



**Australian Government**

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**National Archives of Australia**

# AFDA Express Version 2

2018/00546118

## **Procurement**

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2019



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# CONTENTS

INTRODUCTION	4
APPLICATION OF THIS AUTHORITY	4
CONTACT INFORMATION	5
AUTHORISATION	6
PROCUREMENT	7

## 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 Procurement.

This records authority is based on the identification and analysis of the Procurement function 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 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* (March 2010) 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 National Archives will generally 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 19477-19486, 21130-21132 and 19487-19522 in the Procurement function of the *Administrative Functions Disposal Authority* (2010) and classes 20314-20317 in the Procurement function of *AFDA Express* (March 2010). The superseded records classes cannot be used to sentence records after 1 July 2019.
3. This authority should be used in conjunction with record 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 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.
5. The Normal Administrative Practice (NAP) provision of the *Archives Act 1983* 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 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 an agency NAP policy is available from the National Archives' website at [www.naa.gov.au](http://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 records authority is available from the National Archives website at [www.naa.gov.au](http://www.naa.gov.au).

8. Where the method of recording information changes (for example from a manual system to a digital system, or when information is migrated from one system to a new system) this records 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 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 is not adequate, please 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. 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 authority or for advice on other records management matters, please contact National Archives' [Agency Service Centre](#).

## AUTHORISATION

### RECORDS AUTHORITY 2018/00546118

**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: Procurement.

This authority gives permission for the destruction 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**

Linda Macfarlane  
Assistant Director-General (Acting)  
National Archives of Australia

**Date of issue:**

13 February 2019

## PROCUREMENT

The function of obtaining goods and services to support an agency's business, including the services of consultants and contractors and moveable assets such as equipment, stores and vehicles.

Includes all forms of acquisition from simple purchases to complex contractual procurement processes to obtain goods and services, planning the procurement process, and managing resulting contracts. Excludes acquisition of land and construction of buildings, procurement undertaken to support the Defence combat function, and acquisition of items for cultural and other collections.

Note: Where agencies seek to procure highly specialised or unique goods and services that are peculiar to agency core functions and/or have specific retention requirements (eg military equipment; specialised scientific research equipment; nuclear materials), the related records should be covered within the agency's own records authority.

The **core activities** include:

- acquiring (eg through purchase or requisition) goods and services, including moveable assets such as equipment, stores and vehicles. Includes making investigations into acquisitions;
- developing and issuing specifications and tenders, including preparation of design specifications (other than design specifications for information communications and technology solutions and equipment);
- receiving and assessing tenders, including due diligence checks;
- negotiating, establishing, managing and reviewing procurement agreements and contracts, including memoranda of understanding;
- managing and maintaining tender and contract registers;
- receiving and responding to complaints, including complaints about procurement processes and tendering activities;
- liaising with vendors;
- managing warrantees, guarantees and related claims (other than those relating to moveable assets);
- managing the performance of work or the provision of goods and services by an external contractor, vendor or consultant (ie contracting-out);
- undertaking and managing in-house construction of equipment and plant (other than construction of information communications and technology solutions and equipment);
- evaluating goods and services to determine suitability for procurement, including evaluating goods and services available through whole-of-government procurement contracts and arrangements. Excludes evaluating information communications and technology solutions and equipment; and
- leasing moveable assets (ie where the agency is the lessee), including equipment and vehicles. Includes negotiating and signing leases, managing leasing arrangements and administration of short term rental vehicles for official business.

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

- developing and implementing policies and procedures;
- providing and receiving advice;
- planning, conducting and facilitating audits;
- establishing, managing and participating in committees and meetings;
- fulfilling compliance requirements, including fiscal, legal, regulatory and quality standards and requirements;
- delegating powers and authorising actions;
- handling enquiries;
- planning;
- reviewing and reporting; and
- identifying, assessing and managing risks.

## PROCUREMENT

### Cross references to the AFDA Express records authority

*For designing, developing, building or supplying, evaluating, maintaining, managing, repairing and disposing of information communications and technology solutions and equipment (including facilities, hardware, software, business systems, and cloud services), use TECHNOLOGY AND INFORMATION MANAGEMENT.*

*For supplying, maintaining, managing, repairing and disposing of moveable assets, including equipment, stores and vehicles (excluding information communications and technology solutions and equipment), use ASSET MANAGEMENT.*

*For managing financial transactions supporting procurement activities, use FINANCIAL MANAGEMENT.*

*For acquisition, leasing, maintenance, use and disposal of land and buildings (ie non-moveable assets), and construction and fitting-out of buildings, including related tendering processes, use PROPERTY MANAGEMENT.*

*For warranties relating to moveable assets, use ASSET MANAGEMENT.*

*For the entry of moveable assets, including equipment and stores, into the agency's asset register, use FINANCIAL MANAGEMENT.*

*For declarations of any conflicts of interest by an employee associated with a particular procurement process, use PERSONNEL MANAGEMENT.*

*For legal advice supporting procurement activities, including establishing and managing the intellectual property of agency-designed equipment and plant, use LEGAL SERVICES.*

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

### Cross references to other records authorities

*For records that result from the actual work or service provided by a contractor or consultant, use the function relevant to the nature of the work or service under the applicable agency records authority or a general records authority.*

*For the transfer of records to contractors providing services on behalf of or to the Australian Government under outsourcing arrangements, use General Records Authority 40.*

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

<b>Class no</b>	<b>Description of records</b>	<b>Disposal action</b>
62543	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>• unsuccessful tenders or a tender process where there is no suitable bidder, or where the tender process has been discontinued. Includes submissions, notification of outcome and reports on debriefing and feedback sessions;</li> <li>• investigations into the acquisition or leasing of equipment, goods or services, where the acquisition or lease is not proceeded with;</li> <li>• developing section or business unit procurement plans, including those of state, regional or overseas offices. Includes final versions; and</li> </ul> <p><i>[For agency-wide procurement plans, use 62544.]</i></p> <ul style="list-style-type: none"> <li>• working papers documenting the development of agency procedures, reports and reviews supporting the procurement function. Includes drafts</li> </ul>	Destroy 3 years after action completed



## PROCUREMENT

Class no	Description of records	Disposal action
	and stakeholder feedback. <i>[For final versions of agency procedures, reports and reviews supporting the procurement function, use 62544.]</i>	
62544	Records documenting: <ul style="list-style-type: none"><li>• routine operational administrative tasks supporting the function; and</li><li>• procurement activities, other than those covered in class 62543.</li></ul>	Destroy 7 years after action completed