Records Authority
Australian Agency for International Development (AusAID)

Job no 2009/00689250

November 2009
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INTRODUCTION

The Australian Agency for International Development (AusAID) and the National Archives of Australia have developed this Records Authority to set out the requirements for keeping or destroying records for the core business area of Overseas Aid Management. It represents a significant commitment on behalf of AusAID to understand, create and manage the records of its business processes.

This Authority is based on the identification and analysis of the business of AusAID. It takes into account the agency's legal and organisational records management requirements, and the interests of stakeholders, the agency and the National Archives of Australia.

This Authority gives AusAID permission under the Archives Act 1983, for the destruction, retention or transfer to the National Archives of Australia of the records described. The Authority sets out those records that need to be retained as national archives and the minimum length of time that temporary records need to be kept. Retention periods for these temporary records are based on: an assessment of business needs; broader organisational accountability requirements; and community expectations, and are approved by the National Archives of Australia on the basis of information provided by the agency.

AusAID may use the following tools to dispose of their records:

- this Records Authority covering its agency specific records;
- general records authorities, such as the Administrative Functions Disposal Authority (AFDA), covering business processes and records common to Australian Government 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.

As changes in circumstances may affect future records management requirements, the periodic review of this Authority is recommended. All amendments must be approved by the National Archives.

Advice on using this Authority and other records management matters is available from the National Archives' website at www.naa.gov.au or by contacting the Agency Service Centre at recordkeeping@naa.gov.au or (02) 6212 3610.
APPLICATION OF THIS AUTHORITY

1. This Authority adds the supporting business processes of policy development and the overall management of Grant Funding covering scholarships to the previously issued AusAID Records Authority covering OVERSEAS AID MANAGEMENT - No. 2002/04650377.

2. This Authority should be used in conjunction with the Administrative Functions Disposal Authority (AFDA) issued by the National Archives to cover administrative records common to Australian Government agencies.

3. This Authority should be used in conjunction with general disposal authorities issued by the National Archives that cover other types of records that may be created by AusAID, such as encrypted records and source records that have been copied.

4. This Authority is to be used to sentence records. Sentencing involves the examination of records in order to identify the individual disposal class to which they belong. This process enables sentencers to determine how long records need to be kept. Advice on sentencing is available from the National Archives.

5. Where the method of recording information changes (for example from a manual system to an electronic system, or when information is migrated from one system to a new system) this Authority can still be used to sentence the records created, providing the records document the same core business. The information must be accessible for the period of time prescribed in this Authority. AusAID will need to ensure that any software, hardware or documentation required to enable continuing access to the information is available for the periods prescribed.

6. In general, retention requirements indicate a minimum period for retention. AusAID may extend minimum retention periods if it considers that there is an administrative need to do so, without further reference to the National Archives. Where AusAID believes that its accountability will be substantially compromised because a retention period or periods are not adequate, it should contact the National Archives for review of the retention period.

7. AusAID may destroy certain records without formal authorisation as a normal administrative practice (NAP). This usually occurs where the records are duplicated, facilitative or for short-term use only. NAP does not replace the arrangements agreed to in records authorities. Advice and guidance on destroying records as a normal administrative practice is available from the National Archives' website at www.naa.gov.au.

8. From time to time the National Archives will place a freeze on some groups of records to prevent their destruction. 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.

9. Records in the care of AusAID should be appropriately stored and preserved. AusAID needs 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 are in the open access period (currently after 30 years).

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

11. Advice on how to use this Authority is available from the AusAID records manager. If there are problems with the application of the Authority that cannot be resolved, please contact the National Archives.
CONTACT INFORMATION

For assistance with this authority or for advice on other recordkeeping matters, please contact National Archives’ Agency Service Centre.

Queen Victoria Terrace  Tel: (02) 6212 3610
Parkes ACT 2600  Fax: (02) 6212 3989
PO Box 7425  Email: recordkeeping@naa.gov.au
Canberra Mail Centre ACT 2610  Website: www.naa.gov.au
AUTHORISATION

RECORDS AUTHORITY

Person to whom notice of authorisation is given: Chief Information Officer
AusAID
London Circuit
CANBERRA ACT 2600

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

Application: OVERSEAS AID MANAGEMENT

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 core business documented in the records.

Authorising Officer

Margaret Chalker
Assistant Director-General, Government Information Management
National Archives of Australia

Date of issue: 10 Nov 2009
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OVERSEAS AID MANAGEMENT

The function of managing the delivery of Australia's aid programs and projects to overseas countries. Includes engaging with a range of international organisations and the private sector through the development of agreements and the undertaking of contractual arrangements, allocation of funds and monitoring and evaluating the implementation of projects and programs. Also includes managing the provision of scholarship assistance to students from developing countries.

Records Authority 2002/04650377 includes record classes associated with the following activities: Advice, Agreements, Audit, Authorisation, Co-financing, Committees, Compliance, Contracting-out, Enquiries, Evaluation, Implementation, Joint Ventures, Liaison, Meetings, Planning, Procedures, Public Reaction, Reporting, Reviewing, Risk Management, Student Arrangements, Tendering, Training Services and Visits.

This Records Authority adds the supporting business activities of policy development and the overall management of Grant Funding covering scholarships.

For the activities associated with the building, prototyping, testing and maintaining the Activity Management System database, use AFDA - TECHNOLOGY and TELECOMMUNICATIONS.

For the initial identification and pre-feasibility study of a proposed project, development of policies and strategies to support the project and/or program, use OVERSEAS AID DEVELOPMENT.

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<tr>
<th>Entry</th>
<th>Description of records</th>
<th>Disposal action</th>
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| 21096 | Records documenting policies relating to and supporting the management of overseas aid. Includes:  
- policy proposals  
- research papers  
- supporting reports  
- stakeholders’ comments  
- program and submission guidelines  
- working papers  
- final policy documents. | Retain as national archives |
| 21097 | Records documenting the administration of specific scholarship or fellowship programs for successful applications, including:  
- funding, delivery, implementation and monitoring  
- liaison with specific educational institutions, other organisations and applicants  
- notices of course results and qualification received. | Destroy 12 years after last action |
| 21098 | Records documenting the administration of specific scholarship or fellowship programs for unsuccessful applications, including liaison with specific educational institutions, applicants and documents other than those covered in classes 21096 and 21097. | Destroy 2 years after last action |