase of land and buildings, use PROPERTY MANAGEMENT – 20320, 20321 and 20322.*

*For minor security breaches (eg which do not relate to the laying of charges, or where sabotage is not suspected), use PROPERTY MANAGEMENT – 20328.]*

## PROPERTY MANAGEMENT

Class No	Description of records	Rolled-up disposal action
20319 ██████████	Records documenting <b>audits and inspections undertaken to determine whether asbestos and other hazardous materials are present</b> in the fabric of a building or land, and its subsequent removal.  <i>[For the removal and disposal of hazardous waste, use PROPERTY MANAGEMENT – 20323.]</i>	Destroy 75 years after audit or inspection and/or removal of substances or transfer to new owner if sold before this date. (See instruction on the transfer of custody and ownership of Commonwealth records in Introduction)
20320 ██████████	Signed <b>contracts under seal prior to 15 November 2005</b> and supporting records: <b>Western Australia</b> .	Destroy 21 years after completion or other termination of contract
20321 ██████████	Signed <b>contracts under seal</b> and supporting records: <b>Victoria and South Australia</b> .	Destroy 15 years after completion or other termination of contract
20322 ██████████	Signed <b>contracts under seal</b> and supporting records: <b>New South Wales, Western Australia (from 15 November 2005), Queensland, Australia Capital Territory, Northern Territory and Tasmania</b> .	Destroy 12 years after completion or other termination of contract
20323 ██████████	Records documenting <b>removal, storage and disposal of hazardous waste</b> (eg chemicals from laboratories and pesticides).  <i>[For the identification and removal of asbestos and other hazardous materials from the fabric of a building or lands, use PROPERTY MANAGEMENT – 20319.</i> <i>For the removal of non-toxic waste, use PROPERTY MANAGEMENT – 20328.]</i>	Destroy 30 years after action completed
20324 ██████████	Records documenting <b>claims and any subsequent appeals made against the compulsory acquisition</b> of property and/or the <b>level of compensation</b> .  <i>[For compulsory acquisition of buildings of national significance, use PROPERTY MANAGEMENT – 20318</i> <i>For the acquisition of buildings without national significance, including compulsory acquisition, use PROPERTY MANAGEMENT – 20328.</i> <i>For legal advice relating to claims and appeals, use LEGAL SERVICES – 20449 or 20455.</i> <i>For insurance claims for damages to and/or loss of property, PROPERTY MANAGEMENT – 20328.]</i>	Destroy 10 years after finalisation or withdrawal of claim
20325 ██████████	Records documenting the following <b>property management activities</b> carried out on buildings <b>without national significance</b> : <ul style="list-style-type: none"> <li>• <u>construction</u>, <u>conservation</u>, <u>restoration</u> and <u>enhancements</u>;</li> <li>• <u>major maintenance</u>;</li> <li>• <u>fit-outs</u>;</li> </ul>	Destroy 10 years after property is disposed of, or after equipment is replaced or after next fit-out, or transfer to new owner or lessee if

## PROPERTY MANAGEMENT

Class No	Description of records	Rolled-up disposal action
(cont)	<ul style="list-style-type: none"> <li>• <u>implementation of counter disaster plans after significant disasters</u>;</li> <li>• <u>repairs</u> carried out after a disaster or major damage;</li> <li>• internal <u>reporting</u> and reports made to external authorities; and</li> <li>• <u>installation of equipment</u>.</li> </ul> <p><i>[For records relating to the management and disposal of properties of national significance, use PROPERTY MANAGEMENT – 20318.</i></p> <p><i>For records documenting all other works and management activities carried out on buildings without national significance, use PROPERTY MANAGEMENT – 20328.</i></p> <p><i>For the acquisition of buildings without national significance, including compulsory acquisition, use PROPERTY MANAGEMENT – 20328.</i></p> <p><i>For contracts signed under seal for the purchase of buildings without national significance, use PROPERTY MANAGEMENT – 20320 to 20322.</i></p> <p><i>For Deeds and Certificates of Title of buildings without national significance, use PROPERTY MANAGEMENT – 20326.]</i></p>	Rolled-up disposal action required. (See instructions on the transfer of custody and ownership of Commonwealth records in Introduction)
20326 	<p><b>Deeds and certificates of title</b> for property owned by the agency.</p> <p><i>[For the acquisition and disposal of properties of national significance, use PROPERTY MANAGEMENT – 20318.</i></p> <p><i>For the acquisition of buildings without national significance, including compulsory acquisition, use PROPERTY MANAGEMENT – 20328.]</i></p>	Transfer to new owner when property is disposed of. (See instruction on the transfer of custody and ownership of Commonwealth record in Introduction)
20327 	<b>Surveillance camera tapes.</b>	Destroy when long longer required by agency
20328 	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>• <b>routine operational administrative tasks</b> supporting the function; and</li> <li>• <b>property management activities, other than those covered in classes 20318 to 20327.</b> Includes acquiring and disposing of properties without national significance.</li> </ul>	Destroy 7 years after action completed

## PUBLICATION

The function of having works, irrespective of format, issued for sale or distribution internally or to the public. Includes drafting, manual or electronic production (design, layout, typesetting, printing etc), marketing and supply of publications by the organisation. Includes external publications (such as technical papers, issues papers, articles for professional journals and reports) and leaflets which aim to promote the services and public image of the organisation, and internal publications (such as newsletters, circulars, procedure manuals etc), which are not produced for public relations reasons. Also includes multi media publications, CD-ROM and online information services.

*Function note:* Publication is one of the functions relating to the management of an agency's information and knowledge resources. The other is Information Management. Publication relates to published works created by the agency and Information Management covers the collection, dissemination, use and control of information sources required by the agency to carry out its business activities. The Publication function supports all administrative functions and core businesses in the production and distribution of publications to support the goals and objectives of the agency.

This function includes such publication related activities as:

- negotiating, establishing, maintaining and reviewing agreements and joint ventures;
- managing corporate style;
- disposing of publications;
- distributing publications;
- drafting;
- managing intellectual property;
- marketing;
- managing publication production (covers paper, electronic and films and video); and
- stocktaking.

The performance of the function is supported by routine administrative tasks such as:





- providing advice and responding to enquiries;
- managing routine arrangements for the use of properties;
- managing internal and external audits;
- managing committees and meetings;
- fulfilling compliance requirements;
- delegating powers and authorising actions;
- planning;
- developing policies and procedures;
- managing property insurance and claims;
- research and reporting;
- reviewing and evaluating; and
- managing risks.

*For managing acquisition, tendering, and contracting-out arrangements supporting the publication function, use PROCUREMENT.*





*For managing financial transactions supporting publication activities, use FINANCIAL MANAGEMENT.*

Class No	Description of records	Rolled-up disposal action
20329 ■■■■■■■■■■	The following <b>significant records</b> : <ul style="list-style-type: none"> <li>• Master copy of <u>agency produced films</u>;</li> <li>• Master set of agency <u>publications produced before 1968</u> (i.e. before the commencement of legal deposit under the <i>Copyright Act 1968</i>);</li> </ul>	Retain as national archives

## PUBLICATION

Class No	Description of records	Rolled-up disposal action
(cont)	<ul style="list-style-type: none"> <li>• <u>Publications produced only</u> in an electronic format on agency's public website; and</li> <li>• <u>Snapshot of agency's public website</u> taken in accordance with National Archives policy on archiving websites.</li> </ul> <p><i>[For managing publications produced after 1968, use PUBLICATION – 20331.</i></p> <p><i>For publication records that do not fall into the significant category detailed in 20329 or are not covered in classes 20330 to 20336, use PUBLICATION – 20337.]</i></p>	
20330 	<p><b>Agency publications produced after 1968</b> (i.e. after commencement of legal deposit with the National Library of Australia under the <i>Copyright Act 1968</i>, which was extended to include the Commonwealth Library Deposit and Free Issues Scheme in 1970). Includes all publications on CD-ROMs, disks, videos, audio tapes produced for the public using Commonwealth funding and covers: books, booklets, brochures, conference proceedings, pamphlets, programs, newsletters, published reports (eg annual reports), maps, plans, charts, posters, greeting cards and calendars.</p> <p><i>[For agency publications produced before 1968, use PUBLICATION – 20329.]</i></p>	(1) Lodge with NLA according to legal deposit requirements and adhere to the Commonwealth Library Deposit and Free Issues Scheme and (2) place master set with agency's Library and retain according to 4.1 of ALIA Guidelines for Australian Special Libraries
20331 	<p>Agency publications other than those paper publications lodged with the National Library of Australia (NLA) under legal deposit or electronic publications selected for preservation by the NLAs Pandora project (eg procedures, manuals and circulars).</p> <p><i>[For agency publications produced before 1968 and for electronic publications produced only on an agency's public website, use PUBLICATION – 20329.</i></p> <p><i>For paper publications lodged with the NLA under legal deposit, use PUBLICATION – 20330.]</i></p>	Destroy according to disposal action directed under a relevant function in this Authority or an agency's RDA
20332 	<p>Records documenting <b>agreements</b> made when an <b>agency vests Crown copyright</b> in another author or person/organisation.</p>	Destroy 50 years after date of agreement or after the expiry date as specified in the agreement
20333 	<p>Signed <b>joint venture contracts under seal period to 15 November 2005</b> and supporting records: <b>Western Australia</b>.</p> <p><i>[For records supporting the management of joint ventures undertaken to support the publication function, use PUBLICATION – 20337.</i></p> <p><i>For joint venture agreements that are not contracts under seal, or agreements that vest Crown copyright, use PUBLICATION – 20337.]</i></p>	Destroy 21 years after completion or other termination of contract

## PUBLICATION

Class No	Description of records	Rolled-up disposal action
20334 	Signed <b>joint venture contracts under seal</b> and supporting records: <b>Victoria and South Australia</b> .  <i>[For records supporting the management of joint ventures undertaken to support the publication function, use PUBLICATION – 20337.</i>  <i>For joint venture agreements that are not contracts under seal, or agreements that vest Crown copyright, use PUBLICATION – 20337.]</i>	Destroy 15 years after completion or other termination of contract
20335 	Signed <b>joint venture contracts under seal</b> and supporting records: <b>New South Wales, Western Australia (from 15 November 2005), Queensland, Australia Capital Territory, Northern Territory and Tasmania</b> .  <i>[For records supporting the management of joint ventures undertaken to support the publication function, use PUBLICATION – 20337.</i>  <i>For joint venture agreements that are not contracts under seal, or agreements that vest Crown copyright, use PUBLICATION – 20337.]</i>	Destroy 12 years after completion or other termination of contract
20336 	Records documenting the <b>production process</b> , whatever the media, such as design, layout, mark-up, printing, binding, producing electronic media products and preparation of source files.	Destroy 3 years after production
20337 	Records documenting: <ul style="list-style-type: none"> <li>• <b>routine operational administrative tasks</b> supporting the function; and</li> <li>• <b>publication activities, other than those covered in classes 20329 to 20336.</b></li> </ul>	Destroy 7 years after action completed

## STAFF DEVELOPMENT

The function of encouraging staff to develop their skills and abilities (through activities, programs and events) to maximize their potential and increase their productivity. Includes identifying and implementing all aspects of training needs and programs (internal and external) available to staff.

*Function notes:* Staff Development is one of the AFDA Express suite of functions covering the management of an agency's human resources. Others are – Compensation, Establishment, Industrial Relations, Occupational Health & Safety (OH&S) and Personnel. Staff Development relates to acquiring and updating skills and knowledge for both career and personal advancement. It is closely related to Personnel which covers the management of staff from recruitment to separation from the APS and establishing employment conditions. It is also linked to the Establishment function which is concerned with setting up the structure of the agency, including the identification of positions, classifications and duties.

The function includes such staff development related activities as:

- developing addresses and presentations;
- conference management; and
- training.

The performance of the function is supported by routine administrative tasks such as:

- providing advice;
- allocating allowances;
- making arrangements;
- auditing;
- managing committees and meetings;
- fulfilling compliance requirements;
- delegating powers and authorising actions;
- evaluating, reviewing and reporting on the management of the function;
- planning; and
- developing policies and procedures.

*For managing tendering, and contracting-out arrangements supporting the staff development function, use PROCUREMENT.*

*For managing financial transactions supporting staff development activities, use FINANCIAL MANAGEMENT.*

Class No	Description of records	Rolled-up disposal action
20338 ■■■■■■■■■■	Records documenting <b>OH&amp;S training</b> including hazardous substance training and training to staff working in confined spaces. Includes the agency's OH&S training register.	Destroy 50 years after training is completed
20339 ■■■■■■■■■■	Records documenting: <ul style="list-style-type: none"> <li>• <b>routine operational administrative tasks</b> supporting the function; and</li> <li>• <b>staff development activities, other than those covered in class 20338.</b></li> </ul>	Destroy 7 years after action completed

*[For records of individual assessments and examination results, use PERSONNEL – 20304.*

*For records documenting the publication of training material, use PUBLICATION.]*

## STRATEGIC MANAGEMENT

The function of applying broad systematic management planning for the organisation. Includes the activities involved with the development, monitoring and reviewing of business plans, strategic plans, corporate plans, and other long-term organisational strategies. Also includes the development of the corporate mission, objectives, continuous improvement processes, quality assurance and certification, and the formulation and amendment of legislation which provides the legislative basis for the organisation.

*Function note:* Strategic Management aims at aligning policies, plans and strategic priorities across the agency to achieve goals and objectives. Activities undertaken to provide overall direction for the agency usually involve senior agency officers and the executive team. Strategic Management decisions impact on resource allocations through the Financial Management function, and the administrative structure of the organisation through the Establishment function.

This function includes such strategic management activities as:

- providing advice;
- negotiating, establishing, maintaining and reviewing agreements;
- auditing;
- fulfilling compliance requirements;
- developing agency-wide strategies and processes to deliver customer services, to prevent fraud; and applying for grants;
- identifying and investigating fraud allegations;
- developing proposals for new and amended legislation;
- managing meetings, internal management conferences and participation in external or inter-agency committees;
- reporting, evaluating and reviewing strategic performance, programs and services;
- developing national and unit level work plans aimed at achieving agency objectives;
- developing plans to support specific ongoing cross agency administrative and operational activities (eg fraud control plan, business continuity plans, risk management plans);
- developing and implementing government-wide and agency specific policies, procedures and instructions and commenting on government-wide strategic management policies;
- developing formal and periodic reports;
- undertaking research and responding to surveys of other agencies;
- managing risks across the agency; and
- implementing industry standards.



*For managing tendering, and contracting-out arrangements supporting the strategic management function, use PROCUREMENT.*

*For managing financial transactions supporting strategic management activities, use FINANCIAL MANAGEMENT.*

Class No	Description of records	Rolled-up disposal action
20340 ■■■■■■■■■■	<p>The following <b>significant records</b> documenting the strategic management function:</p> <ul style="list-style-type: none"> <li>• proposals for <u>new agency legislation and amendments</u> to existing legislation;</li> <li>• <u>high-level corporate committee</u> records (eg Executive Management Committees);</li> <li>• agency-wide <u>strategic corporate or business plans</u>;</li> <li>• agency-wide <u>strategic management policies</u> (eg Fraud Control Policies);</li> <li>• <u>formal reports</u> and reports made to <u>external agencies</u> on the strategic management function (eg reports on the agency's</li> </ul>	Retain as national archives



## STRATEGIC MANAGEMENT

Class No	Description of records	Rolled-up disposal action
(cont)	performance against corporate objectives and goals); and <ul style="list-style-type: none"> <li>• <u>agency performance expectation</u> records.</li> </ul>	
	<p><i>[For strategic management records that do not fall into the significant category detailed in class 20340 or are not related to accountability and cross agency management activities listed in 20341, use STRATEGIC MANAGEMENT - 20342.]</i></p>	
20341 	Records of the following <b>accountability and cross agency management activities</b> : <ul style="list-style-type: none"> <li>• <u>audits</u> on cross agency operations;</li> <li>• <u>internal committees</u> considering specific strategic management activities (eg audit committees, steering committees, ad hoc committees); and</li> <li>• <u>reviews</u> of strategic management programs and operations.</li> </ul>	Destroy 10 years after action completed
20342 	Records documenting: <ul style="list-style-type: none"> <li>• <b>routine operational administrative tasks</b> supporting the function; and</li> <li>• <b>strategic management activities, other than those covered in classes 20340 and 20341.</b></li> </ul>	Destroy 7 years after action completed

## TECHNOLOGY & TELECOMMUNICATIONS

The function of developing and acquiring, testing and implementing applications, systems and databases to support the business needs of the organisation, to capture, store, retrieve, transfer, communicate and disseminate information through automated systems. Includes the evaluation of software and hardware, licensing and disposal of systems. Also includes communication network systems such as video conferencing, voice mail and electronic mail and the technical aspects of the internet, intranet and Web Sites.

*Function note:* Technology & Telecommunications is one of the AFDA Express functions that relates to managing agency assets. The other asset management functions are – Equipment & Stores, Fleet Management, and Property Management. The function relates to the management of an agency's computer hardware and software and telecommunications equipment eg phones, faxes, mobiles etc. The acquisition of technology and telecommunication products and services through leasing, tendering and contracting arrangements is covered by the Procurement function. Training staff in how to use technology and telecommunication equipment is covered by Staff Development.

This function includes such technology and telecommunication **development** activities as:

- analysing and developing business or technical models or prototype;
- supporting work of certifying authorities;
- evaluating 'commercial-off-the-shelf' products;
- researching;
- configuring corporate software;
- developing and modifying specific agency applications;
- post implementation reviews;
- testing applications; and
- rolling out and installing new systems, including migrating records between systems.

and such **ongoing technical management** activities as:

- allocating equipment, services and facilities;
- managing databases;
- managing the implementation of security and privacy arrangements and investigating security breaches;
- relocating and maintaining systems and equipment and carrying out routine inspections;
- transferring or integrating systems following an administrative change;
- supporting users (eg help desk operations; and
- maintaining data dictionaries.



The function is supported by **regular, routine administrative tasks** such as:

- providing advice;
- establishing and managing agreements;
- managing internal and external audits;
- managing committees and meetings;
- fulfilling compliance requirements;
- developing customer service standards;
- delegating powers and authorising actions;
- evaluating services (eg contracting-out activities);
- managing an agency's technological and telecommunications intellectual property;
- planning, developing policies and procedures;
- project management and managing risks; and
- reporting and reviewing.

*For managing tendering, and contracting-out arrangements supporting the technology and telecommunications function, use PROCUREMENT.*

*For managing financial transactions supporting technology and telecommunication activities, use FINANCIAL MANAGEMENT.*

## TECHNOLOGY & TELECOMMUNICATIONS

Class No	Description of records	Rolled-up disposal action
20343 	Records documenting the <b>application of an agency's counter-disaster plan or business continuity plan following an incident.</b> Includes records covering the protection and re-establishment of data and the agency backup plan.	Retain as national archives
20344 	Records documenting: <ul style="list-style-type: none"> <li>• <b>routine operational administrative tasks</b> supporting the function; and</li> <li>• <b>technology and telecommunication development and ongoing technical management activities, other than those covered in class 20343.</b></li> </ul>	Destroy 7 years after action completed. For system development and modification records, 7 years after the system is defunct and any data supported is either migrated or destroyed

*[For records documenting investigations into breaches of the code of conduct in relation to the use of technology by staff, use PERSONNEL – 20304, 20308 or 20312.*

*For master metadata control records in electronic format, use INFORMATION MANAGEMENT – 20444.]*