

**Records Disposal
Authority
Insolvency and
Trustee Service,
Australia**

Job no 2000/423

Date of issue: 27 November 2000



**NATIONAL
ARCHIVES
OF AUSTRALIA**

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INTRODUCTION

The Disposal Process

The disposal of Commonwealth records is the process of assessing the value of records for future use, identifying those which have enduring value and identifying how soon the remainder can be destroyed or otherwise disposed of. The process can also involve the transfer of ownership or custody of records and the alteration of records. Further, it involves authorising the action arising from the assessment and putting the action into effect by sentencing.

Section 24 of the *Archives Act* 1983 provides that records are not to be disposed of without the consent of the Archives unless the action of disposal is positively required by law, or takes place in accordance with a normal administrative practice of which the Archives does not disapprove. Advice on the provisions of the *Archives Act* is obtainable from the National Archives of Australia, Canberra office.

Purpose of this Authority

This records disposal authority (RDA) was developed and amended under appraisal guidelines issued prior to 1999. The pre-1999 guidelines have been superseded by a new appraisal methodology which complies with Australian Standard AS 4390-1996, *Records Management* and which represents current best practice. In view of the fact that amendments to this authority were made under pre-1999 guidelines, the scope of this authority is limited by the following:

- The purpose of this authority is to allow sentencing and destruction of the Agency's *temporary* records and transferring to the National Archives any records that have been identified as national archives.
- In this amended authority, the disposal action for records that were previously identified for permanent retention and not been reviewed has been changed to 'Destruction not authorised. Retain pending re-appraisal'. The Agency cannot transfer records with this disposal action into Archives' custody. The records will need to be re-appraised in accordance with the Archives' new AS4390 compliant methodology.
- This authority is to be used in conjunction with the General Disposal Authorities, including the *Administrative Functions Disposal Authority*. These authorities are issued by the Archives to cover housekeeping and administrative functions common to most Commonwealth agencies. The Agency should be aware that the Administrative Functions Disposal Authority has a different scope from the GDAs which it replaces and care should be taken in determining which records are covered by the authority.

Using this Authority

This authority covers records created by the agency and applies only to the records or classes of records described in the authority. This authority is to be used to sentence records. Sentencing is the process of identifying and classifying records according to a disposal authority and applying the disposal action specified in it.

Retention periods set down in this authority are minimum ones and the agency may extend the retention period of a record if it considers that there is an administrative need to do so.

Where the format of the records has been changed this does not prevent the disposal classes from being used to sentence records which perform the same function. Where the method of recording the information changes (eg from a manual card system to an electronic system), this authority can

still be used to sentence the records created provided the records perform the same function. The information must be accessible for the periods prescribed in the classes.

Agencies will need to ensure that any software, hardware or documentation required to gain continuing access to electronic records is available for the periods prescribed. Electronic records should be captured and retained in recordkeeping systems that have special functionality for maintaining the integrity of digital data as full, accurate, reliable, accessible and durable evidence of government activity over time.

Review of this authority

In March 2000 the Archives released guidelines for a new appraisal methodology that will enable agencies to conduct appraisal according to current best practice. The methodology complies with AS 4390 and follows the functions-based approach outlined in the standard.

This Records Disposal Authority will not be open to further amendments. Development of a functional RDA should be undertaken in consultation with the National Archives. The timing of this work will depend on the Agency's situation - the adequacy of existing recordkeeping systems and the availability of resources to undertake developmental work.

CONTACT INFORMATION

1. For changes to this RDA contact the Canberra Office of the National Archives of Australia:

Queen Victoria Terrace

Tel: (02) 6212 3610

Parkes ACT 2600

PO Box 7425

Email: archives@naa.gov.au

Canberra Mail Centre

ACT 2610

WWW:<<http://www.naa.gov.au>>

2. For sentencing advice contact your local office of the National Archives. The address and phone number of your local office can be found at the National Archives web-site address above.


AUTHORISATION

RECORDS DISPOSAL AUTHORITY Job no 2000/423

Person to whom notice of authorisation is given:	Inspector-General in Bankruptcy Level 2 AMA Building BARTON ACT 2600
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Purpose:	AUTHORISES ARRANGEMENTS FOR THE DISPOSAL OF RECORDS IN ACCORDANCE WITH SECTION 24(2)(b) OF <i>THE ARCHIVES ACT 1983</i>
Application:	Insolvency and Trustee Service, Australia

This authorisation applies to only the disposal of the records described on the authority in accordance with the disposal action specified on the authority. The authority will apply only if disposal takes place with the consent of the agency that is responsible at the time of disposal for the functions documented in the records concerned.

Authorising Officer, National Archives of Australia  Venetia Beale Director Recordkeeping Implementation	Date of Issue: 27 November, 2000 Date of Amendment Expiry date
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Insolvency and Trustee Service Australia

All records - Continued

Entry No	Description of Records	Disposal Action
2194	Bankrupt estate administration files where sequestration orders are dated prior to 1 August 1928 1 Jan 1883-31 Jul 1928 (Date Range: 1883 - 1928)	Destruction not authorised. Retain pending reappraisal
2195	Bankrupt estate administration files where sequestration orders are dated from 1 August 1928 Files containing policy or precedent material 1 Aug 1928-15 Dec 1996 (Date Range: 1928 - 1996)	Retain as national archives
2196	Bankrupt estate administration files where sequestration orders are dated from 1 August 1928 Routine cases 1 Aug 1928-15 Dec 1996 (Date Range: 1928 - 1996)	Destroy 15 years after estate finalised
2197	Bankrupt change of address cards (non-discharged bankrupts) advised in accordance with section 80 of Bankruptcy Act 1966 as amended 1 Aug 1928-15 Dec 1996 (Date Range: 1928 - 1996)	Destroy after 3 years/when bankrupt discharged (whichever is the sooner)
2198	Bankrupt change of address advised in accordance with section 80 of Bankruptcy Act 1966 as amended 1 Aug 1928-15 Dec 1996 (Date Range: 1928 - 1996)	Destroy when objection withdrawn/lapsed
2199	Proof of debt registers 1 Aug 1928-15 Dec 1996 (Date Range: 1928 - 1996)	Destroy 6 years after administration of estate finalised
2200	Proof of debt cards 1 Aug 1928-15 Dec 1996 (Date Range: 1928 - 1996)	Destroy 6 years after administration of estate finalised
2201	Cash books 1 Aug 1928-15 Dec 1996 (Date Range: 1928 - 1996)	Destroy 6 years after creditors paid and contributions cease

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All records - Continued

Entry No	Description of Records	Disposal Action
2202	Cash cards 1 Aug 1928-15 Dec 1996 (Date Range: 1928 - 1996)	Destroy 6 years after last action/administration of estate finalised, (whichever is the later)
2203	Cash receipt books [sheets] 1 Aug 1928-15 Dec 1996 (Date Range: 1928 - 1996)	Destroy 6 years after action ceases
2204	Cash payments book [sheets] 1 Aug 1928-15 Dec 1996 (Date Range: 1928 - 1996)	Destroy 6 years after action ceases
2205	[Estates] petty cash book 1 Aug 1928-15 Dec 1996 (Date Range: 1928 - 1996)	Destroy 6 years after action ceases
2206	Paid cheques 1 Aug 1928-15 Dec 1996 (Date Range: 1928 - 1996)	Destroy 6 years after action ceases
2207	Bank deposit books 1 Aug 1928-15 Dec 1996 (Date Range: 1928 - 1996)	Destroy 6 years after action ceases
2208	Receipt books 1 Aug 1928-15 Dec 1996 (Date Range: 1928 - 1996)	Destroy 6 years after action ceases
2209	Estate registers 1 Aug 1928-15 Dec 1996 (Date Range: 1928 - 1996)	Destroy 6 years after estate administration finalised
2210	Estate administration cards 1 Aug 1928-15 Dec 1996 (Date Range: 1928 - 1996)	Destroy 6 years after estate administration finalised

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All records - Continued

<i>Entry No</i>	<i>Description of Records</i>	<i>Disposal Action</i>
2211	Name index of bankrupts in region 1 Aug 1928-15 Dec 1996 (Date Range: 1928 - 1996)	Destruction not authorised. Retain pending reappraisal
2212	Microfiche index of bankrupts in Australia. Master set 1 Aug 1928-15 Dec 1996 (Date Range: 1928 - 1996)	Destruction not authorised. Retain pending reappraisal
2213	Microfiche index of bankrupts in Australia. Reference copies 1 Aug 1928-15 Dec 1996 (Date Range: 1928 - 1996)	Destroy when reference ceases
2214	Microfiche of index of bankrupts in Australia Superseded copies 1 Aug 1928-15 Dec 1996 (Date Range: 1928 - 1996)	Destroy when reference ceases
2215	Register of Securities 1 Aug 1928-15 Dec 1996 (Date Range: 1928 - 1996)	Destruction not authorised. Retain pending reappraisal
2216	Securities 1 Aug 1928-15 Dec 1996 (Date Range: 1928 - 1996)	Destruction not authorised. Retain pending reappraisal
2217	Register of Passports 1 Aug 1928-15 Dec 1996 (Date Range: 1928 - 1996)	Destroy when reference ceases
2218	Accounts and records relating to the estate of the bankrupt where sequestration orders were dated prior to 1 August 1928 1 Jan 1883-31 Jul 1928 (Date Range: 1883 - 1928)	Destruction not authorised. Retain pending reappraisal

Insolvency and Trustee Service Australia

All records - Continued

Entry No	Description of Records	Disposal Action
2219	<p>Accounts and records that were given to any trustee of the estate by the bankrupt or debtor where sequestration orders are dated from 1 August 1928</p> <p>All accounts and records</p> <p>1 Aug 1928-15 Dec 1996 (Date Range: 1928 - 1996)</p>	<p>Return to bankrupt or debtor at any time at the discretion of the trustee</p>
2220	<p>Accounts and records that were given to any trustee of the estate by the bankrupt or debtor where sequestration orders are dated from 1 August 1928</p> <p>Accounts and records given to the trustee of the estate, that have not been returned to the bankrupt or debtor in accordance with class 2219, and the trustee considers will not help the administration</p> <p>1 Aug 1928-15 Dec 1996 (Date Range: 1928 - 1996)</p>	<p>Destroy during the administration of the estate</p>
2221	<p>All accounts and records relating to the estate of the bankrupt where sequestration orders are dated from 1 August 1928</p> <p>Where no property has been realised, no dividends have been distributed to creditors, and the trustee considers that there is no chance of realising any property or distributing dividends</p> <p>1 Aug 1928-15 Dec 1996 (Date Range: 1928 - 1996)</p>	<p>Destroy 6 years after the end of the administration (as defined in subsection 312(8) of the Bankruptcy Act 1966</p>
2222	<p>All accounts and records of the bankrupt where sequestration orders are dated from 1 August 1928</p> <p>Where property has been realised and the trustee has received some remuneration</p> <p>1 Aug 1928-15 Dec 1996 (Date Range: 1928 - 1996)</p>	<p>Destroy 15 years after the end of the administration (as defined in subsection 312(8) of the Bankruptcy Act 1966</p>
2223	<p>Official Receiver's files re investigation of persons applying for registration</p> <p>1 Aug 1928-15 Dec 1996 (Date Range: 1928 - 1996)</p>	<p>Destroy 6 years after the trustee released/removed/retires/dies whichever is the sooner</p>

Insolvency and Trustee Service Australia

All records - Continued

<i>Entry No</i>	<i>Description of Records</i>	<i>Disposal Action</i>
2224	Official Receiver, Personal administration files 1 Aug 1928-15 Dec 1996 (Date Range: 1928 - 1996)	Destruction not authorised. Retain pending reappraisal
