

## 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 acquisition, 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.

### Acquisition

The process of gaining ownership or use of property and other items or the provision of services required in the conduct of business through purchase or requisitions.

Class No	Description of Records	Disposal Action
N/A	<i>[For the acquisition of library and record materials and/or services (eg on-line services, subscription renewals, media monitoring services, inter-library loan payments, collection management systems) where there is no tender or contracting-out process, use PROCUREMENT – Acquisition.</i>	N/A

*For the management of media items, use COMMUNITY RELATIONS - Media Relations and GOVERNMENT RELATIONS - Media Relations.*

*For joining organisations to obtain subscriptions to an organisation's publications, use COMMUNITY RELATIONS - Liaison.*

*For arranging loans and inter-library loans of library material, use INFORMATION MANAGEMENT - Control.]*

### Advice

The activities associated with offering opinions by or to the organisation as to an action or judgement. Includes the process of advising.

Class No	Description of records	Disposal action
1470	Records documenting the receipt and provision of advice provided on the information management function.	Destroy 1 year after action completed
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*[For handling enquiries from employees or other government organisations, use INFORMATION MANAGEMENT - Enquiries.]*

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### Agreements

The processes associated with the establishment, maintenance, review and negotiation of agreements.

Class No	Description of records	Disposal action
1471 *1471*	Final version of agreements made covering the information management function (eg agreements made with National Library of Australia for Kinetica services and agreements made under Section 35 of the current Archives Act, 1983).	Destroy 7 years after expiry of agreement
	<i>[For managing financial transactions associated with any agreement, use FINANCIAL MANAGEMENT - Accounting and/or FINANCIAL MANAGEMENT - Payment.]</i>	
1472 *1472*	Records documenting negotiations, establishment, maintenance and review of agreements.	Destroy 7 years after expiry of agreement

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### Audit

The activities associated with officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of the organisation in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

Class No	Description of records	Disposal action
1473 *1473*	Final internal and external audit report relating to the information management function. Includes the final reports from audits conducted by the Privacy Commissioner or the Australian National Audit Office.	Destroy 5 years after action completed
1474 *1474*	Records documenting the planning and conduct of internal and external audits relating to the information management function. Includes: <ul style="list-style-type: none"> <li>• liaison with the auditing body;</li> <li>• minutes of meetings;</li> <li>• notes taken at opening and exit interviews;</li> <li>• draft report; and</li> <li>• comments.</li> </ul>	Destroy 5 years after action completed
1475 *1475*	Records documenting recordkeeping audits. Includes file census.	Destroy when results of the file census have been recorded in control records

### Authorisation

The process of delegating power to authorise an action and the seeking and granting permission to undertake a requested action.

Class No	Description of records	Disposal action
1476 *1476*	Delegations of powers to agency staff to authorise administrative action relating to the information management function.	Destroy 3 years after delegation superseded
1477 *1477*	Authorisations for administrative actions relating to the information management function.	Destroy 3 years after authorisation superseded

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### Cases

This activity descriptor should be used where there is a need to keep a number of activities together on one file, for legislative or operational reasons. Case files relate to particular incidents, persons, organisations or clients.

*For the application of the privacy principles to an agency's recordkeeping practices and development of access restrictions, use INFORMATION MANAGEMENT - Privacy.*

*For registers of cases, use INFORMATION MANAGEMENT - Control.*

Class No	Description of records	Disposal action
1478 *1478*	Records documenting requests for public access to records and documents under the FOI Act, the Privacy Act, the Archives Act and other legislation specific to the agency that: <ul style="list-style-type: none"> <li>• set a precedent;</li> <li>• lead to a change of policy;</li> <li>• relate to issues of national significance;</li> <li>• relate to issues of public controversy; and</li> <li>• result in appeals to the Administrative Appeals Tribunal or the Federal or High Court.</li> </ul>	Retain as national archives
1479 *1479*	Records documenting recurring or protracted requests 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
1480 *1480*	Records documenting requests for public access to records and documents under the FOI Act, the Privacy Act, the Archives Act and other legislation specific to the agency where: <ul style="list-style-type: none"> <li>• there has been an internal review;</li> <li>• where complaints have been lodged with the Ombudsman; and</li> <li>• where there have been negotiations between an individual and the agency relating to the amendment or alteration of records.</li> </ul>	Destroy 5 years after action completed

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### Cases - Continued

Class No	Description of records	Disposal action
1481 *1481*	Records documenting requests for public access to records and documents under the FOI Act, the Privacy Act, the Archives Act and other legislation specific to the agency for: <ul style="list-style-type: none"> <li>• less complex requests; and</li> <li>• applications which are not proceeded with (eg where requests are withdrawn, lapse because of non-payment of application fees or are referred to another agency).</li> </ul>	Destroy 2 years after action completed

### Committees

The activities associated with the managing of committees and task forces. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agenda etc.

Class No	Description of records	Disposal action
1482 *1482*	Records of internal and external committees formed to consider matters relating to the information management function. Includes: <ul style="list-style-type: none"> <li>• documents establishing the committee;</li> <li>• final versions of minutes;</li> <li>• reports;</li> <li>• recommendations; and</li> <li>• supporting documents such as briefing papers and discussion papers.</li> </ul>	Destroy 5 years after action completed
1483 *1483*	Working papers documenting the conduct and administration of committees which consider matters relating to the information management function. Includes: <ul style="list-style-type: none"> <li>• agenda;</li> <li>• notices of meetings; and</li> <li>• draft minutes.</li> </ul>	Destroy when reference ceases

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### Compliance

The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements to which the organisation is subject. Includes compliance with legislation and with national and international standards, such as the ISO 9000 series.

*Other activities within this function may also be relevant to the Compliance activity.*

Class No	Description of records	Disposal action
1484 *1484*	Records documenting agency compliance with mandatory or optional standards or with statutory requirements relating to the information management function (eg Australian Standard AS 4390-1996 Records Management).	Destroy 3 years after action completed
1485 *1485*	Records documenting the compilation of a list of file titles in accordance with Senate Continuing Order No. 5.	Destroy 1 year after action completed

*[For the submission of the file title list to Parliament, use GOVERNMENT RELATIONS - Submissions.]*

### Conservation

The activities involved in the preservation, protection, maintenance, restoration and enhancement of properties, including buildings and land, and information resources and artefacts.

*This Function/activity set should not be used by agencies where conservation supports a core function. In these instances coverage should be included in such agencies own functional Records Authority.*

Class No	Description of records	Disposal action
1486 *1486*	Records documenting the management of agency conservation projects for the preservation of records and other information resources.	Destroy 5 years after project is completed
1487 *1487*	Records documenting routine preservation activities undertaken on agency records, library and other information resources. Includes book binding and repairs.	Destroy when reference ceases
1488 *1488*	Records documenting specialised conservation treatment for agency records (eg for specific groups of records such as photographs).	Destroy when treated records are disposed of

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### Contracting-out

The activities involved in managing the performance of work or the provision of goods and services by an external contractor, vendor or consultant, or by using external bureau services. Includes outsourcing.

*For information on records issues relating to outsourcing and contracting-out see General Disposal Authority 25.*

Class No	Description of Records	Disposal Action
N/A	<i>[For records documenting contract management relating to the information management function (eg courier and outsourced storage services), use PROCUREMENT – Contracting-out.</i>	N/A
	<i>For the transfer of records to a storage provider, use INFORMATION MANAGEMENT - Disposal.]</i>	

### Control

The activities associated with creating, maintaining and evaluating control mechanisms. Includes classification, indexing, registration, forms design etc to ensure maximum control over records and recordkeeping systems. Also includes control mechanisms for other information resources and systems.

Class No	Description of records	Disposal action
1490	Master control records for agency recordkeeping systems (both paper and electronic) for central, state, local, and overseas area offices. Includes:	Retain as national archives
*1490*	<ul style="list-style-type: none"> <li>• mandatory elements listed in National Archives' Recordkeeping Metadata Standards for Commonwealth Agencies;</li> <li>• registers of inwards/outwards correspondence (including Ministerial correspondence);</li> <li>• registers and indexes giving details of control numbers, titles, date, disposal details;</li> <li>• file movement cards (if they also constitute the main control record or have been used to record disposal detail);</li> <li>• list of records destroyed, if master control records are not annotated; and</li> <li>• registers of case files (eg personnel and compensation case files registers.)</li> </ul>	

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### Control - Continued

Class No	Description of records	Disposal action
1491 *1491*	Control records documenting library systems. Includes: <ul style="list-style-type: none"> <li>• catalogues;</li> <li>• authority files of subject heading;</li> <li>• classification schemes;</li> <li>• thesauruses created by libraries for specialised use; and</li> <li>• loan and inter-library loan records.</li> </ul> <p><i>[For copies of invoices relating to payments for inter-library loans, use INFORMATION MANAGEMENT - Acquisitions.]</i></p>	Destroy when reference ceases
1492 *1492*	Ancillary records documenting the control of agency records, library and information resources. Includes: <ul style="list-style-type: none"> <li>• chronological sets of inwards and outwards correspondence;</li> <li>• file movements records (if they are a secondary control record to the main registers and indexes and have not been used to record disposal details);</li> <li>• reference sets of master control records;</li> <li>• reference sets of control records compiled and held by business units;</li> <li>• resubmit lists/notices;</li> <li>• barcode lists; and</li> <li>• location lists</li> </ul>	Destroy when reference ceases
1493 *1493*	Master copy of file classification systems or an agency's authorised business classification schemes (currently created using the methodology of the Australian Standard AS 4390. 1996 Records Management) and abbreviations used in paper and electronic systems.	Retain as national archives

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### Control - Continued

Class No	Description of records	Disposal action
1494 *1494*	Records documenting the creation, maintenance and evaluation of an agency record titling thesauruses. Includes master copy of the thesaurus.  <i>[For agency documentation of its functional analysis, the development of its business classification scheme and the recordkeeping requirements necessary for the creation of an agency Records Disposal Authority and functional thesaurus, use INFORMATION MANAGEMENT - Policy.]</i>	Retain as national archives
1495 *1495*	Business rules and configuration settings for agency metadata. Includes developmental records and requests for changes.  <i>[For the application, allocation and maintenance of the metadata in electronic systems, other than those covered by the Information Management function, use TECHNOLOGY &amp; TELECOMMUNICATIONS - Control.]</i>	Retain as national archives
1496 *1496*	Records documenting the receipt and dispatch of agency mail. Includes receipts for registered and certified mail.  <i>[For records supporting security requirement for the dispatch of classified mail, use INFORMATION MANAGEMENT - Security. For the internal distribution of agency mail, use INFORMATION MANAGEMENT - Distribution.]</i>	Destroy 3 years after action completed
1497 *1497*	Records documenting forms design.  <i>[For the printing of forms, use PUBLICATION - Production.]</i>	Destroy 7 years after action completed

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### Customer Service

The activities associated with the planning, monitoring and evaluation of services provided to customers by the organisation.

Class No	Description of records	Disposal action
1498 *1498*	Records documenting the planning, monitoring and evaluation of specific services provided to customers of libraries, archives and records management units. Includes customer surveys.	Destroy 3 years after action completed
1499 *1499*	Records documenting the development of service charters and directives relating to the provision of information management services. Includes final copies of charters.	Destroy when superseded
<i>[For the production of the service charter, use PUBLICATION - Planning and PUBLICATION - Production.]</i>		
1500 *1500*	Records documenting the management of a library or a records management unit enquiry desk.	Destroy when reference ceases
1501 *1501*	Records documenting the management and use of translation services.	Destroy 1 year after action completed

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### Data Administration

The activities associated with maintaining and using the data that is held in a system, either automated or manual. Includes the maintenance of data dictionaries.

Class No	Description of records	Disposal action
1502	Records documenting the migration of records between formats or from one medium to another (eg paper to electronic	Destroy 1 year after action completed
*1502*	ie scanning of paper records into an electronic system). Includes quality assurance checks to confirm the accuracy of information transfer.	

*[For migration strategies and quality assurance checks for migration between electronic systems and from one electronic medium to another, use TECHNOLOGY & TELECOMMUNICATIONS - Data Administration.*

*For direction on the destruction of records of short term value that have been copied, use the General Records Authority 26 for Source Records that have been Copied, Converted or Migrated.]*

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### Disposal

The process of disposing of property no longer required by the organisation, by sale, transfer, termination of lease, auction, donation or destruction. Includes destruction or transfer to archives, and the program of activities to facilitate the orderly transfer of semi-active and inactive records from current office space into storage.

*For the development of Records Disposal Authorities specific to the operations of an agency, use INFORMATION MANAGEMENT - Policy.*

Class No	Description of records	Disposal action
1503 *1503*	Records documenting the transfer, destruction and storage of records according to National Archives directives. Includes copies of: <ul style="list-style-type: none"> <li>• transfer proposals;</li> <li>• consignment lists;</li> <li>• lists of records destroyed; and</li> <li>• lists of records transferred to alternative storage providers.</li> </ul>	Destroy when reference ceases
	<i>[For lists of records destroyed if master control records are not annotated, use INFORMATION MANAGEMENT - Control.</i>	
	<i>For the transfer of records to another agency following an administrative change, use INFORMATION MANAGEMENT - Restructuring.]</i>	
1504 *1504*	Records documenting the transfer of custody, under archives legislation (currently Section 24 (2) (b) of the Archives Act 1983), to or from a contractor under an outsourcing arrangement.	Destroy 3 years after contract is terminated or completed
1505 *1505*	Records documenting arrangement for the transfer of ownership of records under archives legislation, (currently Section 24 (2) (b) of the Archives Act 1983), following the corporatisation and privatisation of an agency, or part of an agency. Includes liaison with the National Archives.	Retain as national archives
1506 *1506*	Records documenting the culling of library collections and collections of non-agency publications in accordance with Purchasing Australia's Guidelines for Surplus Asset Disposal, Canberra, Australian Government Publishing Service, 1996.	Destroy when reference ceases
	<i>[For the disposal of duplicate agency publications, use PUBLICATIONS - Disposal.]</i>	

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### Distribution

The activities associated with disseminating items, correspondence, or publications through sales, deliveries, or other customer services.

Class No	Description of records	Disposal action
1507	Records documenting the internal and external distribution of correspondence and other information items (eg paper files, newspaper clippings and mail) within the agency. Includes:	Destroy when superseded
*1507*	<ul style="list-style-type: none"> <li>• distribution lists; and</li> <li>• advice on changes of location.</li> </ul>	

### Donations

The activities associated with managing money, items, artefacts or property donated to the organisation, or by the organisation and or its staff to charities etc. Includes managing unsolicited donations.

*This function/activity set should not be used by agencies where public donations are used to support core functions (eg National Library of Australia) or by institutions accepting donations under Commonwealth Gift schemes (eg Cultural Gifts Program). In these instances coverage should be included in such agencies own functional Records Authority.*

Class No	Description of records	Disposal action
1508	Records documenting donations of library or manuscript materials to an agency. Includes liaison with the owner on conditions of donation.	Destroy 7 years after disposal of item
*1508*		

*[For the disposal of library material after culling collections, use INFORMATION MANAGEMENT - Disposal.]*

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### Enquiries

The activities associated with handling requests for information about the organisation and its services by the general public, agency employees or another organisation.

*For enquiries received from the general public about the agency's programs, products and services, use COMMUNITY RELATIONS - Enquiries.*

*For the management of requests from the public for access to records under the FOI, Privacy and Archives Acts and other Acts specific to the agency, use INFORMATION MANAGEMENT - Cases.*

Class No	Description of records	Disposal action
1509 *1509*	Records documenting the handling of enquiries from agency employees or another government organisations covering the information management function. Includes records relating to the National Archives lending service.	Destroy 1 year after action completed

*[For records supporting library loans and inter-library loans, use INFORMATION MANAGEMENT - Control.*

*For records relating to copies of inter-library loan payments, use INFORMATION MANAGEMENT - Acquisitions.]*

1510 *1510*	Records documenting the management of discovery orders and subpoenas. Includes detailed lists and copies of records found.	Destroy 3 years after action completed
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### Evaluation

The process of determining the suitability of potential or existing programs, items of equipment, systems or services in relation to meeting the needs of the given situation. Includes systems analysis and ongoing monitoring.

*For the evaluation of the technological aspects of library and recordkeeping systems, use TECHNOLOGY & TELECOMMUNICATIONS - Evaluation.*

Class No	Description of records	Disposal action
1511 *1511*	Records documenting the evaluation of potential or existing information management services and systems. Includes the evaluation of library and recordkeeping systems.	Destroy 7 years after evaluation completed

*[For the evaluation of goods and services being considered for procurement in support of the information management function, use PROCUREMENT – Evaluation.]*

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### Implementation

The activities associated with carrying out or putting into action, plans, policies, procedures or instructions, all of which could be internally or externally driven. Includes manual or automated databases, applications or systems, but excludes the installation of equipment. Also includes monitoring to ensure that the implementation goes according to schedule and that standards are met and includes first aid treatment.

Class No	Description of records	Disposal action
1512 *1512*	Records documenting the implementation of library systems and recordkeeping systems within an agency.	Destroy 7 years after implementation is completed

*[For staff training to implement a new system, use STAFF DEVELOPMENT - Training.*

*For the technological aspects of implementing library and recordkeeping systems, use TECHNOLOGY & TELECOMMUNICATIONS - Implementation.]*

1513 *1513*	Records documenting the implementation of vital records plans and counter-disaster plans after disasters such as fire or floods, and implementation of emergency destruction plans covering the organisation's information resources. Includes a copy of current plan implemented for the disaster recovery process.	Retain as national archives
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*[For the development of the counter-disaster plan, vital records plan, and other plans relating to the information management function, use INFORMATION MANAGEMENT - Planning.]*

### Inspections

The process of official examinations of facilities, equipment and items, to ensure compliance with agreed standards and objectives.

Class No	Description of records	Disposal action
1514 *1514*	Records documenting inspections of agency records by a monitoring agency such as the National Archives and the Australian National Audit Office or any inspections of copyright records.	Destroy 4 years after action completed

*[For copies of copyright declaration forms, use INFORMATION MANAGEMENT- Intellectual Property.*

*For records relating to formal audits, use INFORMATION MANAGEMENT - Audit.]*

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### Intellectual Property

The activities involved in managing the agency's intellectual property, both published and unpublished, and the use of material held by the agency in which another party owns the intellectual property. Includes the management of copyright, design, patents and trademarks, royalties and matters of confidentiality such as trade secrets which are not available to the public under Freedom of Information (FOI) legislation.

*For applications made to reproduce published material, use PUBLICATIONS – Intellectual Property.*

*For the establishment and general management of an agency's intellectual property, use LEGAL SERVICES - Intellectual Property.*

Class No	Description of records	Disposal action
1515 *1515*	Records documenting the management of copying services in an agency. Includes the administration of payments made to collecting societies and any sampling undertaken to support the payment process.	Destroy 7 years after action completed

*[For the payment of money to collecting societies, use FINANCIAL MANAGEMENT - Payments.]*

*[For guidelines and procedures to support the administration of reproduction services in the agency, use INFORMATION MANAGEMENT - Procedures.]*

1516 *1516*	Copyright declaration forms.	Destroy 4 years after action completed
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*[For inspections carried out by copyright owners of declaration forms and other records supporting the administration of copyright in the agency, use INFORMATION MANAGEMENT - Inspections.]*

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### Inventory

The activities associated with listing and preparing lists of items and assets in the possession of the organisation.

*For the conduct of a file census, use INFORMATION MANAGEMENT - Audit.*

*For inventories of records transferred between agencies following an administrative change, use INFORMATION MANAGEMENT - Restructuring.*

*For lists of records transferred to the National Archives or alternative storage providers, use INFORMATION MANAGEMENT - Disposal.*

*For inventories of equipment used in information management areas, use EQUIPMENT & STORES - Inventory.*

Class No	Description of records	Disposal action
1517	Routine inventories of library materials. Includes inventories created for shelf checking.	Destroy 1 year after action completed
*1517*		

### Marketing

The process of analysing, creating and selling products and services. Includes market research, sales forecasting, advertising, media releases, promotion, pricing and product evaluation.

Class No	Description of records	Disposal action
1518	Records documenting the promotion of library and records management unit services. Includes customer profiles.	Destroy when reference ceases
*1518*		

*[For training staff in the efficient use of an agency information unit, use STAFF DEVELOPMENT - Training.]*

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### Meetings

The activities associated with ad hoc gatherings held to formulate, discuss, update or resolve issues and matters pertaining to the management of the section, department, or organisation as a whole. Includes arrangements, agenda, taking of minutes etc. Excludes committee meetings.

<b>Class No</b>	<b>Description of records</b>	<b>Disposal action</b>
1519 *1519*	Final version of minutes and supporting documents tabled at meetings held to support the information management function. Includes meetings with external agencies.	Destroy 3 years after action completed
1520 *1520*	Working papers documenting the conduct and administration of meetings held to support the information management function. Includes agenda, notices of meetings and draft minutes.	Destroy when reference ceases

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### Planning

The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.

Class No	Description of records	Disposal action
1521 *1521*	Final versions of agency-wide information management plans. Includes: <ul style="list-style-type: none"> <li>• Vital records plans;</li> <li>• Emergency destruction plans; and</li> <li>• Counter-disaster plans.</li> </ul> <p><i>[For the implementation of a counter-disaster plan, vital records plan and emergency destruction plan covering the information management function, use INFORMATION MANAGEMENT - Implementation.]</i></p>	Destroy 5 years after plan is superseded
1522 *1522*	Final version of a section or business unit's information management plans, including state, regional or overseas office.	Destroy 3 years after plan is superseded
1523 *1523*	Working papers used to develop all information management plans. Includes draft plans, reports analysing issue, and comments received from areas of the agency.	Destroy when reference ceases
1524 *1524*	Copies of all information management plans.	Destroy when reference ceases

## INFORMATION MANAGEMENT

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### Policy

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the organisation's operating procedures are determined.

Class No	Description of records	Disposal action
1525 *1525*	Records documenting the development and establishment of the agency's information management policies. Includes: <ul style="list-style-type: none"> <li>• Information management security policy;</li> <li>• Library collection development policy;</li> <li>• Recordkeeping policy; and</li> <li>• E-mail policy.</li> </ul> <p>Includes policy proposals, research papers, results of consultations, supporting reports and major drafts and the final policy documents.</p>	Destroy 5 years after policy is superseded
1526 *1526*	Records documenting comments made on the development of government-wide information management policies.	Destroy 3 years after promulgation of the new policy
1527 *1527*	Working papers documenting the development of information management policies. Includes drafts and input from other areas of the agency.	Destroy 3 years after promulgation of the new policy
1528 *1528*	Copies of policy documents and supporting papers.	Destroy when reference ceases
20956 *20956*	Records documenting the creation of the agency's records authority. Includes supporting documentation required by the National Archives and a copy of the final authority.	Destroy 20 years after authority is superseded

*[For the master copy of the business classification schemes developed to support the creation of the agency's records authority, use INFORMATION MANAGEMENT - Control.*

*For records documenting the transfer, destruction and storage of records, use INFORMATION MANAGEMENT - Disposal.*

*For the recordkeeping risk assessment report, use INFORMATION MANAGEMENT – Risk Management.]*

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### Policy - Continued

Class No	Description of records	Disposal action
1530 *1530*	Snapshot of agency's recordkeeping requirement data taken at the point when recordkeeping instructions are issued.	Destroy 5 years after recordkeeping instruction is superseded
1531 *1531*	Records documenting the on-going maintenance and review of agency recordkeeping.	Destroy when reference ceases

### Privacy

The activities associated with applying the principles of privacy. Includes data protection in relation to privacy. Also includes the process of collection, handling, use and disclosure of records of a private, personal, or confidential nature to maintain that the rights of a living person (or immediate family) are secure from unauthorised disclosure or access to such information.

*For negotiations between an individual and the agency relating to the amendment or alteration of records under the Privacy Act, use INFORMATION MANAGEMENT - Cases.*

*For privacy audits, use INFORMATION MANAGEMENT - Audits.*

*For the mechanisms to protect privacy of information, use INFORMATION MANAGEMENT - Security.*

*For records relating to data matching exercises, use General Disposal Authority 24.*

Class No	Description of records	Disposal action
1532 *1532*	Records documenting the application of the Information Privacy Principles (IPP) outlined in the Privacy Act 1988. Includes records relating to the development of access restrictions.	Destroy 5 years after action completed
1533 *1533*	Investigations into alleged privacy breaches relating to information management. Includes unauthorised disposal of records containing personal information.	Destroy 5 years after investigation of breach

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### Procedures

Standard methods of operating laid down by an organisation according to formulated policy.

Class No	Description of records	Disposal action
1534 *1534*	Master set of agency manuals, handbooks, directives etc detailing procedures supporting the information management function.	Destroy when procedures are superseded
1535 *1535*	Records documenting the development of agency procedures supporting the information management function. Excludes documents supporting the development of agency recordkeeping rules.	Destroy 1 year after completion of procedures
1536 *1536*	Master copy of recordkeeping rules/guidelines of the agency.  <i>[For recordkeeping requirements data, use INFORMATION MANAGEMENT - Policy.]</i>	Retain as national archives
1537 *1537*	Copies of manuals, handbooks, directives etc.	Destroy when reference ceases

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### Reporting

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and to provide formal statements or findings of the results of the examination or investigation. Includes agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.

*For reporting of the agency file title list to the Senate, use INFORMATION MANAGEMENT - Compliance.*

Class No	Description of records	Disposal action
1538 *1538*	Final version of formal internal reports and reports made to external agencies relating to the information management function.	Destroy 5 years after action completed
1539 *1539*	Final version of periodic internal reports on general administrative matters used to monitor and document recurring activities to support the information management function. Includes cumulative summary reports and work progress reports.	Destroy 3 years after action completed
1540 *1540*	Working papers documenting the development of all reports. Includes drafts and comments received.	Destroy 1 year after action completed
1541 *1541*	Copies of information management reports.	Destroy when reference ceases
1542 *1542*	Responses to information management surveys requested by other agencies or by the central office of an agency.	Destroy 3 years after action completed

*[For customer services surveys, use INFORMATION MANAGEMENT - Customer Services.]*

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### Research

The activities involved in investigating or enquiring into a subject or area of interest in order to discover facts, principles etc used to support development of projects, standards, guidelines etc and the business activities of the organisation in general. Includes following up enquiries relating to organisational programs, projects, working papers, literature searches etc.

Class No	Description of records	Disposal action
1543 *1543*	Records documenting detailed research carried out to support the information management function.	Destroy 3 years after research is completed
1544 *1544*	Records documenting routine research carried out to support the information management function.	Destroy when reference ceases

### Restructuring

The activities involved in the reassessment of the activities, goals and structure of an organisation. Includes consideration of the number of staff, their position descriptions, equipment, and other resources required to meet objectives.

Class No	Description of records	Disposal action
1545 *1545*	Records documenting functions which have been transferred to another Commonwealth agency or institution.	Transfer to Commonwealth agency or institution
	<i>[For the transfer of records documenting functions transferred to a non-Commonwealth institution, refer to the National Archives for authorisation.]</i>	
1546 *1546*	List of records and other supporting documentation for transferring records to another agency following an administrative change.	Destroy when the new information is transferred to master control records

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### Reviewing

The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.

Class No	Description of records	Disposal action
1547 *1547*	Records documenting a review of agency programs and operations supporting the information management function. Includes documents establishing the review, final version of the report and the action plan.	Destroy 5 years after action completed
1548 *1548*	Working papers documenting a review of agency programs and operations supporting the information management function.	Destroy 2 years after action completed

### Risk Management

The process involving identification of risks, likelihood and consequences of those risks and implementation of appropriate practice and procedures to treat the risks.

Class No	Description of records	Disposal action
1549 *1549*	Records documenting risk management relating to the information management function. Includes documentation covering each stage of the process, treatment schedules and action plans.	Destroy 7 years after next risk assessment
1550 *1550*	Risk register relating to the information management function.	Destroy 7 years after next risk assessment

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### Security

The activities associated with measures taken to protect people, premises, equipment or information from accidental or intentional damage or from unauthorised access. Includes the security classification of personnel and criminal record checks.

*For breaches of privacy of information, use INFORMATION MANAGEMENT - Privacy.*

Class No	Description of records	Disposal action
1551 *1551*	Records documenting major security breaches where classified records and information have been removed from official custody and passed to a third party. Includes referral to law enforcement authorities.	Retain as national archives
	<i>[For disciplinary action against staff for security related breaches involving records and information, use PERSONNEL - Discipline.]</i>	
1552 *1552*	Records documenting minor security breaches where classified records and information have not been appropriately secured.	Destroy 5 years after last action
	<i>[For disciplinary action against staff for security related breaches involving records and information, use PERSONNEL - Discipline.]</i>	
1553 *1553*	Records documenting the management of security arrangements for handling records and information (eg mail) within an agency. Includes: <ul style="list-style-type: none"> <li>• classified document registers (eg register of Cabinet documents);</li> <li>• safe hand registers; and</li> <li>• safe hand receipts.</li> </ul>	Destroy 5 years after last action
	<i>[For the destruction of classified waste, use PROPERTY MANAGEMENT - Maintenance.]</i>	

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### Standards

The process of implementing industry or organisational benchmarks for services and processes to enhance the quality and efficiency of the organisation.

*For compliance with standards (except where other activities apply), use INFORMATION MANAGEMENT - Compliance.*

Class No	Description of records	Disposal action
1554	Records documenting the implementation of industry and agency standards to support the information management function (eg Australian Standard AS 4390-1996 Records Management).	Destroy 7 years after standard is implemented
*1554*		

### Submissions

The preparation and submission of a formal statement (eg report, statistics, etc.) supporting a case or opinion held by the organisation which is submitted to another organisation, or within the organisation, for the purpose of either gain or support.

Class No	Description of records	Disposal action
1555	Records documenting the preparation of agency submissions seeking support for an information management project.	Destroy 3 years after action completed
*1555*		

### Suggestions

The process of using suggestions from personnel and the public to improve the services and processes of the organisation.

Class No	Description of records	Disposal action
1556	Records documenting suggestions received and used to improve information management services.	Destroy 2 years after action completed
*1556*		

### Tendering

The activities involved in receiving and assessing tenders, of making offers and finalising contract arrangements for the supply, sale or purchase of goods and services.

Class No	Description of Records	Disposal Action
N/A	<i>[For tendering processes associated with the procurement of goods and services to support the information management function, use PROCUREMENT – Tendering.]</i>	N/A