



**NATIONAL
ARCHIVES
OF AUSTRALIA**

AFDA Express Version 2

2017/00324680

Asset Management

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2017



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INTRODUCTION

The National Archives of Australia (National Archives) has developed this records authority to set out the requirements for keeping or destroying records for the general administrative function of Asset Management.

This records authority is based on the identification and analysis of the Asset Management function. The records 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 records authority gives agencies 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.

As changes in circumstances may affect future records management requirements, this records authority may occasionally be amended by the addition of new classes and the variation of existing classes. The National Archives will notify agencies of any such changes.

APPLICATION OF THIS AUTHORITY

1. The National Archives is progressively reviewing and retiring the *Administrative Functions Disposal Authority (2010)* and *AFDA Express (2010 amended 2013)* and will periodically issue revised functions that will ultimately comprise the revised version of *AFDA Express Version 2*. To aid agencies with implementation of the revised *AFDA Express Version 2* functions, the Archives will permit agencies the option of using either the existing AFDA functions or the newly issued revised functions until 1 July 2019 (by which time all revised functions are expected to be have been issued).
2. This authority supersedes classes 1128-1139, 1142-1145, 1148-1153, 1155-1170 and 20935 in the EQUIPMENT & STORES function and classes 1292, 1295-1308, 1310-1314, and 1317-1331 in the FLEET MANAGEMENT function of the *Administrative Functions Disposal Authority (2010)* and class 20256 in the EQUIPMENT & STORES function and classes 20261-20263 in the FLEET MANAGEMENT function of *AFDA Express (2010 amended 2013)*. The superseded records classes cannot be used to sentence records after 1 July 2019.
3. This authority should be used in conjunction with records authorities issued to agencies for their core business and other General Records Authorities issued by the National Archives.
4. This records authority is to be used to determine how long records must be kept. Records are to be matched to the relevant core business and records class in the records authority.
 - Where the minimum retention period has expired and the records are not needed for agency business they should be destroyed as authorised in this records authority.
 - Records that have not reached the minimum retention period must be kept until they do.
 - Records that are identified as Retain as National Archives (RNA) are to be transferred to the National Archives for preservation.
5. The Normal Administrative Practice (NAP) provision of the *Archives Act 1983* gives agencies permission to destroy certain types of records without formal authorisation. This usually occurs where records are duplicated, facilitative or for short-term use only. NAP does not replace arrangements in this records authority but can be used as a tool to assist in identifying records for destruction together with this records authority and with records authorities specifically issued to an agency. 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 a NAP policy is available from the National Archives' website at www.naa.gov.au.
6. Records that are reasonably likely to be needed as evidence in a current or future judicial proceeding or are subject to a request for access under the *Archives Act 1983*, the *Freedom of Information Act 1982* or any other relevant Act must not be destroyed until the action has been completed.
7. Records subject to a disposal freeze must not be destroyed until the freeze has been lifted. 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.

8. 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 records authority still applies, provided the records document the same core business. The information must be accessible for the period of time prescribed in this records authority. There is a 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.
9. In general, retention requirements indicate a minimum period for retention. Agencies may extend minimum retention periods if there is an administrative need to do so, without further reference to the National Archives. Where an agency 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.
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 must 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, and in line with an approved transfer schedule.
12. Under some classes the transfer of custody and ownership of Commonwealth records is directed in the disposal action. This authority permits the transfer of these 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.
13. Advice on how to use this authority is available from your agency's 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 records authority or for advice on other records management matters, please contact National Archives' [Agency Service Centre](#).

AUTHORISATION

RECORDS AUTHORITY 2017/00324680

Person to whom notice of authorisation is given:

Heads of Commonwealth institutions under the *Archives Act 1983*.

Purpose:

Authorises arrangements for the disposal of records in accordance with paragraph 24(2)(b) of the *Archives Act 1983*.

Application:

All records relating to the following general administrative business area: Asset Management.

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

Authorised by

Teresa Ward
Assistant Director-General
National Archives of Australia

Date of issue:

27 September 2017

ASSET MANAGEMENT

The function of supplying, maintaining, managing, repairing and disposing of moveable assets. Moveable assets may include equipment (eg instruments, tools, machines, plant, furniture and furnishings) and stores (eg chemicals, hardware, homeware items, kitchen/cleaning items, medical supplies and stationery) stocked and used by the organisation, as well as vehicles (ie any means of conveyance owned or used by the organisation to transport people or items).

Excludes:

- information and communication technology equipment (eg computer hardware and software, multifunction copiers, phones, faxes, mobiles and other communication devices);
- vehicles, equipment and stores acquired to support the Defence combat function; and
- activities associated with the procurement of moveable assets, including selection and acquisition, leasing, tendering and contracting arrangements.

Note: Where agencies possess highly specialised or unique moveable assets with specific retention requirements (eg military equipment, scientific research equipment or nuclear materials), these should be covered within the agency's own records authority.

The **core activities** include:

- allocation, distribution and installation of moveable assets;
- arranging use and storage of moveable assets, including managing arrangements for day-to-day vehicle use and arrangements for the delivery of moveable assets to an agency;
- inspections and maintenance of moveable assets, including arranging vehicle maintenance and roadworthy inspections;
- planning, conducting and facilitating audits, creating inventories and stocktaking;
- leasing-out agency moveable assets to other bodies, including managing leases;
- negotiating, establishing, managing and reviewing agreements and contracts (eg agreements to manage, maintain and dispose of equipment and stores; contracts leasing-out agency assets);
- disposing of moveable assets, including leased assets, through any means including sale, transfer, auction, exchange, return and destruction;
- managing insurance policies and claims covering moveable assets;
- managing vehicle accidents, including arranging repairs;
- handling breaches of rules, including handling operator or vehicle infringement notices;
- managing asset warranties and related claims; and
- securing and protecting moveable assets.

The performance of the function is supported by **general activities** such as:

- developing policies, procedures and programs;
- handling enquiries;
- delegating powers and authorising actions (eg authorising use of vehicles);
- establishing, managing and participating in committees and meetings;
- fulfilling compliance requirements, including fiscal, legal, regulatory and quality standards and requirements;
- planning and reporting;
- evaluating and reviewing; and
- identifying, assessing and managing risks.

Cross references to AFDA Express records authority

For managing the evaluation, selection and acquisition of moveable assets, including the purchase, leasing or chartering of vehicles for Commonwealth use (including the short term hire of vehicles), and the acquisition of goods and services required to support the asset management function (eg vehicle accessories and fuel), including leasing, tendering and contracting-out arrangements, use PROCUREMENT.

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For managing contracts relating to procurement of moveable assets, the in-house construction of equipment and plant, and the disposal of moveable assets by tender, use PROCUREMENT.

For supplying, maintaining, managing, repairing, securing and disposing of information communications and technology equipment, including computer hardware and software and phones, faxes, mobiles and other communication devices, use TECHNOLOGY & INFORMATION MANAGEMENT.

For the acquisition, maintenance, use and disposal of land and buildings (ie non-moveable assets) and for the installation of moveable assets where structural changes are required (eg installation of network cabling in office space), use PROPERTY MANAGEMENT.

For managing financial transactions supporting asset management activities, including payment of insurance premiums, payments associated with leasing-out agency equipment and managing financial transactions associated with meeting agency Fringe Benefit Tax obligations, use FINANCIAL MANAGEMENT.

For accidents involving agency vehicles where there is an injury to an employee or a member of the public, use COMPENSATION, PERSONNEL MANAGEMENT and WORK HEALTH & SAFETY.

For managing legal activities supporting asset management, including provision of legal advice, legal action resulting from a vehicle accident or infringement notice, and general management of intellectual property, use LEGAL SERVICES.

For training staff in the use of moveable assets (eg training to use specialised equipment), use PERSONNEL MANAGEMENT.

For licensing processes for the operation of plant items, use WORK HEALTH & SAFETY.

Cross references to other records authorities

For procurement of collection items for small agency collections, use SMALL COLLECTION MANAGEMENT.

For developing and executing contracts under seal or deeds, including signed joint venture contracts under seal, use CONTRACTS UNDER SEAL/DEEDS.

Class no	Description of records	Disposal action
62388	<p>Records documenting the removal, storage and disposal of surplus moveable assets that are considered hazardous waste (eg laboratory chemicals, pesticides, x-ray equipment).</p> <p><i>[For removal, storage and disposal of asbestos and other hazardous materials from the fabric of a building or land, use PROPERTY MANAGEMENT.</i></p> <p><i>For compliance and environmental monitoring obligations associated with the use of hazardous substances, including establishing and maintaining the hazardous substances register, use WORK HEALTH & SAFETY.]</i></p>	Destroy 30 years after last action
62389	<p>Records documenting the maintenance, repair and modification of Commonwealth owned vehicles. Includes maintenance record books/logs.</p> <p><i>[For activities involved in the purchase of 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 Application Note 12 [p. 5] for instruction on the transfer of custody and ownership of Commonwealth

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Class no	Description of records	Disposal action records.)
62390	<p>Records documenting the maintenance and servicing of leased vehicles. Includes maintenance record books/logs.</p> <p><i>[For activities involved in leasing vehicles from another organisation (eg assessments, negotiations, signed leases), use PROCUREMENT.]</i></p>	<p>Transfer to leasing company after lease expires or is terminated. (See Application Note 12 [p. 5] for instruction on the transfer of custody and ownership of Commonwealth records.)</p>
62391	<p>Records documenting:</p> <ul style="list-style-type: none"> • allocation of moveable assets to individuals or organisational units. Includes requests for issue of moveable assets; • arrangements for the delivery of moveable assets to an agency; • storage of moveable assets (excluding hazardous materials) within an agency. Includes location management and stock control; <p><i>[For the storage of hazardous equipment (eg x-ray equipment) and stores (ie unused material) within an agency, use class 62392.</i></p> <p><i>For the removal, storage and disposal of hazardous waste (eg laboratory chemicals, pesticides), use 62388.</i></p> <p><i>For the removal, storage and disposal of asbestos and other hazardous materials from the fabric of a building or land, use PROPERTY MANAGEMENT.]</i></p> <ul style="list-style-type: none"> • disposal of leased moveable assets, including return of leased vehicles. Includes written notices and correspondence with leasing companies, handover reports, notification that an agency or its nominee wishes to purchase the asset, and arrangements for the restoration of the asset to the original condition; • routine inspections of moveable assets (excluding hazardous materials); <p><i>[For inspections relating to work health and safety matters and inspections of moveable assets that are hazardous in nature, use WORK HEALTH & SAFETY.]</i></p> <ul style="list-style-type: none"> • installation and configuration of equipment and plant; <p><i>[For the installation of equipment and plant within a building, use PROPERTY MANAGEMENT.]</i></p> <ul style="list-style-type: none"> • annual renewal of insurance policies; • maintenance and modification of moveable assets (excluding hazardous materials); • reviewing agency programs and operations supporting the asset management function. Includes documents establishing the review, final report, action plan and identification of further problems needing rectification; and 	<p>Destroy 3 years after action completed</p>

ASSET MANAGEMENT

Class no	Description of records	Disposal action
	<ul style="list-style-type: none"> • stocktake of moveable assets, including listings of equipment and stores items; <p><i>[For making subsequent changes to the agency's asset register, including removal of items, use FINANCIAL MANAGEMENT.]</i></p> <ul style="list-style-type: none"> • registration of agency vehicles. Includes inspections and renewal papers; • arrangements for using Commonwealth vehicles. Includes booking schedules, travel itineraries and programs, and records of checks for appropriate authorisations (eg validity of driver/operator/pilot licences and certificates of competence); <p><i>[For vehicle running sheets/trip logs required to meet the agency's Fringe Benefits Tax compliance obligations, use FINANCIAL MANAGEMENT.</i></p> <p><i>For managing Fringe Benefit Tax arrangements attached to individual employee's salary packages, use PERSONNEL.]</i></p> <ul style="list-style-type: none"> • requests and approvals authorising the use of vehicles not involving financial arrangements. Includes giving permission: to carry non-Commonwealth passengers; for home garaging of vehicles; for Executive Officers to use vehicles while on leave; and for learner drivers to drive a vehicle; and • breaches of the agency's rules and/or operator or vehicle infringement notices (eg traffic infringements) relating to vehicles owned or used by the agency driving, traffic, aeronautical or marine laws. Includes copies of infringement notices, correspondence with relevant authorities, and supporting documentation. <p><i>[For cases that proceed to litigation or where legal support is required, use LEGAL SERVICES.</i></p> <p><i>For disciplinary action arising from infringements by employees (including breaches of the law), use PERSONNEL MANAGEMENT.]</i></p>	
62392	<p>Records documenting:</p> <ul style="list-style-type: none"> • routine operational administrative tasks supporting the function; and • asset management activities, other than those covered in classes 62388 to 62391. 	Destroy 7 years after action completed.