

AFDA Express Version 2: Summary of changes

The Administrative Functions Disposal Authority (AFDA) has been revised to reflect changes in legislation and other records and information requirements since 2010. AFDA Express Version 2 has improved discoverability and includes a shorter retention option for low value records. Other improvements include:

- Additional description in the function scope note
- Agencies can opt into a new class of low value records with a 3 year minimum retention period for most functions, or opt out and continue to use the default class which is always listed last and covers the bulk of the routine low level records for the function.
- A comprehensive index to assist with navigation.
- A guide that maps old classes to new classes to assist with implementation.

Resentencing

There is no requirement to resentence records that have been sentenced using AFDA except where retention periods have increased. The guide that maps old classes to new classes and the section on Main Amendments will assist with determining records that need to be resented.

AFDA Express Version 2 functions

AFDA Express Version 2 consists of 15 functions (reduced from 19). Some former AFDA functions have been combined, General Records Authority 36 Contracts Under Seal/Deeds is incorporated; new classes covering International Relations activities are included; and the disposal requirements of *General Records Authority 41 (GRA 41) Child Sexual Abuse Incidents and Allegations* are now included. The list of functions are:

1. Asset Management – combines Equipment & Stores and Fleet Management
2. Contracts Under Seal/Deeds – formerly General Records Authority 36
3. Compensation
4. Establishment
5. External Relations – combines Government and Community Relations and newly incorporated International Relations activities.
6. Financial Management
7. Industrial Relations
8. Legal Services
9. Personnel Management – combines Personnel and Staff Development
10. Procurement
11. Property Management
12. Publication
13. Strategic Management
14. Technology and Information Management – combines Information Management and Technology and Telecommunications
15. Work Health & Safety – formerly titled Occupational Health & Safety

Main Amendments

Records relating to child sexual abuse incidents and allegations – GRA 41 was issued in October 2018. It sets out the requirements for keeping and destroying records relating to child sexual abuse incidents and allegations in response to the recommendations outlined in the Final Report of the

Royal Commission into Institutional Responses to Child Sexual Abuse. GRA 41 requirements relating to agency personnel, members of the public, visitors to the agency and contractors and subcontractors providing services to and on behalf of the Commonwealth are covered under the following AFDA Express Version 2 functions:

- Personnel Management (incident investigation records and longer retention of personnel files for employees and volunteer workers who commenced work prior to turning 18 years of age);
- Compensation (redress and compensation records); and
- Work Health and Safety functions (WHS investigations and inspections).

Agencies that provide care for or services to children as part of their core business should continue to apply GRA 41 until there is a review of the agency specific records authority to customise and incorporate GRA 41 requirements as appropriate.

Asset Management – It combines former AFDA and AFDA Express functions of Equipment and Stores and Fleet Management. Separate AFDA Express functions cover records relating to asset procurement activities and the management of ICT equipment and consequently these records are specifically excluded from this function.

Contracts Under Seal/Deeds – With the exception of property deeds, all contracts under seal/deeds are now covered under this single function with General Records Authority 36 superseded and previous overlapping classes removed from Legal Services and Procurement.

Compensation – a new class added for compensation claims applying to members of the public under 18 years of age for personal injury (other than child sexual abuse) with a retention period consistent with the accident reports covered under the Work Health & Safety function.

New retain as national archives (RNA) classes covering GRA 41 requirements:

- compensation claim records for support, redress and remedial action for the organisation's workforce, visitors and members of the general public;
- policies, procedures, plans and strategies for addressing compensation claims and rehabilitation in agencies that provide care for or services to children;
- major internal reviews relating to the process of handling claims; and
- high-level advice.

Records of the agency responsible for implementing the *National Redress Scheme For People Who Have Experienced Institutional Child Sexual Abuse* are not covered. Other aspects of GRA 41 are covered under the Personnel Management function (incident investigation records) and WHS function (WHS investigations and inspections).

Establishment - The RNA class includes newly identified national archives relating to records documenting changing the organisational structure in response to the privatisation or transfer of a core business function of government to or from another jurisdiction. Outsourcing general administrative functions (eg human resources or information technology) are excluded from the RNA class. *General Records Authority 34 Establishing and winding up entities* applies where an entire government entity is privatised.

External Relations – replaces former Community Relations and Government Relations as well as incorporating a new function of International Relations. New RNA records include:

- high-level policy, plans, strategies and frameworks supporting international relations activities;
- major external relations programs and projects (eg international engagement programs and partnerships for exchange of high-level personnel);
- agency histories commissioned (eg at significant anniversary events);
- major research;
- high-level reviews; and
- major marketing and educational campaigns, including social media records and establishing the agency's social media presence.

Legal Services - Additional criteria have been included in the RNA class for both legal advice and litigation records. Two criteria have been added to cover legal advice records relating to matters that: are controversial or of major public interest; or, which result in major changes to agency or Government policy, processes or operations. Three criteria have been added to cover litigation records relating to matters that: are controversial or of major public interest; result in convictions for significant wrongdoing; or, result in major changes to agency or Government policies, processes, programs, legislation or industry practice.

Personnel Management – Several changes covering:

- Incorporation of management of statutory appointees, excluding members of governing bodies, advisory bodies and tribunals which are separately covered.
- Consolidated employment history records now includes non-ongoing employees in addition to ongoing employees. Exceptions apply to agencies that undertake exceptional high volume recruitment of short term casual staff to meet unique functional objectives.
- Recognition of *General Records Authority 33 Accredited training* has been referenced ensuring that registered training organisations retain training materials in accordance with the longer retention period compared to training materials for non-accredited training courses. Training material for handling child sexual abuse incidents and allegations are an exception and are retained in accordance with the requirements outlined in GRA 41.
- References are included for the *General Records Authority 39 Public interest disclosures* and the transfer of custody and ownership of personal security files which is also managed under a separate records authority.
- Records of security vetting have increased retention requirements changing from Destroy 5 years after separation to 15 years after separation. This change is the result of less frequent revalidation of security clearances for baseline vetting (dropped from every 5 years to every 15 years) as outlined in the Protective Security Policy Framework.
- New RNA classes covering GRA 41 requirements:
 - investigation case records;
 - master set of training material;
 - major internal reviews into the process of handling incidents and allegations; and
 - high-level advice.
- Consistent with GRA 41, a new long term temporary class (Destroy 100 years after date of birth) has been added for personnel files for employees and volunteer workers who commenced work prior to turning 18 years of age. Other aspects of GRA 41 are covered under the Compensation function (claims for redress and compensation) and WHS function (WHS investigations and inspections).

Property Management – The RNA class has been expanded to cover properties of national significance beyond those on national heritage listings and summary records such as deed registers, property registers and land registers. Property security records have been increased to a minimum of 7 years.

Publication – New arrangements with the National Library of Australia regarding harvesting of Australian Government websites are now reflected with two new classes. Agency public websites harvested by the National Library can be destroyed when no longer needed for business use after confirming capture. Any public websites not harvested by the National Library are to be retained as national archives.

A new RNA class covers master versions of publications (ie final approved pre-publication version).

Strategic Management – New RNA classes for strategic planning, negotiation and agreements to support privatisation, outsourcing or transfer of government functions to or from another jurisdictions. Outsourcing general administrative functions (eg human resources or information technology) are excluded from the RNA class.

Technology and Information Management – Several changes covering:

- Updated language and terminology to reflect information technology changes. Examples include addressing shared service arrangements, cloud storage and services, artificial intelligence technologies (including machine learning algorithms) and navigational notes for highly specialised technology solutions.
- Amendments to provide clarity on treatment of collaborative application development on sites such as Github and Sourceforge.
- A new temporary class that results in disposal action for backups changing from a normal administrative practice to retention in accordance with Australian Signals Directorate Security Manual.
- New RNA class covering major security breaches applicable for all information, data and records. Previously major security breaches affecting only classified records were identified as national archives.

Work Health & Safety – New RNA class covering GRA 41 requirements:

- work health and safety investigations and inspections;
- major internal reviews into the process of handling incidents and allegations;
- policy, procedures, plans and strategies for addressing work health and safety investigations in agencies that provide care for or services to children; and
- high-level advice.

Other aspects of GRA 41 are covered under the Personnel Management function (incident investigation records) and Compensation function (claims for redress and compensation).