



Australian Government

National Archives of Australia

Records Authority
**Department of Finance and
Administration**

16 May 2007

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INTRODUCTION

The Department of Finance and Administration (DOFA) and the National Archives of Australia have developed this Records Authority to set out the requirements for the retention or destruction of records for the key function of Indigenous Programs Evaluation and Audit. It represents a significant commitment on behalf of DOFA to understand, create and manage the records of its activities.

This Authority uses a classification scheme based on an analysis of the business of the agency. It takes into account DOFA's legal and organisational recordkeeping requirements, and the interests of stakeholders of both DOFA and the National Archives. It provides a framework that may be used as a guide when creating and managing records that document these functions.

Section 24 of the Archives Act 1983 refers to

- the destruction or other disposal of a Commonwealth record
- the transfer of the custody or ownership of a Commonwealth record
- damage to or alteration of a Commonwealth record.

According to the Act, these things should not occur unless the action of disposal is positively required by law, or takes place with the permission of the National Archives or in accordance with a normal administrative practice.

This Authority gives DOFA the permission, required under the Archives Act, for the disposal of the records described. The Authority sets out those records that need to be retained as national archives and the minimum length of time that other classes of records need to be kept. Retention periods are based on an assessment of business needs, broader organisational accountability requirements and community expectations.

As changes in circumstances may affect future recordkeeping requirements, the periodic review of this Authority is recommended. All amendments must be approved by the National Archives.

Advice on using this Authority and other recordkeeping matters is available from the National Archives' website at www.naa.gov.au or by contacting the Agency Service Centre at recordkeeping@naa.gov.au or (02) 6212 3610.

AUTHORISATION

RECORDS AUTHORITY

Person to whom notice of authorisation is given:

The Secretary
Department of Finance and
Administration
John Gorton Building
PARKES ACT 2600

Purpose:

AUTHORISES ARRANGEMENTS FOR THE DISPOSAL OF RECORDS IN ACCORDANCE WITH SECTION 24(2)(b) OF THE ARCHIVES ACT 1983

Application:

All records for the function of Indigenous Programs Evaluation and Audit

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

Date of issue:



16 May 2007

Ross Gibbs
Director-General
National Archives of Australia

APPLICATION OF THIS AUTHORITY

1. This Authority should be used in conjunction with the Administrative Functions Disposal Authority (AFDA) issued by the National Archives to cover administrative records common to most Commonwealth agencies.
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 the appropriate disposal action for the records. Advice on sentencing is available from the National Archives.
3. 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 used to sentence the records created, providing the records document the same function and activity. The information must be accessible for the period of time prescribed in this Authority. The Department of Finance and Administration (DOFA) will need to ensure that any software, hardware or documentation required to enable continuing access to the data is available for the periods prescribed.
4. In general, retention requirements indicate a minimum period for retention. DOFA may extend minimum retention periods if it considers that there is an administrative need to do so. Where DOFA 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.
5. From time to time the National Archives places 'freezes' on the disposal of some groups of records, which places a moratorium on the destruction of these records. If you require further information about disposal freezes and whether they affect the application of this Authority, please contact the National Archives.
6. Records in the care of DOFA should be appropriately stored and preserved. DOFA needs 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 to the public after thirty years.
7. 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.
8. Advice on how to use this Authority is available from DOFA'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 recordkeeping 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

INDIGENOUS PROGRAMS EVALUATION AND AUDIT

The function of providing evaluations and audits of relevant Indigenous-specific programs administered by Australian Government bodies and of activities of any individual or organisation that has received funding or a guarantee, or other property under any relevant program. Includes liaising with government and non-government organisations and preparing responses to questions raised by Ministers or in Parliament.

Advice

The activities associated with offering opinions by or to the organisation as to an action or judgement. Includes the process of advising.

| Entry | Description of Records | Disposal Action |
|--------------------|--|--|
| Class no. 15491 | Records documenting advice received or provided by the agency to the portfolio Minister and government agencies on issues relating to Indigenous programs evaluation or audit that lead to new or significant amendment to Government policy, or where there is a high level of public interest or controversy. Includes: <ul style="list-style-type: none"> • advice provided in the form of Briefing notes (includes background briefs and Question Time briefs); • advice to other agencies; • minutes providing advice to the Minister. <p>Includes working papers. (Date range: 1990 -)</p> | Retain as national archives |
| Class no. 15544 | Records documenting all other advice received or provided by the agency to the portfolio Minister and government agencies on Indigenous programs evaluation and audit. Includes <ul style="list-style-type: none"> • advice provided in the form of Briefing notes (includes background briefs and Question Time briefs); • advice to other agencies. • minutes providing advice to the Minister. <p>Includes working papers. (Date range: 1990 -)</p> | Destroy 7 years after action completed |
| Class no. 15545 | General administrative records documenting the receipt or provision of advice. Includes lists of briefing requirements and records documenting the tabling of reports and papers to Parliament. (Date range: 1990 -) | Destroy 2 years after action completed |

INDIGENOUS PROGRAMS EVALUATION AND AUDIT

The function of providing evaluations and audits of relevant Indigenous-specific programs administered by Australian Government bodies and of activities of any individual or organisation that has received funding or a guarantee, or other property under any relevant program. Includes liaising with government and non-government organisations and preparing responses to questions raised by Ministers or in Parliament.

Agreements

The processes associated with the establishment, maintenance, review and negotiation of agreements.

| Entry | Description of Records | Disposal Action |
|--------------------|--|--|
| Class no. 15546 | Final version of agreements made to support the function of Indigenous programs evaluation and audit. (Date range: 1990 -) | Destroy 7 years after expiry or other termination of agreement |
| Class no. 15547 | Records documenting the negotiations, establishment, maintenance and review of agreements. (Date range: 1990 -) | Destroy 7 years after expiry or other termination of agreement |

Arrangements

The activities involved in arranging for a journey or trip. Includes preparing travel itineraries, authorisations, entitlements etc Also includes arrangements made for the delivery of equipment or goods and the usage made of facilities, vehicles, equipment and space.

| Entry | Description of Records | Disposal Action |
|--------------------|--|--|
| Class no. 15548 | Records relating to travel and accommodation arrangements made for people undertaking evaluation or audit projects. (Date range: 1990 -) | Destroy 2 years after action completed |

Committees

The activities associated with the managing of committees and task forces. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agenda etc.

For audit committees use STRATEGIC MANAGEMENT - Committees

| Entry | Description of Records | Disposal Action |
|--------------------|--|-----------------------------|
| Class no. 15549 | Records of external high level inter-agency committees relating to the function of Indigenous programs evaluation and audit where the agency provides the Secretariat. Includes: <ul style="list-style-type: none"> • documents establishing the committee; • agendas, minutes, reports, recommendations; • supporting documents such as briefing and discussion papers. (Date range: 1990 -) | Retain as national archives |

INDIGENOUS PROGRAMS EVALUATION AND AUDIT

The function of providing evaluations and audits of relevant Indigenous-specific programs administered by Australian Government bodies and of activities of any individual or organisation that has received funding or a guarantee, or other property under any relevant program. Includes liaising with government and non-government organisations and preparing responses to questions raised by Ministers or in Parliament.

Committees - Continued

The activities associated with the managing of committees and task forces. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agenda etc.

For audit committees use STRATEGIC MANAGEMENT - Committees

| | | |
|--------------------|--|--|
| Class no. 15551 | Records of all other committees relating to the function of Indigenous programs evaluation and audit. Includes: <ul style="list-style-type: none"> • documents establishing the committee; • agendas, minutes, reports, recommendations; • supporting documents such as briefing and discussion papers. (Date range: 1990 -) | Destroy 5 years after action completed |
| Class no. 15554 | Working papers documenting the administrative arrangements made for the conduct of external high level inter-agency committees relating to the function of Indigenous programs evaluation and audit. (Date range: 1990 -) | Destroy 5 years after action completed |
| Class no. 15558 | Working papers documenting the administrative arrangements for all other committees relating to the function of Indigenous programs evaluation and audit. (Date range: 1990 -) | Destroy when reference ceases |

Contracting out

The activities involved in managing the performance of work or the provision of goods and services by an external contractor, vendor or consultant, or by using external bureau services. Includes outsourcing.

| Entry | Description of Records | Disposal Action |
|--------------------|--|---|
| Class no. 15559 | Records documenting contract management relating to the function of Indigenous programs evaluation and audit. Includes minutes of meetings with stakeholders and performance and evaluation reports (Date range: 1990 -) | Destroy 7 years after completion or other termination of contract |

INDIGENOUS PROGRAMS EVALUATION AND AUDIT

The function of providing evaluations and audits of relevant Indigenous-specific programs administered by Australian Government bodies and of activities of any individual or organisation that has received funding or a guarantee, or other property under any relevant program. Includes liaising with government and non-government organisations and preparing responses to questions raised by Ministers or in Parliament.

Government Liaison

The activities associated with maintaining regular general contact between the organisation and government departments, authorities and agencies. Includes sharing informal advice and discussions and collaborating on projects that are not joint ventures.

For liaison with non government organisations use INDIGENOUS PROGRAMS EVALUATION AND AUDIT – Liaison.

| Entry | Description of Records | Disposal Action |
|--------------------|--|--|
| Class no. 15560 | Records documenting liaison activities undertaken with government agencies and organisations in relation to the function of Indigenous programs evaluation and audit. Includes collaboration on projects and the exchange of information. (Date range: 1990 -) | Destroy 2 years after action completed |

Indigenous Program Audits

The activities associated with officially checking financial, quality assurance and operational records of Indigenous-specific programs to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of the program in a specified period. Includes audits specifically requested by the Minister as noted in the relevant legislation (currently the Aboriginal and Torres Strait Islander Act 2005).

For travel arrangements related to Indigenous Program Audits use INDIGENOUS PROGRAMS EVALUATION AND AUDIT – Arrangements.

| Entry | Description of Records | Disposal Action |
|--------------------|--|---|
| Class no. 15561 | Final report of an audit where the audit report contains adverse findings or adverse findings are issued or major changes to practices are recommended. Includes final reports where the audit report does not contain adverse findings or adverse findings are issued, and there are no changes or only minor or routine changes to agency practices. Includes recommendations and implementation plans. (Date range: 1990 -) | Retain as national archives |
| Class no. 15562 | Final version of formal audit reports on Indigenous-specific programs developed for the Minister or external agencies. (Date range: 1990 -) | Destroy 10 years after action completed |

INDIGENOUS PROGRAMS EVALUATION AND AUDIT

The function of providing evaluations and audits of relevant Indigenous-specific programs administered by Australian Government bodies and of activities of any individual or organisation that has received funding or a guarantee, or other property under any relevant program. Includes liaising with government and non-government organisations and preparing responses to questions raised by Ministers or in Parliament.

Indigenous Program Audits - Continued

The activities associated with officially checking financial, quality assurance and operational records of Indigenous-specific programs to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of the program in a specified period. Includes audits specifically requested by the Minister as noted in the relevant legislation (currently the Aboriginal and Torres Strait Islander Act 2005).

For travel arrangements related to Indigenous Program Audits use INDIGENOUS PROGRAMS EVALUATION AND AUDIT – Arrangements.

| Class no. | Records documenting the planning and conduct of audits relating to Indigenous-specific programs. Includes: | Destroy when reference ceases |
|-----------|--|-------------------------------|
| 15563 | <ul style="list-style-type: none"> • minutes of meetings; • notes taken at opening and exit interviews; • draft report; • comments; • declarations nominating accounts exempted from normal disclosure. (Date range: 1990 -) | |

Indigenous Program Evaluations

The activity of undertaking evaluation of potential or existing Indigenous-specific programs and services supporting the function of Indigenous programs evaluation and audit. Includes evaluations specifically requested by the Minister, as noted in the relevant legislation (currently the Aboriginal and Torres Strait Islander Act 2005).

For travel arrangements related to Indigenous Program Evaluations use INDIGENOUS PROGRAMS EVALUATION AND AUDIT – Arrangements.

| Entry | Description of Records | Disposal Action |
|--------------------|---|---|
| Class no. 15564 | Final version of formal evaluation reports relating to Indigenous-specific programs developed for the Minister or external agencies. (Date range: 1990 -) | Retain as national archives |
| Class no. 15565 | Records documenting the evaluation of Indigenous-specific programs. (Date range: 1990 -) | Destroy 10 years after action completed |
| Class no. 15566 | Working papers documenting the planning and conduct of evaluations of Indigenous-specific programs. (Date range: 1990 -) | Destroy when reference ceases |

INDIGENOUS PROGRAMS EVALUATION AND AUDIT

The function of providing evaluations and audits of relevant Indigenous-specific programs administered by Australian Government bodies and of activities of any individual or organisation that has received funding or a guarantee, or other property under any relevant program. Includes liaising with government and non-government organisations and preparing responses to questions raised by Ministers or in Parliament.

Liaison

The activities associated with maintaining regular general contact between the organisation and professional associations, professionals in related fields, other private sector organisations and community groups. Includes sharing informal advice and discussions, membership of professional associations and collaborating on projects that are not joint ventures.

For liaison with government agencies use INDIGENOUS PROGRAMS EVALUATION AND AUDIT - Government Liaison.

| Entry | Description of Records | Disposal Action |
|--------------------|--|--|
| Class no. 15567 | Records documenting liaison activities undertaken with professional associations, private sector organisations and community groups. Includes collaboration on projects, exchange of information and all the activities of a member of an organisation. (Date range: 1990 -) | Destroy 2 years after action completed |

Meetings

The activities associated with ad hoc gatherings held to formulate, discuss, update or resolve issues and matters pertaining to managing the section, department, or organisation as a whole. Includes arrangements, agenda, taking of minutes etc. Excludes committee meetings.

| Entry | Description of Records | Disposal Action |
|--------------------|--|--|
| Class no. 15568 | Final version of minutes and supporting documents tabled at meetings held to support the function of Indigenous programs valuation and audit. (Date range: 1990 -) | Destroy 7 years after action completed |
| Class no. 15569 | Working papers documenting the conduct and administration of meetings held to support the function of Indigenous programs evaluation and audit. Includes agenda, notices of meetings and draft minutes. (Date range: 1990 -) | Destroy when reference ceases |

INDIGENOUS PROGRAMS EVALUATION AND AUDIT

The function of providing evaluations and audits of relevant Indigenous-specific programs administered by Australian Government bodies and of activities of any individual or organisation that has received funding or a guarantee, or other property under any relevant program. Includes liaising with government and non-government organisations and preparing responses to questions raised by Ministers or in Parliament.

Planning

The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs

| Entry | Description of Records | Disposal Action |
|--------------------|--|--|
| Class no. 15570 | Final version of plans created in relation to the function of Indigenous programs evaluation and audit. Includes project initiation, approval and project management plans. (Date range: 1990 -) | Destroy 7 years after action completed |
| Class no. 15571 | Copies of plans and working papers documenting the development of all plans. Includes input into plans, comments received and drafts. (Date range: 1990 -) | Destroy when reference ceases |

Policy

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the organisation's operating procedures are determined.

| Entry | Description of Records | Disposal Action |
|--------------------|--|--|
| Class no. 15572 | Records documenting the development and establishment of the agency's policies in relation to the function of Indigenous program evaluation and audit. Includes: <ul style="list-style-type: none"> • final policy documents; • policy proposals; • research papers; • results of consultations; • supporting reports; • major drafts. (Date range: 1990 -) | Retain as national archives |
| Class no. 15573 | Working papers documenting the development of all policies in relation to the function of Indigenous programs evaluation and audit. (Date range: 1990 -) | Destroy 3 years after promulgation of the new policy |
| Class no. 15574 | Copies of policy documents and supporting papers. (Date range: 1990 -) | Destroy when reference ceases |

INDIGENOUS PROGRAMS EVALUATION AND AUDIT

The function of providing evaluations and audits of relevant Indigenous-specific programs administered by Australian Government bodies and of activities of any individual or organisation that has received funding or a guarantee, or other property under any relevant program. Includes liaising with government and non-government organisations and preparing responses to questions raised by Ministers or in Parliament.

Procedures

Standard methods of operating laid down by an organisation according to formulated policy.

| Entry | Description of Records | Disposal Action |
|--------------------|--|--|
| Class no. 15575 | Records documenting the development of procedures in support of the function of Indigenous programs evaluation and audit. Includes comments received. (Date range: 1990 -) | Destroy 7 years after production of procedures |
| Class no. 15576 | Master set of manuals, handbooks, directives etc detailing procedures supporting the function of Indigenous programs evaluation and audit. (Date range: 1990 -) | Destroy when procedures are superseded |
| Class no. 15577 | Copies of manuals, handbooks, directives etc. (Date range: 1990 -) | Destroy when reference ceases |

Reporting

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and to provide formal statements or findings of the results of the examination or investigation. Includes agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.

For formal evaluation reporting use INDIGENOUS PROGRAMS EVALUATION AND AUDIT – Indigenous Program Evaluations

For formal audit reporting use INDIGENOUS PROGRAMS EVALUATION AND AUDIT – Indigenous Program Audits

| Entry | Description of Records | Disposal Action |
|--------------------|--|--|
| Class no. 15578 | Final version of periodic internal reports on general administrative matters relating to the function of Indigenous programs evaluation and audit. Includes work progress reports against business and work plans and agency level performance reporting. (Date range: 1990 -) | Destroy 5 years after action completed |
| Class no. 15579 | Working papers documenting the development of all agency reports in support of the function of Indigenous programs evaluation and audit. (Date range: 1990 -) | Destroy when reference ceases |

INDIGENOUS PROGRAMS EVALUATION AND AUDIT

The function of providing evaluations and audits of relevant Indigenous-specific programs administered by Australian Government bodies and of activities of any individual or organisation that has received funding or a guarantee, or other property under any relevant program. Includes liaising with government and non-government organisations and preparing responses to questions raised by Ministers or in Parliament.

Research

The activities involved in investigating or enquiring into a subject or area of interest in order to discover facts, principles etc. Used to support development of projects, standards, guidelines etc and the business activities of the organisation in general. Includes following up enquiries relating to organisational programs, projects, working papers, literature searches etc.

| Entry | Description of Records | Disposal Action |
|--------------------|--|--|
| Class no. 15580 | Records documenting detailed major research carried out in support of the function of Indigenous programs evaluation and audit. Includes research carried out in support of key government initiatives impacting on Indigenous-specific programs. (Date range: 1990 -) | Destroy 7 years after action completed |
| Class no. 15581 | Records documenting routine research carried out to support the function of Indigenous programs evaluation and audit. (Date range: 1990 -) | Destroy 2 years after action completed |
| Class no. 15582 | Working papers supporting research carried out in support of the function of Indigenous programs evaluation and audit. (Date range: 1990 -) | Destroy when reference ceases |

Risk management

The process involving identification of risks, likelihood and consequences of those risks and implementation of appropriate practice and procedures to treat the risks.

| Entry | Description of Records | Disposal Action |
|--------------------|---|--|
| Class no. 15583 | Indigenous programs evaluation and audit risk register. (Date range: 1990 -) | Destroy 7 years after next risk assessment |
| Class no. 15584 | Records documenting risk management including each stage of the process, risk assessments, treatment schedules and action plans. (Date range: 1990 -) | Destroy 7 years after next risk assessment |

INDIGENOUS PROGRAMS EVALUATION AND AUDIT

The function of providing evaluations and audits of relevant Indigenous-specific programs administered by Australian Government bodies and of activities of any individual or organisation that has received funding or a guarantee, or other property under any relevant program. Includes liaising with government and non-government organisations and preparing responses to questions raised by Ministers or in Parliament.

Tendering

The activities involved in receiving and assessing tenders, of making offers and finalising contract arrangements for the supply, sale or purchase of goods and services.

| Entry | Description of Records | Disposal Action |
|--------------------|---|---|
| Class no. 15585 | Evaluation of tenders received against selection criteria. Includes records documenting arrangements for carrying out the evaluation process, evaluation reports, recommendations, final reports and public notices. (Date range: 1990 -) | Destroy 7 years after tender process completed |
| Class no. 15586 | Records documenting post-offer negotiations and due diligence checks. (Date range: 1990 -) | Destroy 7 years after tender process completed |
| Class no. 15587 | Records documenting the development and issue of tender documentation. Includes Statement of Requirements, Requests for Proposals, Expressions of Interest (EOI), Request for Tender (RFT) and draft contracts. (Date range: 1990 -) | Destroy 7 years after tender process completed |
| Class no. 15588 | Tender Register. (Date range: 1990 -) | Destroy 7 years after last entry |
| Class no. 15589 | Contract Register. (Date range: 1990 -) | Destroy 7 years after last entry |
| Class no. 15590 | Signed simple contracts and agreements resulting from tenders and supporting records. (Date range: 1990 -) | Destroy 7 years after expiry or other termination of contract |
| Class no. 15591 | Records of unsuccessful tenders or a tender process where there is no successful bidder, or where the tender process has been discontinued. Includes submissions, notification of outcome and reports on debriefing sessions. (Date range: 1990 -) | Destroy 3 years after tender process completed or decision made not to continue with the tender |
| Class no. 15592 | Signed contracts under seal resulting from tenders and supporting records: Western Australia. (Date range: 1990 -) | Destroy 20 years after completion or other termination of contract |
| Class no. 15593 | Signed contracts under seal resulting from tenders and supporting records: Victoria and South Australia. (Date range: 1990 -) | Destroy 15 years after completion or other termination of contract |

INDIGENOUS PROGRAMS EVALUATION AND AUDIT

The function of providing evaluations and audits of relevant Indigenous-specific programs administered by Australian Government bodies and of activities of any individual or organisation that has received funding or a guarantee, or other property under any relevant program. Includes liaising with government and non-government organisations and preparing responses to questions raised by Ministers or in Parliament.

Tendering - Continued

The activities involved in receiving and assessing tenders, of making offers and finalising contract arrangements for the supply, sale or purchase of goods and services.

| <i>Entry</i> | <i>Description of Records</i> | <i>Disposal Action</i> |
|---------------------|--|--|
| Class no. 15594 | Signed contracts under seal resulting from tenders and supporting records: New South Wales, Queensland, Tasmania, Australian Capital Territory, and Northern Territory. (Date range: 1990 -) | Destroy 12 years after completion or other termination of contract |
