



Australian Government

National Archives of Australia

Records Authority

2010/00698490

Australian Institute of Family Studies -
Research &
Research Communication

4 February 2011

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INTRODUCTION

The Australian Institute of Family Studies 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 areas of Research and Research Communication. It represents a significant commitment on behalf of the Australian Institute of Family Studies to understand, create and manage the records of its activities.

This Authority is based on the identification and analysis of the business of the Australian Institute of Family Studies. 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.

The Authority sets out those records that need to be retained as national archives and specifies the minimum length of time that temporary records need to be kept. This Authority gives the Australian Institute of Family Studies permission under the *Archives Act 1983*, for the destruction of the temporary records described after the minimum retention period has expired. 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.

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.

APPLICATION OF THIS AUTHORITY

1. This Authority supersedes Records Authority 652 (1990). The superseded Records Authority can no longer be used by the Australian Institute of Family Studies to sentence records after the date of issue of this Authority.
2. 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.
3. This Authority should be used in conjunction with general records authorities such as:
 - the Administrative Functions Disposal Authority (AFDA) and/or AFDA Express issued by the National Archives to cover business processes and records common to Australian Government agencies;
 - encrypted records; and
 - source records that have been copied.
4. 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. 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
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 applied, providing the records document the same core business. The information must be

accessible for the period of time prescribed in this Authority. The Australian Institute of Family Studies will need to maintain continuing access to the information, including digital information, for the periods prescribed in this records authority or until the information is transferred into the custody of the National Archives.

6. Records coming within ‘Retain as national archives’ classes in this Authority have been determined to be part of the archival resources of the Commonwealth under section 3C of the Archives Act. The determination of Commonwealth records as archival resources of the Commonwealth obliges agencies to transfer the records to the Archives when they cease to be current and, in any event, within 15 years of the records coming into existence, under section 27 of the Archives Act.

7. In general, retention requirements indicate a minimum period for retention. The Australian Institute of Family Studies 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 the Australian Institute of Family Studies 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.

8. 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

9. 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.

10. 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 for public access including those records that remain in agency custody.

11. 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.

12. Advice on how to use this Authority is available from the Australian Institute of Family Studies 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 records management matters, please contact National Archives’ Agency Service Centre.

Queen Victoria Terrace
Parkes ACT 2600
PO Box 7425
Canberra Mail Centre ACT 2610

Tel: (02) 6212 3610
Fax: (02) 6212 3989
Email: recordkeeping@naa.gov.au
Website: www.naa.gov.au

AUTHORISATION

RECORDS AUTHORITY 2010/00698490

Person to whom notice of authorisation is given:

Professor Alan Hayes
Director
Australian Institute of Family Studies
Level 20, South Tower
485 LaTrobe Street
Melbourne VIC 3000

Purpose:

Authorises arrangements for the disposal of records in accordance with section 24(2)(b) of the Archives Act 1983.
Determines records classed as 'Retain as national archives' in this Records Authority to be part of the archival resources of the Commonwealth under section 3C of the Archives Act 1983.

Application:

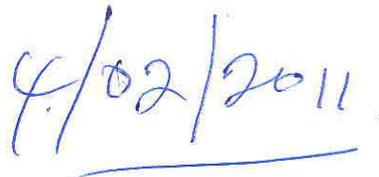
All core business records relating to:

- Research
- Research Communication

This authority will apply only with the consent of the agency currently responsible for the business documented in the records described.

Authorising Officer

Date of issue:



Ross Gibbs
Director-General
National Archives of Australia

RESEARCH

The core business of undertaking research projects is to gain an understanding of the factors that affect families. Includes activities such as entering into agreements with government departments, not for profit agencies and other organisations both as a provider of research services, and as a commissioner of work; entering into partnerships with government departments, not for profit agencies and other organisations to undertake co-research or collaboration where there is a joint contribution of funds and/or time; and the collection, management, preservation, security and access to research data.

Also includes ensuring research undertaken involving human participants is approved by the organisation's ethics committee by requiring researchers to submit project proposals for approval, and once approved, providing reports on project progress.

This work includes the following specific research related tasks:

- evaluating research needs, research performed and research proposals
- research planning and design
- research data collection, administration, management, conservation, analysis, processing, access, transfer, inventories and storage
- reporting on the progress of research and on research outcomes
- managing research participants
- developing fieldwork instruments
- management of research misconduct

This work also includes the specific tasks of:

- giving and receiving advice
- negotiating and establishing agreements with research providers and commissioners
- managing committees
- obtaining and maintaining ethics committee approvals
- managing partnerships
- undertaking risk management

The undertaking of the core business is supported by routine administrative tasks such as:

- making routine arrangements
- managing meetings
- developing policies and procedures

For the records of the organisation's Advisory Council, use ADVISORY BODIES.

For the records of the organisation's Risk Assessment and Audit Committee, use GOVERNING BODIES.

For grants administered by the organisation, use GRANT MANAGEMENT.

For grants where the organisation is applying for funds, use AFDA/AFDA Express – COMMUNITY RELATIONS.

For managing the acquisition of goods and services, and tendering and contracting arrangements to support the Research function, use AFDA/AFDA Express – PROCUREMENT.

For managing financial transactions supporting Research activities, use AFDA/AFDA Express – FINANCIAL MANAGEMENT.

For major security breaches where classified records and information have been removed from official custody and passed to a third party, use AFDA/AFDA Express – INFORMATION MANAGEMENT.

Class No	Description of records	Disposal action
21910	The following significant records: <ul style="list-style-type: none"> • advice to stakeholders informed by or based on research and/or research processes that results in change to current government policy or programs; 	Retain as national archives

RESEARCH

Class No	Description of records	Disposal action
21910 (cont)	<ul style="list-style-type: none"> committees, such as reference or advisory groups, ethics and other high level committees. Includes: establishment records; final minutes and supporting papers; final ethics committee policies; final reports; application assessment for ethics approval for research projects that involve human participation, liaison with subject experts and complaints records; ad hoc or non-ongoing meetings of a significant nature that influence the direction of the research core business; partnership arrangements and agreements which are controversial, long-term, are the subject of extensive debate, arouse widespread interest or involve eminent researchers; or relate to research that has community or heritage value; research policies; research project case files that are either controversial, long-term, are the subject of extensive debate, arouse widespread interest or involve eminent researchers; or if the work has continuing value. Includes final research reports and supporting data analysis, participant management records and fieldwork materials; such as, study instruments, internal approvals, and research planning and design; and de-identified research datasets from significant projects where there is no possibility of identification of participants in the dataset and there are no restrictions on the release data. 	
21911	<p>Records that facilitate the replication, verification and extension of research relating to projects that are NOT either controversial, long-term, are the subject of extensive debate, arouse widespread interest or involve eminent researchers; or if the work has no community, heritage or continuing value to Australia:</p> <ul style="list-style-type: none"> final research reports; research data or source analysis, including both collected statistical data and review of source case files, including analysis code and procedures/methods; fieldwork materials including instruments used in a study including questionnaires, surveys, scripts, plain language statements, training manuals; and research data not covered in class 21910. 	Destroy 99 years after action completed
21912	<p>Records documenting research participant management relating to projects that are NOT either controversial, long-term, are the subject of extensive debate, arouse widespread interest or involve eminent researchers; or if the work has no community or heritage value and has no continuing value to Australia; including pre-interview letters, consent forms and gifts (ie a fieldwork pack).</p>	Destroy 15 years after action completed
21913	<p>Records documenting the evaluation and ongoing monitoring of research projects, processes, systems etc.</p>	Destroy 10 years after action completed
21914	<p>Records documenting the collection of data from research participants. Includes: questionnaires; voice recordings of interviews and any other facilitative collection tools where data is transferred into other formats for the purpose of analysis.</p>	Destroy 24 hours after data is transferred from collection tool, de-identified and quality checked

RESEARCH

Class No	Description of records	Disposal action
21915	Records documenting: <ul style="list-style-type: none">• routine operational and administrative tasks supporting the research core business; and• routine research activities, other than those covered in classes 21910 to 21914. Excludes all research datasets.	Destroy 7 years after action completed

RESEARCH COMMUNICATION

The core business of facilitating the dissemination of information that is the product of research to policy makers, service providers and the broader community. Includes the activities of entering into agreements with other government departments and not for profit agencies both as a provider and as a commissioner of research communication products and services; entering into partnerships with third parties to develop research communication products and services where there is a joint contribution of funds and/or time; and communicating results of research to the government, Parliament, the Ministers and other stakeholders on the research it undertakes and coordinates and its relevance to current policy by providing advice on relevant topics.

The work includes the specific tasks of:

- making presentations (addresses)
- giving and receiving advice
- managing committees
- managing community consultation
- arranging and managing internal conferences
- developing and promoting educational resources and programs
- evaluating research communication programs
- implementation of plans, policies and procedures
- liaising with related national and international institutions
- marketing of activities, products, services and programs
- media relations
- managing partnerships
- planning
- receiving and managing public reaction
- developing publications
- reporting on the progress and outcomes of research communication activities
- managing representatives

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

- making arrangements
- conducting audits
- authorising delegations of power to agency staff
- arranging attendance at external conferences
- receiving and responding to enquiries
- managing meetings
- developing policies
- developing procedures
- arrangements for visits made to the agency and by agency staff to external organisations

For managing the acquisition of goods and services, and tendering and contracting arrangements to support the Research Communication function, use AFDA/AFDA Express – PROCUREMENT.

For managing financial transactions supporting Research activities, use AFDA/AFDA Express – FINANCIAL MANAGEMENT.

For submissions to government, parliamentary or other inquiries, use AFDA/AFDA Express – GOVERNMENT RELATIONS.

For activities supporting the arrangement and management of events, celebrations and ceremonies including official openings; and routine greetings such as Christmas cards use AFDA/AFDA Express – COMMUNITY RELATIONS.

RESEARCH COMMUNICATION

Class No	Description of records	Disposal action
21916	<p>The following significant records:</p> <ul style="list-style-type: none"> • advice that is controversial, subject to government level scrutiny, innovative and/or high profile with a significant social benefit to Australia; • internal approvals, including those that outline the justification for the development of the publication; • committees where the agency provides the secretariat, is the Commonwealth's main representative or plays a significant role; • community consultation processes which involved extensive interaction on programs or activities which elicited strong community reaction, such as seeking feedback on research plans from academics, practitioners and the public; • significant, non-administrative records of conferences held by the agency; • liaison activities undertaken with national and international related institutions i.e. professional associations, organisations, educational organisations and community groups; • partnerships which are controversial, long-term, are the subject of extensive debate, arouse widespread interest or involve eminent researchers; or relate to research that has community or heritage value; • research communication policies; • presentations that reflect major or long-term projects, policy changes presented by senior agency officers that are controversial, the subject of extensive debate or arouse widespread interest; • public reaction from politicians, members of the public, other agencies or organisations on matters relating to research carried out by the organisation; • final versions of publications produced to disseminate research; and • non-administrative records documenting liaison with the media, such as final interview transcripts and recordings of television or radio interviews. <p><i>[For the master set of media releases, use AFDA/AFDA Express – COMMUNITY RELATIONS.</i></p> <p><i>For visitors books and other visit related material, use AFDA/AFDA Express – COMMUNITY RELATIONS.</i></p> <p><i>For activities supporting the establishment of the organisation, use AFDA/AFDA Express – ESTABLISHMENT].</i></p>	Retain as national archives
21917	<p>Records documenting:</p> <ul style="list-style-type: none"> • committees where AIFS does not provide the secretariat, is not the Commonwealth's main representative and does not play a significant role; • education resources and programs development for the purpose of raising awareness, and facilitating the dissemination of research; <p>(cont)</p> <ul style="list-style-type: none"> • evaluation of agency programs and operations supporting the research communication function. Includes documents establishing the review, final report and action plan; • research communication procedures; • marketing of the agencies activities; and • stakeholder communication for the research communication function. 	Destroy 15 years after last action completed

RESEARCH COMMUNICATION

Class No	Description of records	Disposal action
21918	Records documenting: <ul style="list-style-type: none">• routine operational and administrative tasks supporting the research communication core business; and• routine research communication activities, other than those covered in classes 21916 and 21917.	Destroy 7 years after last action completed