



Australian Government

National Archives of Australia

Records Authority

**Insolvency and Trustee Service
Australia**

June 2007

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INTRODUCTION

The Insolvency and Trustee Service Australia (ITSA) 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 functions of the agency. It represents a significant commitment on behalf of ITSA 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 ITSA's legal and organisational recordkeeping requirements, and the interests of stakeholders of both ITSA 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 ITSA 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:**

Inspector General in Bankruptcy
Level 2 AMA House
42 Macquarie Street
BARTON ACT 2600

Purpose:

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

Application:

All functional records

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:

Ross Gibbs

19/6/2007.

Ross Gibbs
Director-General
National Archives of Australia

APPLICATION OF THIS AUTHORITY

1. The classes in this Records Authority supersede those in Records Disposal Authority (RDA) 2000/423 and Records Disposal Schedule (RDS) S413. It also supersedes some classes in Records Disposal Authority (RDA) 1125, which was issued to the Federal Court.
2. Records Disposal Authority (RDA) 2000/423 and Records Disposal Schedule (RDS) S413 are hereby terminated and cannot be used to destroy or dispose of records created on or after date of issue of the Authority.
3. Records Disposal Authority (RDA) 1125, which was issued to the Federal Court should no longer be used to sentence functional records controlled by the Insolvency and Trustee Service Australia (ITSA).
4. 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
5. 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.
6. Records already sentenced under RDA 2000/423, RDS S413 and RDA 1125 do not need to be resentenced:
 - provided they are retained for the minimum periods set out in the relevant superseding classes, or
 - unless they are already sentenced as 'retain permanently' using the previous RDA/RDS and fall within the scope of this Authority.
7. 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. ITSA will need to ensure that any software, hardware or documentation required to enable continuing access to the data is available for the periods prescribed.
8. In general, retention requirements indicate a minimum period for retention. ITSA may extend minimum retention periods if it considers that there is an administrative need to do so. Where ITSA 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.
9. 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.

10. Records in the care of ITSA should be appropriately stored and preserved. ITSA 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.
11. 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.
12. Advice on how to use this Authority is available from ITSA'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

BANKRUPTCY REGULATION

The function of regulating Australia's personal insolvency system in accordance with bankruptcy legislation. Includes representing the agency where appeals against its decision are made, handling complaints against trustees, conducting reviews of trustees' decisions, attending meetings of creditors and conducting investigations into the financial affairs of bankrupts. Also includes inspecting records of trustees and debt agreement administrators, managing the process of registering trustees and determining whether trustees and debt agreement administrators are eligible to act.

Addresses (presentations)

The activity of giving addresses for training, professional, community relations or sales purposes. Includes speeches and multi-media presentations.

Entry	Description of Records	Disposal Action
Class no. 13819	Addresses made by the portfolio Minister, a junior Minister or senior agency officials at major public occasions or events of major significance.	Retain as national archives
Class no. 13820	Final versions of addresses made by agency staff relating to the bankruptcy regulation function.	Destroy 7 years after action completed
Class no. 13821	Working papers documenting the development of addresses, including drafts.	Destroy when reference ceases

Appeals (decisions)

The activities involved in the process of appeals against decisions by application to a higher authority.

Entry	Description of Records	Disposal Action
Class no. 13824	Records documenting appeals made to a higher authority against a decision made by the head of the agency. Includes a copy of the documents prepared in defence of agency, working papers and the decision handed down by higher authority.	Destroy 15 years after action completed

Audit

The activities associated with officially checking financial, quality assurance and operational records 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 organisation in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

For inspections of trustee and administrator records, processes, facilities and equipment to ensure compliance with legislation, use BANKRUPTCY REGULATION – Practitioner Inspections.

Entry	Description of Records	Disposal Action
Class no. 13825	Final internal and external audit reports relating to the bankruptcy regulation function. Includes the final reports from audits conducted by the privacy commissioner or Australian National Audit Office.	Destroy 7 years after action completed

BANKRUPTCY REGULATION

The function of regulating Australia's personal insolvency system in accordance with bankruptcy legislation. Includes representing the agency where appeals against its decision are made, handling complaints against trustees, conducting reviews of trustees' decisions, attending meetings of creditors and conducting investigations into the financial affairs of bankrupts. Also includes inspecting records of trustees and debt agreement administrators, managing the process of registering trustees and determining whether trustees and debt agreement administrators are eligible to act.

Audit - Continued

The activities associated with officially checking financial, quality assurance and operational records 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 organisation in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

For inspections of trustee and administrator records, processes, facilities and equipment to ensure compliance with legislation, use BANKRUPTCY REGULATION – Practitioner Inspections.

Entry	Description of Records	Disposal Action
Class no. 13826	Records documenting the planning and conduct of internal and external audits relating to the bankruptcy regulation function. Includes: <ul style="list-style-type: none">• Liaison with auditing body• Minutes of meetings• Notes taken at opening and exit interviews• Draft report• Comments.	Destroy 7 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 committees formed to consider matters associated with deregistration of a trustee or administrator, use BANKRUPTCY REGULATION – Practitioner Deregistration.

For committees formed to consider matters associated with practitioner registration, use BANKRUPTCY REGULATION – Practitioner Registrations.

For audit committees use STRATEGIC MANAGEMENT – Committees.

Entry	Description of Records	Disposal Action
Class no. 13822	Records of internal and external committees formed to consider matters relating to the bankruptcy regulation function. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agenda etc.	Destroy 15 years after action completed
Class no. 13823	Working papers documenting the conduct and administration of committees which consider matters relating to the bankruptcy regulation function. Includes: agenda, notices of meetings, draft minutes.	Destroy when reference ceases

BANKRUPTCY REGULATION

The function of regulating Australia's personal insolvency system in accordance with bankruptcy legislation. Includes representing the agency where appeals against its decision are made, handling complaints against trustees, conducting reviews of trustees' decisions, attending meetings of creditors and conducting investigations into the financial affairs of bankrupts. Also includes inspecting records of trustees and debt agreement administrators, managing the process of registering trustees and determining whether trustees and debt agreement administrators are eligible to act.

Complaints

The process of handling complaints against the official trustee and registered trustees. Includes complaints made by the public, debtors, creditors or associated parties.

For reporting on complaint handling to the authority and for operational reports generated to assess the complaint handling process, use BANKRUPTCY REGULATION – Reporting.

For complaints requiring investigation, use BANKRUPTCY REGULATION – Investigation.

For general public reaction to policies or services, use OFFICIAL RECEIVER ADMINISTRATION – Public Reaction.

For public and agency responses to the administration of bankrupt estates, use TRUSTEE ADMINISTRATION – Public Reaction.

Entry	Description of Records	Disposal Action
Class no. 13829	Records documenting the handling of complaints to the head of agency. Includes written letter of complaint, working papers, file notes and a copy of the response made to the complainant.	Destroy 7 years after action completed

Enquiries

The activities associated with handling requests for information about the organisation and its services by the general public, agency employees or another organisation.

For activities associated with the handling of requests for information regarding a particular administration, use TRUSTEE ADMINISTRATION – Estate Allocation.

Entry	Description of Records	Disposal Action
Class no. 13830	Records documenting the handling of enquiries relating to the bankruptcy regulation function. Includes responses to enquiries.	Destroy when reference ceases

BANKRUPTCY REGULATION

The function of regulating Australia's personal insolvency system in accordance with bankruptcy legislation. Includes representing the agency where appeals against its decision are made, handling complaints against trustees, conducting reviews of trustees' decisions, attending meetings of creditors and conducting investigations into the financial affairs of bankrupts. Also includes inspecting records of trustees and debt agreement administrators, managing the process of registering trustees and determining whether trustees and debt agreement administrators are eligible to act.

Investigations

The processes involved in investigating the financial affairs of bankrupts to identify income, assets, property transferred to disadvantage creditors and possible offences. Includes conducting searches of public records and formally interviewing bankrupts, debtors and other relevant third parties.

For investigations that result in a committee being formed, use BANKRUPTCY REGULATION – Committees.

For investigations relating to deregistration of trustee or administrator, use BANKRUPTCY REGULATION – Practitioner Deregistration.

For inspections of trustee or administrator records, processes, facilities and equipment to ensure compliance with legislation, use BANKRUPTCY REGULATION – Practitioner Inspections.

For investigations relating to the administration of an estate, use TRUSTEE ADMINISTRATION – Investigations.

For investigations relating to fraudulent and criminal activity, use FRAUD INVESTIGATION – Investigations.

Entry	Description of Records	Disposal Action
Class no. 13831	Records documenting the conduct of investigations arising in response to allegations of misconduct or in response to directions from the Minister or the head of the agency, in accordance with bankruptcy legislation. Includes documents establishing the investigation, working papers, evidence presented during the investigation, interview reports, records documenting the conduct of searches and the final report.	Destroy 7 years after action completed

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.

Entry	Description of Records	Disposal Action
Class no. 13832	Records documenting liaison activities undertaken with external agencies, professional associations, public sector organisations etc in relation to the bankruptcy regulation function. Includes documents establishing liaison meetings and minutes of those meetings, liaison protocols and general correspondence.	Destroy 7 years after action completed

BANKRUPTCY REGULATION

The function of regulating Australia's personal insolvency system in accordance with bankruptcy legislation. Includes representing the agency where appeals against its decision are made, handling complaints against trustees, conducting reviews of trustees' decisions, attending meetings of creditors and conducting investigations into the financial affairs of bankrupts. Also includes inspecting records of trustees and debt agreement administrators, managing the process of registering trustees and determining whether trustees and debt agreement administrators are eligible to act.

Meetings of Creditors

The activity associated with meetings of creditors. Includes convening, conducting, participating in or attending meetings of creditors, completing reports, minutes and certificates of resolutions. Includes creditor resolutions determined by a vote without a formal meeting.

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
Class no. 13833	Final report of attendance at a meeting of creditors in relation to the bankruptcy regulation function.	Destroy 7 years after action completed
Class no. 13834	Working papers documenting attendance at a meeting of creditors in relation to the bankruptcy regulation function. Includes agenda, notice of meetings and preparation notes.	Destroy 7 years after action completed

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.

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
Class no. 13835	Records documenting the development and establishment of policies supporting the bankruptcy regulation function. Includes policy proposals, research papers, results of consultations, major drafts, final policy documents and national policy statements.	Retain as national archives
Class no. 13836	Working papers documenting the development of all bankruptcy regulation policies. Includes drafts, file notes and comments received.	Destroy 7 years after action completed
Class no. 13837	Copies of bankruptcy regulation policies and supporting papers.	Destroy when reference ceases

BANKRUPTCY REGULATION

The function of regulating Australia's personal insolvency system in accordance with bankruptcy legislation. Includes representing the agency where appeals against its decision are made, handling complaints against trustees, conducting reviews of trustees' decisions, attending meetings of creditors and conducting investigations into the financial affairs of bankrupts. Also includes inspecting records of trustees and debt agreement administrators, managing the process of registering trustees and determining whether trustees and debt agreement administrators are eligible to act.

Practitioner Deregistration

The activities associated with the deregistration of a trustee or administrator. Includes voluntary terminations, death of the trustee or administrator and deregistration due to an offence.

For actions that result in a trustee or administrator being re-registered, use BANKRUPTCY REGULATION – Practitioner Re-registration.

Entry	Description of Records	Disposal Action
Class no. 13838	Records documenting proceedings to consider the deregistration of a registered trustee. Includes involuntary terminations of registration and voluntary deregistration of an existing trustee. Also includes written requests from a registered trustee that they cease their registration, supporting documents, research documents, working papers, transcripts, correspondence, copies of the certificate of registration and the final report.	Destroy 15 years after practitioner is de-registered

Practitioner Eligibility

The activities associated with the determination of eligibility of trustees, administrators or solicitor controlling trustees. Includes: checks of the national personal insolvency index, police records, qualifications and with the securities and investments agency to ensure that they have not been deregistered as a liquidator.

For actions that result in registration of a trustee or administrator, use BANKRUPTCY REGULATION – Practitioner Registration.

Entry	Description of Records	Disposal Action
Class no. 13839	Records documenting decision of eligibility of an applicant to become a registered trustee or administrator. Includes the application, written correspondence and supporting documentation.	Destroy 15 years after action completed

BANKRUPTCY REGULATION

The function of regulating Australia's personal insolvency system in accordance with bankruptcy legislation. Includes representing the agency where appeals against its decision are made, handling complaints against trustees, conducting reviews of trustees' decisions, attending meetings of creditors and conducting investigations into the financial affairs of bankrupts. Also includes inspecting records of trustees and debt agreement administrators, managing the process of registering trustees and determining whether trustees and debt agreement administrators are eligible to act.

Practitioner Inspections

The process of official examination of trustee or administrator records, processes, facilities and equipment to ensure compliance with legislation, agreed standards and objectives.

For the investigation of the financial affairs of bankrupts to identify income, assets, property transferred and possible offences, use BANKRUPTCY REGULATION – Investigations.

For audits of administrator records, processes, facilities and equipment to ensure compliance with legislation, use BANKRUPTCY REGULATION – Audit.

Entry	Description of Records	Disposal Action
Class no. 13840	Records documenting a trustee, debt agreement administrator or solicitor controlling trustee inspection. Includes documents establishing inspection, action plans, assessment papers, checklists, transcripts of related discussions, file notes and the final report. Also includes inspections where deficiencies in trustee practices lead to them being declared ineligible to act.	Destroy 7 years after action completed

Practitioner Registration

The activities associated with the registration of trustees and administrators to ensure that only qualified persons are registered to practice as private trustees or administrators. Includes advising applicants on outcome and issuing certificates of registration to new trustees.

For the activities associated with determination of the eligibility of administrators and solicitor controlling trustees, use BANKRUPTCY REGULATION – Practitioner Eligibility.

For formation or actions of committees, use BANKRUPTCY REGULATION – Committees.

For matters relating to investigations, use BANKRUPTCY REGULATION – Investigations.

For matters relating to inspection of trustees and administrators, use BANKRUPTCY REGULATION – Practitioner Inspections.

For matters relating to re-registration of trustees and administrators, use BANKRUPTCY REGULATION – Practitioner Re-registration.

For matters relating to deregistration of trustees and administrators, use BANKRUPTCY REGULATION – Practitioner Deregistration.

Entry	Description of Records	Disposal Action
Class no. 13841	Records documenting proceedings to consider application and registration of registered trustees and administrators. Includes supporting documents, research documents, working papers, transcripts, correspondence, copies of the certificate of registration and the final report.	Disposal not authorised

BANKRUPTCY REGULATION

The function of regulating Australia's personal insolvency system in accordance with bankruptcy legislation. Includes representing the agency where appeals against its decision are made, handling complaints against trustees, conducting reviews of trustees' decisions, attending meetings of creditors and conducting investigations into the financial affairs of bankrupts. Also includes inspecting records of trustees and debt agreement administrators, managing the process of registering trustees and determining whether trustees and debt agreement administrators are eligible to act.

Practitioner Registration - Continued

The activities associated with the registration of trustees and administrators to ensure that only qualified persons are registered to practice as private trustees or administrators. Includes advising applicants on outcome and issuing certificates of registration to new trustees and administrators.

For the activities associated with determination of the eligibility of administrators and solicitor controlling trustees, use BANKRUPTCY REGULATION – Practitioner Eligibility.

For formation or actions of committees, use BANKRUPTCY REGULATION – Committees.

For matters relating to investigations, use BANKRUPTCY REGULATION – Investigations.

For matters relating to inspection of trustees and administrators, use BANKRUPTCY REGULATION – Practitioner Inspections.

For matters relating to re-registration of trustees and administrators, use BANKRUPTCY REGULATION – Practitioner Re-registration.

For matters relating to deregistration of trustees and administrators, use BANKRUPTCY REGULATION – Practitioner Deregistration.

Entry	Description of Records	Disposal Action
Class no. 13842	Registered trustee and administrator contact list.	Destroy when reference ceases

Practitioner Re-registration

The activities associated with the re-registration of existing trustees and administrators. Includes the payments of a statutory fee, the making of an application to the Inspector-General, evidence of professional indemnity insurance, and making the payment of all outstanding realisation charges.

For registrations of trustees or administrators, use BANKRUPTCY REGULATION – Practitioner Registration.

For voluntary deregistration where a trustee or administrator has failed to reregister, use BANKRUPTCY REGULATION – Practitioner Deregistration.

Entry	Description of Records	Disposal Action
Class no. 13843	Records documenting the re-registration of existing registered trustees and administrators. Includes application and final report.	Disposal not authorised

BANKRUPTCY REGULATION

The function of regulating Australia's personal insolvency system in accordance with bankruptcy legislation. Includes representing the agency where appeals against its decision are made, handling complaints against trustees, conducting reviews of trustees' decisions, attending meetings of creditors and conducting investigations into the financial affairs of bankrupts. Also includes inspecting records of trustees and debt agreement administrators, managing the process of registering trustees and determining whether trustees and debt agreement administrators are eligible to act.

Procedures

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

Entry	Description of Records	Disposal Action
Class no. 13844	Master set of manuals, directives etc detailing procedures and guidelines supporting the bankruptcy regulation function.	Retain as national archives
Class no. 13845	Records documenting the development of procedures and guidelines supporting the bankruptcy regulation function.	Destroy when reference ceases
Class no. 13846	Copies of manuals, handbooks, directives, guidelines etc supporting the bankruptcy regulation function.	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 reports relating to audits, use BANKRUPTCY REGULATION – Audit.

For reports relating to investigations, use BANKRUPTCY REGULATION – Investigations.

For reports relating to the re-registration of trustees and administrators, use BANKRUPTCY REGULATION – Practitioner Re-registration.

Entry	Description of Records	Disposal Action
Class no. 13847	Final version of formal internal reports and reports made to external agencies relating to the bankruptcy regulation function. Includes reports to the Inspector General and Ombudsman.	Retain as national archives
Class no. 13848	Final version of periodic internal reports on general administrative matters used to monitor and document recurring activities to support the bankruptcy regulation function.	Destroy 15 years after action completed
Class no. 13849	Working papers documenting the development of all reports. Includes drafts and comments received.	Destroy 15 years after action completed
Class no. 13850	Copies of bankruptcy regulation reports.	Destroy when reference ceases

BANKRUPTCY REGULATION

The function of regulating Australia's personal insolvency system in accordance with bankruptcy legislation. Includes representing the agency where appeals against its decision are made, handling complaints against trustees, conducting reviews of trustees' decisions, attending meetings of creditors and conducting investigations into the financial affairs of bankrupts. Also includes inspecting records of trustees and debt agreement administrators, managing the process of registering trustees and determining whether trustees and debt agreement administrators are eligible to act.

Reviews

The activity of conducting statutory reviews of a trustee's decision involving contribution assessments, early discharge, objections to discharge and fee/charge waivers.

For appeals against a review decision, use BANKRUPTCY REGULATION - Appeals (decisions).

For review of a trustee's remuneration and costs, use OFFICIAL RECEIVER ADMINISTRATION – Remuneration review.

Entry	Description of Records	Disposal Action
Class no. 13851	Records documenting a review conducted by the head of the agency where the review decision may or may not result in an appeal to a higher authority. Includes the written request for review, working papers, file notes, correspondence and details of the outcome of the review.	Destroy 7 years after action completed

COMMON FUND MANAGEMENT

The function of exercising official trustee powers by managing moneys on behalf of administered estates in an authorised deposit-taking institution account known as a common investment fund. Includes establishing, monitoring and maintaining bank accounts in each bankruptcy district. Also includes receipting, depositing and paying moneys into and from these accounts, investment of moneys held in the fund, payment of interest earned in consolidated revenue and reporting fund activity to the head of the agency and other stakeholders.

For financial management activities other than those relating to the common investment fund, use FINANCIAL MANAGEMENT.

Account Maintenance

The activity of establishing and maintaining common investment fund accounts in each bankruptcy district. Includes the setting up of the account with an authorised deposit-taking institution, updating signatories to the account and closing the account.

For contracting out information, use COMMON FUND MANAGEMENT – Contracting-out.

Entry	Description of Records	Disposal Action
Class no. 13886	Financial records and administrative records used for control and accountability in handling money. Includes handover or takeover certificates and reconciliations including bank reconciliations.	Destroy 7 years after action completed
Class no. 13887	Records documenting the establishment and closure of bank accounts. Includes documents relating to the handover of control of the accounts.	Destroy 7 years after action completed

Applications for Loans

The activity of borrowing funds from the Commonwealth for payments from the common investment fund. Includes assessment of the need for a loan, correspondence with the lender and arrangements for its repayment.

Entry	Description of Records	Disposal Action
Class no. 13888	Records documenting loans undertaken by the agency. Includes applications to borrow funds, arrangements for the relocation of the borrowed funds and for repayment of the loan.	Destroy 7 years after action completed

Audit

The activities associated with officially checking financial, quality assurance and operational records 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 organisation in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

Entry	Description of Records	Disposal Action
Class no. 13889	Final report of an internal or external common fund management audit (eg conducted by an external authority such as the Australian National Audit Office). Includes recommendations and implementation plans.	Destroy 7 years after action completed

COMMON FUND MANAGEMENT

The function of exercising official trustee powers by managing moneys on behalf of administered estates in an authorised deposit-taking institution account known as a common investment fund. Includes establishing, monitoring and maintaining bank accounts in each bankruptcy district. Also includes receipting, depositing and paying moneys into and from these accounts, investment of moneys held in the fund, payment of interest earned in consolidated revenue and reporting fund activity to the head of the agency and other stakeholders.

For financial management activities other than those relating to the common investment fund, use FINANCIAL MANAGEMENT.

Audit - Continued

The activities associated with officially checking financial, quality assurance and operational records 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 organisation in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
Class no. 13890	Records documenting the planning and conduct of internal or external audits relating to the common fund management function. Includes: <ul style="list-style-type: none">• Liaison with the auditing body• Minutes of meetings• Notes taken at opening and exit interviews• Draft report• Comments• Declarations nominating accounts exempted from normal• Disclosure.	Destroy 7 years after action completed

Authorisation

The process of delegating power to authorise an action and the seeking and granting of permission to undertake a requested action.

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
Class no. 13891	Delegations of power to agency staff to authorise financial activities and transactions (eg delegation to approve expenditure or appointment of an officer to countersign cheques).	Destroy 7 years after action completed
Class no. 13892	Authorisations for administrative actions relating to financial management (eg authorisation to collect money on behalf of another person).	Destroy 7 years after action completed

COMMON FUND MANAGEMENT

The function of exercising official trustee powers by managing moneys on behalf of administered estates in an authorised deposit-taking institution account known as a common investment fund. Includes establishing, monitoring and maintaining bank accounts in each bankruptcy district. Also includes receipting, depositing and paying moneys into and from these accounts, investment of moneys held in the fund, payment of interest earned in consolidated revenue and reporting fund activity to the head of the agency and other stakeholders.

For financial management activities other than those relating to the common investment fund, use FINANCIAL MANAGEMENT.

Cheque Production

The activity of producing a cheque for payment from the common investment fund. Includes raising cheques for payments to creditors or the bankrupt, and payments to service providers for searches and other services.

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
Class no. 13893	Records documenting the production and issue of cheques. Includes the uploading of information to the service provider, acknowledgement of the receipt from the outsourcer, and the reconciliation of information.	Destroy 7 years after action completed

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.

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
Class no. 13894	Records documenting the contractual arrangements between the organisation and a service provider.	Destroy 7 years after action completed

Investments

The activity of identifying funds surplus to immediate cash flow requirements and investing them on a short-term basis. Includes the monitoring of investment accounts, taking appropriate action upon investment maturity and redeeming investments when required.

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
Class no. 13895	Records documenting investments undertaken by the agency. Includes records documenting the monitoring of investments, action upon investment maturity and the transfer of interest and moneys to consolidated revenue.	Destroy 7 years after action completed

COMMON FUND MANAGEMENT

The function of exercising official trustee powers by managing moneys on behalf of administered estates in an authorised deposit-taking institution account known as a common investment fund. Includes establishing, monitoring and maintaining bank accounts in each bankruptcy district. Also includes receipting, depositing and paying moneys into and from these accounts, investment of moneys held in the fund, payment of interest earned in consolidated revenue and reporting fund activity to the head of the agency and other stakeholders.

For financial management activities other than those relating to the common investment fund, use FINANCIAL MANAGEMENT.

Payments

The activities involved in the preparation and payment of money.

For preparation and payment of money from an estate, use TRUSTEE ADMINISTRATION – Payments.

For preparation and payment of money from a special administration, use SPECIAL TRUSTEE MANAGEMENT – Payments.

Entry	Description of Records	Disposal Action
Class no. 13896	Records documenting the preparation and payment of money for any common fund management activity. Includes journal vouchers and related records documenting the transfer of unclaimed dividends and other eligible funds to consolidated revenue and any forms of vouchers and reports relating to the payment of moneys from the common investment fund. <i>For payments not relating to the common investment fund or dividends, use FINANCIAL MANAGEMENT – Payments.</i> <i>For payments relating to dividends use, TRUSTEE ADMINISTRATION – Payments.</i>	Destroy 15 years after action completed

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. 13897	Records documenting the development and establishment of policies supporting the common fund management function. Includes policy proposals, research papers, results of consultations, major drafts, final policy documents and national policy statements.	Retain as national archives
Class no. 13898	Working papers documenting the development of all financial management policies.	Destroy 15 years after action completed
Class no. 13899	Copies of common fund management policies and supporting papers.	Destroy when reference ceases

COMMON FUND MANAGEMENT

The function of exercising official trustee powers by managing moneys on behalf of administered estates in an authorised deposit-taking institution account known as a common investment fund. Includes establishing, monitoring and maintaining bank accounts in each bankruptcy district. Also includes receipting, depositing and paying moneys into and from these accounts, investment of moneys held in the fund, payment of interest earned in consolidated revenue and reporting fund activity to the head of the agency and other stakeholders.

For financial management activities other than those relating to the common investment fund, use FINANCIAL MANAGEMENT.

Procedures

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

Entry	Description of Records	Disposal Action
Class no. 13900	Master set of manuals, directives etc detailing procedures and guidelines supporting the common fund management function.	Destroy 15 years after action completed
Class no. 13901	Records documenting the development of procedures and guidelines supporting the common fund management function.	Destroy 7 years after action completed
Class no. 13902	Copies of manuals, handbooks, directives, guidelines etc supporting the common fund management function.	Destroy when reference ceases

Receipts

The activity of receipting moneys payable to the common investment fund. Includes preparing receipts for payees, securing and depositing funds into the required account and reconciling accounts against agency records.

Entry	Description of Records	Disposal Action
Class no. 13903	Records documenting the receipt of monies into the common investment fund. Includes receipt books, statements, deposit slips action completed and reports.	Destroy 15 years after action completed

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 reports resulting from audits, use COMMON FUND MANAGEMENT - Audit

Entry	Description of Records	Disposal Action
Class no. 13904	Final version of formal internal reports and reports made to external agencies relating to the common fund management function. Includes reports made in response to a statutory obligation or reports required to be submitted on a regular basis.	Retain as national archives

COMMON FUND MANAGEMENT

The function of exercising official trustee powers by managing moneys on behalf of administered estates in an authorised deposit-taking institution account known as a common investment fund. Includes establishing, monitoring and maintaining bank accounts in each bankruptcy district. Also includes receipting, depositing and paying moneys into and from these accounts, investment of moneys held in the fund, payment of interest earned in consolidated revenue and reporting fund activity to the head of the agency and other stakeholders.

For financial management activities other than those relating to the common investment fund, use FINANCIAL MANAGEMENT.

Reporting - Continued

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 reports resulting from audits, use COMMON FUND MANAGEMENT - Audit

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
Class no. 13905	Final version of periodic reports on general administrative matters used to monitor and document recurring activities to support the common fund management function.	Destroy 15 years after action completed
Class no. 13906	Working papers document the development of all reports. Includes drafts and comments received.	Destroy 15 years after action completed
Class no. 13907	Copies of common fund management reports.	Destroy when reference ceases

FRAUD INVESTIGATION

The function of dealing with matters alleging fraudulent and criminal activity by individuals or organisations external to the agency. Includes assessing referrals of alleged fraud and conducting investigations of offences under the relevant legislation (eg the Bankruptcy Act, the Commonwealth Crimes Act and the Criminal Code). Also includes liaising with other agencies, executing search warrants, finalising matters, recovering money or property and preparing submissions.

Addresses (presentations)

The activity of giving addresses for training, professional, community relations or sales purposes. Includes speeches and multi-media presentations.

Entry	Description of Records	Disposal Action
Class no. 13973	Final versions of addresses delivered upon request or in the routine promotion of the agency's services or products.	Destroy when reference ceases
Class no. 14000	Working papers documenting the development of addresses, including drafts.	Destroy when reference ceases

Assessment

The activity of assessing information or documents, determining their accuracy, giving consideration to eligibility requirements and making a recommendation for or against proceeding further. Includes assessing documents presented for registration and referrals made for investigation.

For referring certain matters to police for investigation and prosecution, use FRAUD INVESTIGATION – Finalisation.

For submissions to the Commonwealth prosecution agency, use FRAUD INVESTIGATION – Submissions.

Entry	Description of Records	Disposal Action
Class no. 13913	Register of all allegations of fraud referred for investigation.	Disposal not authorised
Class no. 13914	Records documenting the initial assessment to determine whether to proceed with an investigation. Includes copy of referral, assessment sheet, investigation plan, supporting papers, review of assessment, file notes, submissions to and responses from other Commonwealth agencies.	Destroy 7 years after action completed

Enquiries

The activities associated with handling requests for information about the organisation and its services by the general public, agency employees or another organisation.

For activities associated with the handling of requests for information regarding a particular administration, use TRUSTEE ADMINISTRATION – Enquiries.

Entry	Description of Records	Disposal Action
Class no. 13916	Records documenting the handling of public enquiries about the fraud investigation function.	Destroy 2 years after action completed

FRAUD INVESTIGATION

The function of dealing with matters alleging fraudulent and criminal activity by individuals or organisations external to the agency. Includes assessing referrals of alleged fraud and conducting investigations of offences under the relevant legislation (eg the Bankruptcy Act, the Commonwealth Crimes Act and the Criminal Code). Also includes liaising with other agencies, executing search warrants, finalising matters, recovering money or property and preparing submissions.

Finalisation

The activity associated with the finalisation of a matter. Includes advising stakeholders on the result of investigations and referring certain matters to police for investigation and prosecution.

For assessment of referrals made for investigation, use FRAUD INVESTIGATION – Assessment.

For finalisation of personal insolvency administrations, use TRUSTEE ADMINISTRATION – Finalisation.

For finalisation of a matter that was not investigated, use FRAUD INVESTIGATION – Assessment.

Entry	Description of Records	Disposal Action
Class no. 13918	Records documenting the finalisation of a fraud investigation where the investigation: <ul style="list-style-type: none">• Was controversial or subject to a high level of public and media interest• Was conducted in an manner that differed notably from standard procedures, such as first investigations carried out following significant changes in bankruptcy legislation or policy• Resulted in significant changes to bankruptcy legislation or policy. Includes records of decisions from the Commonwealth prosecution agency, written notification to stakeholders and any public announcements.	Retain as national archives
Class no. 13917	Records documenting the finalisation of a fraud investigation where the investigation was not controversial or subject to public or media interest or did not reflect, or result in, changes to bankruptcy legislation or policy. Includes records of decisions from Commonwealth prosecution agency, written notification to stakeholders and any public announcements.	Destroy 7 years after action completed

FRAUD INVESTIGATION

The function of dealing with matters alleging fraudulent and criminal activity by individuals or organisations external to the agency. Includes assessing referrals of alleged fraud and conducting investigations of offences under the relevant legislation (eg the Bankruptcy Act, the Commonwealth Crimes Act and the Criminal Code). Also includes liaising with other agencies, executing search warrants, finalising matters, recovering money or property and preparing submissions.

Investigations

The processes involved in investigating the financial affairs of bankrupts to identify income, assets, property transferred to disadvantage creditors and possible offences. Includes conducting searches of public records and formally interviewing bankrupts, debtors and other relevant third parties.

For investigations involving the administration of an estate - use TRUSTEE ADMINISTRATION – Investigations.

For advising stakeholders on the result of investigations and the referral of certain matters to police for investigation and prosecution, use FRAUD INVESTIGATION – Finalisation.

For investigations that require a search warrant to be executed, use FRAUD INVESTIGATION – Search Warrants.

For investigations into the financial affairs of bankrupts, use BANKRUPTCY REGULATION – Investigations.

Entry	Description of Records	Disposal Action
Class no. 13919	Register of exhibits.	Disposal not authorised
Class no. 13920	Documents recording the conduct of an investigation into alleged fraud. Includes file notes, supporting documents, interview transcripts and records of evidence.	Destroy 7 years after action completed
Class no. 13921	Report of findings.	Destroy 7 years after action completed

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.

Entry	Description of Records	Disposal Action
Class no. 13922	Records documenting liaison activities undertaken with the Commonwealth law enforcement and prosecution agencies. Includes documents establishing liaison meetings and minutes of those meetings, liaison protocols and general correspondence.	Destroy 2 years after action completed

FRAUD INVESTIGATION

The function of dealing with matters alleging fraudulent and criminal activity by individuals or organisations external to the agency. Includes assessing referrals of alleged fraud and conducting investigations of offences under the relevant legislation (eg the Bankruptcy Act, the Commonwealth Crimes Act and the Criminal Code). Also includes liaising with other agencies, executing search warrants, finalising matters, recovering money or property and preparing submissions.

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. 13974	Final version of section or business unit's plans relating to the fraud investigation function.	Destroy 2 years after action completed
Class no. 14001	Working papers used in developing all fraud investigation plans. Includes draft plans, reports analysing issues, comments received from other areas of the agency.	Destroy 2 years after action completed
Class no. 14002	Copies of fraud investigation plans.	Destroy 2 years after action completed
Class no. 14003	Records used for planning actions or documenting reasons for planning of the fraud control plan for the agency.	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. 13925	Records documenting the development and establishment of policies supporting the fraud investigation function. Includes policy proposals, research papers, results of consultations, major drafts, final policy documents and national policy statements.	Retain as national archives
Class no. 13926	Copies of fraud investigation policies and working papers.	Destroy when reference ceases

Procedures

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

Entry	Description of Records	Disposal Action
Class no. 13927	Master set of manuals, directives etc detailing procedures and guidelines supporting the fraud investigation function.	Destroy when reference ceases
Class no. 13929	Records documenting the development of procedures and guidelines supporting the fraud investigation function.	Destroy when reference ceases

FRAUD INVESTIGATION

The function of dealing with matters alleging fraudulent and criminal activity by individuals or organisations external to the agency. Includes assessing referrals of alleged fraud and conducting investigations of offences under the relevant legislation (eg the Bankruptcy Act, the Commonwealth Crimes Act and the Criminal Code). Also includes liaising with other agencies, executing search warrants, finalising matters, recovering money or property and preparing submissions.

Procedures - Continued

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

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
Class no. 13928	Copies of manuals, handbooks, directives, guidelines etc supporting the fraud investigation function.	Destroy when reference ceases

Recovery

The activity of recovering monies or property that have been lost through fraud or crimes against the Commonwealth. Includes advising stakeholders on outcome.

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
Class no. 13930	Records used in the recovery (or attempted recovery) of monies in line with a reparation order. Includes property receipts and property exhibit register.	Destroy 7 years after action completed

*For register of exhibits relating to fraud investigations, use
FRAUD INVESTIGATIONS – Investigations.*

Reviewing

The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
Class no. 13931	Records documenting a review of agency programs and operations supporting the fraud investigation function. Includes documents establishing the review, reports and action plan.	Destroy when reference ceases

Search Warrants

The activity associated with the execution of search and seizure warrants and summons under the relevant legislation. Includes making application to a court of competent jurisdiction and the execution of the warrant.

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
Class no. 13932	Records documenting the process of applying for and executing a search warrant in relation to a fraud investigation matter. Includes action completed application to court, copy of court order, briefing notes, inventory of items seized and file notes.	Destroy 7 years after action completed

FRAUD INVESTIGATION

The function of dealing with matters alleging fraudulent and criminal activity by individuals or organisations external to the agency. Includes assessing referrals of alleged fraud and conducting investigations of offences under the relevant legislation (eg the Bankruptcy Act, the Commonwealth Crimes Act and the Criminal Code). Also includes liaising with other agencies, executing search warrants, finalising matters, recovering money or property and preparing submissions.

Submissions

The preparation and submission of a formal statement (eg report, statistics, etc) supporting a case or opinion held by the organisation, which is submitted to another organisation or within the organisation, for the purpose of either gain or support.

For submissions relating to the initial assessment of investigations, use FRAUD INVESTIGATION – Assessment.

Entry	Description of Records	Disposal Action
Class no. 13933	Records documenting the preparation and submission of a brief of evidence to the Commonwealth prosecution agency. Includes correspondence, supporting or working papers whether submission is successful or unsuccessful.	Destroy 7 years after action completed

OFFICIAL RECEIVER ADMINISTRATION

The function of exercising official receiver powers to assist trustees in the administration of personal insolvency matters under their control. Activities include authorising access to premises and books, giving addresses (presentations), assessing documents presented for filing, processing debt agreements, responding to enquiries for information including national personal insolvency index searches and public file access, conducting examinations, assessing hardship applications, issuing bankruptcy notices and other statutory notices, dealing with reaction from the public such as complaints and compliments, acceptance and registration of documents in the agencies local database and the national personal insolvency index, remuneration reviews and taking inventories.

Access to Premises

The activity of gaining access to premises for a purpose in accordance with bankruptcy legislation by the official receiver or an officer authorised by the official receiver.

Entry	Description of Records	Disposal Action
Class no. 13934	Copies of the notice and supporting correspondence issued by an official receiver to gain access to premises under the power of bankruptcy legislation.	Destroy 15 years after action completed
Class no. 13935	Records documenting the execution of a notice. Includes briefing notes, written authorisations to access premises, file notes, inventory of records seized and related correspondence.	Destroy 15 years after action completed
Class no. 13936	Working papers relating to the issue of a notice including correspondence, file notes and draft notices.	Destroy 15 years after action completed

Addresses (presentations)

The activity of giving addresses for training, professional, community relations or sales purposes. Includes speeches and multi-media presentations.

Entry	Description of Records	Disposal Action
Class no. 13937	Final versions of addresses delivered that deal with new policy or legislation.	Retain as national archives
Class no. 14044	Final versions of addresses delivered upon request or in the routine promotion of the agency's services or products.	Destroy 7 years after action completed
Class no. 13939	Working papers documenting the development of addresses, including drafts.	Destroy 7 years after action completed

Assessment

The activity of assessing information or documents, determining their accuracy, giving consideration to eligibility requirements and making a recommendation for or against proceeding further. Includes assessing documents presented for registration and referrals made for investigation.

For assessment of hardship applications, use OFFICIAL RECEIVER ADMINISTRATION – Hardship Assessment.

Entry	Description of Records	Disposal Action
Class no. 13940	Copies of applications made to the court.	Disposal not authorised

OFFICIAL RECEIVER ADMINISTRATION

The function of exercising official receiver powers to assist trustees in the administration of personal insolvency matters under their control. Activities include authorising access to premises and books, giving addresses (presentations), assessing documents presented for filing, processing debt agreements, responding to enquiries for information including national personal insolvency index searches and public file access, conducting examinations, assessing hardship applications, issuing bankruptcy notices and other statutory notices, dealing with reaction from the public such as complaints and compliments, acceptance and registration of documents in the agencies local database and the national personal insolvency index, remuneration reviews and taking inventories.

Assessment - Continued

The activity of assessing information or documents, determining their accuracy, giving consideration to eligibility requirements and making a recommendation for or against proceeding further. Includes assessing documents presented for registration and referrals made for investigation.

For assessment of hardship applications, use OFFICIAL RECEIVER ADMINISTRATION – Hardship Assessment.

Entry	Description of Records	Disposal Action
Class no. 13941	Records detailing the rejection of a debtor's petition under bankruptcy legislation.	Disposal not authorised
Class no. 13942	Records of decision to accept documents lodged with the official receiver including checklists and file notes.	Disposal not authorised
Class no. 13943	Register of rejected documents such as incomplete statement of affairs forms returned for further action.	Destroy 2 years after action completed

Debt Agreements

The activity associated with receiving and processing proposals for debt agreements. Includes variation and termination of debt agreement proposals.

For information relating to the Inspector-General in bankruptcy inquiring into or regulating the activities of debt agreement administrators, use BANKRUPTCY REGULATION – Reviews.

Entry	Description of Records	Disposal Action
Class no. 14323	Correspondence regarding the status of a debt agreement and certification that the terms of agreement are complete.	Disposal not authorised
Class no. 13944	Records documenting correspondence to creditors asking if they will accept the proposal.	Destroy 7 years after action completed
Class no. 13945	Records documenting notification of a meeting to be held to consider proposals.	Destroy 7 years after action completed
Class no. 13946	Records documenting the processing of a debt agreement proposal that is rejected by creditors. Includes the proposal, correspondence and voting forms and record of proceedings where a meeting is held.	Destroy 7 years after action completed

OFFICIAL RECEIVER ADMINISTRATION

The function of exercising official receiver powers to assist trustees in the administration of personal insolvency matters under their control. Activities include authorising access to premises and books, giving addresses (presentations), assessing documents presented for filing, processing debt agreements, responding to enquiries for information including national personal insolvency index searches and public file access, conducting examinations, assessing hardship applications, issuing bankruptcy notices and other statutory notices, dealing with reaction from the public such as complaints and compliments, acceptance and registration of documents in the agencies local database and the national personal insolvency index, remuneration reviews and taking inventories.

Debt Agreements - Continued

The activity associated with receiving and processing proposals for debt agreements. Includes variation and termination of debt agreement proposals.

For information relating to the Inspector-General in bankruptcy inquiring into or regulating the activities of debt agreement administrators, use BANKRUPTCY REGULATION – Reviews.

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
Class no. 13947	Records documenting the processing of a debt agreement proposal that is accepted by creditors. Includes the proposal, correspondence and voting forms, record of proceedings where a meeting is held and the debt agreement certificate issued.	Destroy 7 years after action completed

Delegation

The activities associated with the official receiver delegating powers to authorise an action and granting permission to undertake a requested action. Includes receipt of a signed instrument of delegated powers.

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
Class no. 13948	Records documenting officers' delegations to perform agency functions and duties. Includes the authorisation and instrument of appointment.	Destroy 15 years after action completed

Enquiries

The activities associated with handling requests for information about the organisation and its services by the general public, agency employees or another organisation.

For activities associated with the handling of requests for information regarding a particular administration, use TRUSTEE ADMINISTRATION – Estate Allocation.

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
Class no. 13949	Written requests for access to public documents.	Destroy when reference ceases
Class no. 13950	Records documenting the handling of public enquiries about the official receiver administration function. Includes responses to enquiries and minutes of interviews.	Destroy when reference ceases

OFFICIAL RECEIVER ADMINISTRATION

The function of exercising official receiver powers to assist trustees in the administration of personal insolvency matters under their control. Activities include authorising access to premises and books, giving addresses (presentations), assessing documents presented for filing, processing debt agreements, responding to enquiries for information including national personal insolvency index searches and public file access, conducting examinations, assessing hardship applications, issuing bankruptcy notices and other statutory notices, dealing with reaction from the public such as complaints and compliments, acceptance and registration of documents in the agencies local database and the national personal insolvency index, remuneration reviews and taking inventories.

Enquiries - Continued

The activities associated with handling requests for information about the organisation and its services by the general public, agency employees or another organisation.

For activities associated with the handling of requests for information regarding a particular administration, use TRUSTEE ADMINISTRATION – Estate Allocation.

Entry	Description of Records	Disposal Action
Class no. 13951	Written requests for information from the national personal insolvency index.	Destroy when reference ceases

Examination

This activity of conducting an examination of a person, at the request of the trustee, in accordance with relevant bankruptcy legislation. Includes carrying out hearings, administration of oaths and reimbursement of costs to attend hearings.

For financial transactions, use FINANCIAL MANAGEMENT – Accounting.

Entry	Description of Records	Disposal Action
Class no. 13952	Records documenting the conduct of an examination including the transcript of proceedings, written authorisations to attend and a record of documents presented including audio or visual recording.	Destroy 15 years after action completed

Hardship Assessment

The activity associated with the official receiver assessing a hardship application submitted by a bankrupt who is required to make income contributions. Includes deciding on variations to contributions if the bankrupt suffers hardship.

For new income contribution assessments made based upon a decision, use TRUSTEE ADMINISTRATION – Income Contribution Assessment.

For assessments, reassessments and variations of contributions where decision is made by the trustee, use TRUSTEE ADMINISTRATION – Income Contribution Assessment.

Entry	Description of Records	Disposal Action
Class no. 14045	Records documenting the assessment of a hardship application. Including the official receiver's notice of determination and correspondence relating to the application.	Destroy 15 years after action completed

OFFICIAL RECEIVER ADMINISTRATION

The function of exercising official receiver powers to assist trustees in the administration of personal insolvency matters under their control. Activities include authorising access to premises and books, giving addresses (presentations), assessing documents presented for filing, processing debt agreements, responding to enquiries for information including national personal insolvency index searches and public file access, conducting examinations, assessing hardship applications, issuing bankruptcy notices and other statutory notices, dealing with reaction from the public such as complaints and compliments, acceptance and registration of documents in the agencies local database and the national personal insolvency index, remuneration reviews and taking inventories.

Issuing Notices

The activity associated with issuing notices. Includes the issue of bankruptcy notices, offshore notices and statutory notices under the relevant legislation. Also includes the extension of period set out in the notice, variation of the notice and withdrawal of the notice.

Entry	Description of Records	Disposal Action
Class no. 13955	Records documenting the execution of a bankruptcy notice by the official receiver. Includes the original notice, copies, accompanying judgement, correspondence sent or received in relation to the notice and written authorisation of extension to notice where granted.	Destroy 7 years after action completed
Class no. 13956	Records documenting the process of issuing a notice by the official receiver under the power of bankruptcy legislation.	Destroy 15 years after action completed
Class no. 13957	Register of notices issued by the official receiver under the power of bankruptcy legislation.	Destroy 15 years after last entry

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.

Entry	Description of Records	Disposal Action
Class no. 13958	Records documenting the exchange of information and ideas between parties external to the agency.	Destroy 7 years after action completed

OFFICIAL RECEIVER ADMINISTRATION

The function of exercising official receiver powers to assist trustees in the administration of personal insolvency matters under their control. Activities include authorising access to premises and books, giving addresses (presentations), assessing documents presented for filing, processing debt agreements, responding to enquiries for information including national personal insolvency index searches and public file access, conducting examinations, assessing hardship applications, issuing bankruptcy notices and other statutory notices, dealing with reaction from the public such as complaints and compliments, acceptance and registration of documents in the agencies local database and the national personal insolvency index, remuneration reviews and taking inventories.

National Personal Insolvency Index

The activity of maintaining an index containing information on bankruptcy proceedings and administrations in accordance with bankruptcy legislation.

For requests for information from the national personal insolvency index, use OFFICIAL RECEIVER ADMINISTRATION – Enquiries.

For stamping and acceptance of documents prior to input into the national personal insolvency index, use OFFICIAL RECEIVER ADMINISTRATION – Registration

Entry	Description of Records	Disposal Action
Class no. 13959	Index documenting all national personal insolvency information, also known as the NPIL. Includes predecessor indexes to bankrupts and debtors.	Retain as national archives

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.

For records documenting the preparation and passage of an agency's legislation through Parliament, use GOVERNMENT RELATIONS – Legislation.

Entry	Description of Records	Disposal Action
Class no. 13960	Records documenting the development and establishment of policies supporting the official receiver administration function. Includes policy proposals, research papers, results of consultations, major drafts, documenting or contributing to the development of the policy, final policy documents and national policy statements.	Retain as national archives
Class no. 13961	Working papers documenting or contributing to the development of the policy, final policy documents and national policy statements.	Destroy when reference ceases
Class no. 13962	Copies of official receiver administration policies and supporting papers.	Destroy when reference ceases

OFFICIAL RECEIVER ADMINISTRATION

The function of exercising official receiver powers to assist trustees in the administration of personal insolvency matters under their control. Activities include authorising access to premises and books, giving addresses (presentations), assessing documents presented for filing, processing debt agreements, responding to enquiries for information including national personal insolvency index searches and public file access, conducting examinations, assessing hardship applications, issuing bankruptcy notices and other statutory notices, dealing with reaction from the public such as complaints and compliments, acceptance and registration of documents in the agencies local database and the national personal insolvency index, remuneration reviews and taking inventories.

Procedures

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

Entry	Description of Records	Disposal Action
Class no. 13963	Master set of manuals, directives etc detailing procedures and guidelines supporting the official receiver administration function.	Retain as national archives
Class no. 13964	Records documenting the development of agency procedures and guidelines supporting the official receiver administration function.	Destroy 7 years after action completed
Class no. 13965	Copies of manuals, handbooks, directives, guidelines etc supporting the official receiver administration function.	Destroy when reference ceases

Production of Books

The activity associated with coordinating the production of books and records to the official receiver requested under the authority of bankruptcy legislation.

Entry	Description of Records	Disposal Action
Class no. 13966	Records documenting the seizure and retention of books by the official receiver. Includes invoices, file notes and inventory of items produced.	Destroy 15 years after action completed

Public Reaction

The process of handling public reaction to an organisation's policies or services. Includes anonymous letters, letters of complaint and letters of congratulations or appreciation received from the public.

For matters where the complaint is about the practitioner, use BANKRUPTCY REGULATION – Complaints.

For the handling of formal complaints, use BANKRUPTCY REGULATION – Complaints.

Entry	Description of Records	Disposal Action
Class no. 13967	Complaints and compliments register.	Destroy 7 years after action completed
Class no. 13968	Records documenting public reaction and agency responses.	Destroy 7 years after action completed

OFFICIAL RECEIVER ADMINISTRATION

The function of exercising official receiver powers to assist trustees in the administration of personal insolvency matters under their control. Activities include authorising access to premises and books, giving addresses (presentations), assessing documents presented for filing, processing debt agreements, responding to enquiries for information including national personal insolvency index searches and public file access, conducting examinations, assessing hardship applications, issuing bankruptcy notices and other statutory notices, dealing with reaction from the public such as complaints and compliments, acceptance and registration of documents in the agencies local database and the national personal insolvency index, remuneration reviews and taking inventories.

Registration

The process of receiving documents presented to the official receiver for filing or registration. These may include orders, applications, declarations, petitions, statements of affairs and agreements. Includes stamping and acceptance of documents.

For forwarding copies of relevant documents to trustees, use TRUSTEE ADMINISTRATION – Estate Allocation.

Entry	Description of Records	Disposal Action
Class no. 13969	Documents relating to an existing administration lodged with official receiver in accordance with the relevant legislation. Includes certificates of annulment or early discharge, notices of objection or finalisation, court orders, deeds of assignment or arrangement, special resolutions and notifications of change to trustee.	Retain as national archives
Class no. 14046	Documents required to be lodged by a debtor that result in bankruptcy. Documents include debtor's petition and statement of affairs forms accepted by official receiver.	Retain as national archives
Class no. 14047	Document lodged by a creditor at court that has resulted in bankruptcy of a debtor, such as a creditors petition and sequestration order.	Retain as national archives
Class no. 14048	Document lodged by a creditor at court that has not resulted in bankruptcy, such as creditor petitions that have not resulted in a sequestration order.	Retain as national archives
Class no. 14050	A register of all estates that were bankrupt in any year such as estate registers.	Destroy 7 years after action completed
Class no. 14051	Document lodged by a debtor that results in a moratorium on debts by the creditors, such as declarations of intent accepted by the official receiver.	Destroy 7 years after action completed
Class no. 14052	Documents lodged by a registered trustee advising the official receiver that they are willing to act on behalf of bankrupt debtor, such as consent to act letters or forms.	Destroy 7 years after action completed
Class no. 14053	Documents lodged by registered trustees each year that record the receipts and payments for each estate that they control, such as annual estate returns.	Destroy 7 years after action completed

OFFICIAL RECEIVER ADMINISTRATION

The function of exercising official receiver powers to assist trustees in the administration of personal insolvency matters under their control. Activities include authorising access to premises and books, giving addresses (presentations), assessing documents presented for filing, processing debt agreements, responding to enquiries for information including national personal insolvency index searches and public file access, conducting examinations, assessing hardship applications, issuing bankruptcy notices and other statutory notices, dealing with reaction from the public such as complaints and compliments, acceptance and registration of documents in the agencies local database and the national personal insolvency index, remuneration reviews and taking inventories.

Remuneration Review

The activity associated with the review and taxing of a trustee's remuneration and costs under relevant bankruptcy legislation.

For reviews of trustees' decisions, use BANKRUPTCY REGULATION – Reviews.

Entry	Description of Records	Disposal Action
Class no. 14057	Records documenting a review of trustee's remuneration. Includes application for review, related correspondence, bill of costs, register of hearing details and certificate of taxation.	Destroy 15 years after action completed

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.

Entry	Description of Records	Disposal Action
Class no. 14058	Final version of formal reports made to external agencies relating to the official receiver administration function. Includes reports made in response to a statutory obligation or reports required to be submitted on a regular basis.	Retain as national archives
Class no. 14059	Final version of formal internal reports relating to the official receiver administration function. Includes reports made in response to a statutory obligation or reports required to be submitted on a regular basis.	Destroy 7 years after action completed
Class no. 14060	Final version of periodic internal reports on general administrative matters used to monitor and comment recurring activities to support the official receiver administration function.	Destroy when reference ceases
Class no. 14061	Working papers documenting the development of all reports. Includes drafts and comments received.	Destroy when reference ceases
Class no. 14062	Copies of reports relating to the official receiver administration function.	Destroy when reference ceases

OFFICIAL RECEIVER ADMINISTRATION

The function of exercising official receiver powers to assist trustees in the administration of personal insolvency matters under their control. Activities include authorising access to premises and books, giving addresses (presentations), assessing documents presented for filing, processing debt agreements, responding to enquiries for information including national personal insolvency index searches and public file access, conducting examinations, assessing hardship applications, issuing bankruptcy notices and other statutory notices, dealing with reaction from the public such as complaints and compliments, acceptance and registration of documents in the agencies local database and the national personal insolvency index, remuneration reviews and taking inventories.

Trustee Inventory

The activities associated with a trustee preparing lists of items relating to an estate or associated entity being investigated or administered by the official trustee. Includes inventories relating to administrations under relevant legislation or any other legislation under which the official trustee or official receiver has powers.

For taking of inventory in relation to a special administration, use SPECIAL TRUSTEE ADMINISTRATION – Trustee Inventory.

For taking of inventory in relation to a bankrupt estate, use TRUSTEE ADMINISTRATION – Trustee Inventory.

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
Class no. 14063	Records documenting inventories taken in the course of exercising official receiver powers. Includes lists of items, photographic evidence and receipts of items.	Destroy 18 years after date of bankruptcy

SPECIAL TRUSTEE MANAGEMENT

The function of the official receiver and the official trustee implementing orders made under the relevant Commonwealth legislation to collect child maintenance payments or deprive criminals of monetary gains made from illegal actions. Activities include accounting for financial transactions, delivering addresses (presentations), acquiring, protecting and realising property forfeited to the Commonwealth or in satisfaction of pecuniary penalty orders and child maintenance arrears, liaison, allocating orders, policy, procedures, reporting and preparing inventories.

Accounting

The process of collecting, recording, classifying, summarising and analysing information on financial transactions, and subsequently on the financial position and operating results of the organisation. Includes financial statements, and the implementation, maintenance, monitoring and auditing of the organisation's accounting systems and internal controls.

For payment or transfer of child maintenance and illegal gains, use SPECIAL TRUSTEE MANAGEMENT – Payments.

Entry	Description of Records	Disposal Action
Class no. 14064	Accounting records documenting the management of funds relating to a special trustee administration. Includes journals, ledgers, receipt records, cheque records, reports and statements of receipts.	Destroy 15 years after action completed
Class no. 14065	Records documenting the establishment and closure of bank accounts, raising of invoices and management of money held against the account. Includes invoices, journals, ledgers, receipt records, cheque records, statements of receipts and reports.	Destroy 15 years after action completed
Class no. 14066	Records documenting written notice of a proceeds of crime matter being administered by the official trustee.	Destroy 15 years after action completed

Addresses (presentations)

The activity of giving addresses for training, professional, community relations or sales purposes. Includes speeches and multi-media presentations.

Entry	Description of Records	Disposal Action
Class no. 14069	Final versions of addresses delivered upon request or in the routine promotion of the agency's services or products. Includes the requests for the presentation, the documentation used in the presentation and the reports submitted relating to the presentations.	Destroy 7 years after action completed
Class no. 14070	Working papers documenting the development of addresses, including drafts.	Destroy when reference ceases

SPECIAL TRUSTEE MANAGEMENT

The function of the official receiver and the official trustee implementing orders made under the relevant Commonwealth legislation to collect child maintenance payments or deprive criminals of monetary gains made from illegal actions. Activities include accounting for financial transactions, delivering addresses (presentations), acquiring, protecting and realising property forfeited to the Commonwealth or in satisfaction of pecuniary penalty orders and child maintenance arrears, liaison, allocating orders, policy, procedures, reporting and preparing inventories.

Agreements

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

Entry	Description of Records	Disposal Action
Class no. 14071	Final version of agreements, protocols and memorandum of understanding relating to the special trustee management function.	Destroy 2 years after action completed
Class no. 14072	Records documenting negotiations, establishing, maintenance and review of agreements.	Destroy 2 years after action completed

Assets (acquisition)

The activity associated with the official trustee taking possession of property associated with an administration under the relevant legislation. Includes notifying relevant parties that the property is in the control of the official trustee and making and implementing necessary arrangements to take possession of the property.

Entry	Description of Records	Disposal Action
Class no. 14073	Records documenting the acquisition of assets by the official trustee or their agent. Includes asset descriptions, asset registers, correspondence with agents, notifying affected parties, proof of acquisition, supporting documents and arrangements for taking possession of properties.	Destroy 15 years after action completed

Assets (protection)

The activity associated with the protection of assets. Includes maintaining assets to retain value pending realisation or revesting, physical security, arranging insurance cover, lodging caveats, arranging transmission for real estate, freezing bank accounts and maintaining a securities register.

Entry	Description of Records	Disposal Action
Class no. 14074	Records documenting the protection of assets held in the custody of the official trustee. Includes copies of insurance premiums and cover notes, details of secure storage arrangements, copy of caveat/charge lodged, photographs/videos of assets and inspection reports.	Destroy 15 years after action completed
Class no. 14075	Security register. Includes copies of receipts given in exchange for goods, pecuniary penalty orders, court documents and all other documentation used or required in the protection of assets, held by official trustee on behalf of a special administration.	Destroy 15 years after action completed

SPECIAL TRUSTEE MANAGEMENT

The function of the official receiver and the official trustee implementing orders made under the relevant Commonwealth legislation to collect child maintenance payments or deprive criminals of monetary gains made from illegal actions. Activities include accounting for financial transactions, delivering addresses (presentations), acquiring, protecting and realising property forfeited to the Commonwealth or in satisfaction of pecuniary penalty orders and child maintenance arrears, liaison, allocating orders, policy, procedures, reporting and preparing inventories.

Assets (realisation)

The activity associated with the realisation of property controlled by the official trustee. This includes preparing a plan for realising an asset, arranging transmission for real estate, instructing agents and solicitors and acting on the sale of the asset on behalf of the official trustee, advising affected parties and receiving/investing the proceeds of sale.

For distribution of funds, use SPECIAL TRUSTEE MANAGEMENT – Payments.

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
Class no. 14076	Records documenting the sale, realisation or return of assets. Includes correspondence with affected parties and their agents/solicitors or defendants and their solicitors on sale outcomes, receipt/investment records, distribution calculations and file notes. Also includes any working papers or work plans.	Destroy 15 years after action completed

Assets (valuation)

The activity of having an asset or item valued by an external service provider. Includes assets and items that are realised from a special administration matter.

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
Class no. 14077	Records documenting the valuing of an asset. Includes instructions to valuers, records/documents of the valuation, correspondence, receipts and file notes.	Destroy 15 years after action completed

Audit

The activities associated with officially checking financial, quality assurance and operational records 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 organisation in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
Class no. 14078	Final report of an internal or external audit.	Destroy 7 years after action completed
Class no. 14079	Records documenting the planning and conduct of internal or external audits relating to the special trustee management function. Includes minutes of meetings, draft report and statements of realisation and distribution.	Destroy 7 years after action completed

SPECIAL TRUSTEE MANAGEMENT

The function of the official receiver and the official trustee implementing orders made under the relevant Commonwealth legislation to collect child maintenance payments or deprive criminals of monetary gains made from illegal actions. Activities include accounting for financial transactions, delivering addresses (presentations), acquiring, protecting and realising property forfeited to the Commonwealth or in satisfaction of pecuniary penalty orders and child maintenance arrears, liaison, allocating orders, policy, procedures, reporting and preparing inventories.

Compliance

The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements to which the organisation is subject. Includes compliance with legislation and with national and international standards, such as the ISO 9000 series.

Entry	Description of Records	Disposal Action
Class no. 14080	Records documenting agency compliance with mandatory or optional performance measures/requirements relating to the special trustee management function. Includes recording data in order to calculate performance measures.	Destroy 7 years after action completed

Enquiries

The activities associated with handling requests for information about the organisation and its services by the general public, agency employees or another organisation.

For activities associated with the handling of requests for information regarding a particular administration, use TRUSTEE ADMINISTRATION – Estate Allocation.

Entry	Description of Records	Disposal Action
Class no. 14081	Records documenting the receipting, processing and/or responding to enquiries in relation to the special trustee management function.	Destroy 7 years after action completed

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.

Entry	Description of Records	Disposal Action
Class no. 14082	Records documenting liaison activities undertaken with external agencies in relation to the special trustee management function. Includes documents establishing liaison meetings and minutes of those meetings, liaison protocols and general correspondence.	Destroy 7 years after action completed

SPECIAL TRUSTEE MANAGEMENT

The function of the official receiver and the official trustee implementing orders made under the relevant Commonwealth legislation to collect child maintenance payments or deprive criminals of monetary gains made from illegal actions. Activities include accounting for financial transactions, delivering addresses (presentations), acquiring, protecting and realising property forfeited to the Commonwealth or in satisfaction of pecuniary penalty orders and child maintenance arrears, liaison, allocating orders, policy, procedures, reporting and preparing inventories.

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. 14083	Final version of minutes and supporting documents tabled at meetings held to support the special trustee management function. Includes decisions and resolutions, follow up action and referrals to management.	Destroy 7 years after action completed
Class no. 14084	Working papers documenting the conduct and administration of meetings held to support the special trustee management function. Includes agenda, notice of meetings and draft minutes.	Destroy 2 years after action completed

Order Allocation

The activity associated with the receipt, initial processing and allocation of control orders where the organisation is to act as official trustee. Control orders received include forfeiture orders and restraining orders relating to child support, proceeds of crime or customs legislation.

Entry	Description of Records	Disposal Action
Class no. 14085	Copies of court orders referring to the official trustee. Includes child support orders, orders under proceeds of crime legislation and condemnation orders under customs legislation.	Destroy 15 years after action completed
Class no. 14086	Records documenting the allocation of orders for administration by a case officer. Includes register of allocations and advice from other agencies.	Destroy 15 years after action completed

Payments

The activities involved in the preparation and payment of money.

Entry	Description of Records	Disposal Action
Class no. 14087	Records documenting the preparation and payment of money. Includes records documenting the checking of invoices, issuing of cheques for payment or direct credits and the payment of claims.	Destroy 15 years after action completed

SPECIAL TRUSTEE MANAGEMENT

The function of the official receiver and the official trustee implementing orders made under the relevant Commonwealth legislation to collect child maintenance payments or deprive criminals of monetary gains made from illegal actions. Activities include accounting for financial transactions, delivering addresses (presentations), acquiring, protecting and realising property forfeited to the Commonwealth or in satisfaction of pecuniary penalty orders and child maintenance arrears, liaison, allocating orders, policy, procedures, reporting and preparing inventories.

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. 14089	Final version of agency-wide plans relating to the special trustee management function.	Destroy 7 years after action completed
Class no. 14091	Final version of section or business unit's plans relating to the special trustee management function.	Destroy 7 years after action completed
Class no. 14092	Working papers used in developing all special trustee management plans. Includes draft plans, reports analysing issues, and comments received from other areas of the agency.	Destroy 2 years after action completed
Class no. 14093	Copies of special trustee management plans.	Destroy 2 years after action completed

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. 14094	Records documenting the development and establishment of policies supporting the special trustee management function. Includes policy proposals, research papers, results of consultations, major drafts, final policy documents and national policy statements.	Retain as national archives
Class no. 14095	Copies of special trustee management policies and supporting papers.	Destroy when reference ceases

Procedures

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

Entry	Description of Records	Disposal Action
Class no. 14096	Master set of manuals, directives etc detailing procedures and guidelines supporting the special trustee management function.	Destroy 15 years after action completed

SPECIAL TRUSTEE MANAGEMENT

The function of the official receiver and the official trustee implementing orders made under the relevant Commonwealth legislation to collect child maintenance payments or deprive criminals of monetary gains made from illegal actions. Activities include accounting for financial transactions, delivering addresses (presentations), acquiring, protecting and realising property forfeited to the Commonwealth or in satisfaction of pecuniary penalty orders and child maintenance arrears, liaison, allocating orders, policy, procedures, reporting and preparing inventories.

Procedures - Continued

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

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
Class no. 14097	Records documenting the development of procedures and guidelines supporting the special trustee management function.	Destroy 15 years after action completed
Class no. 14098	Copies of manuals, handbooks, directives, guidelines etc supporting the special trustee management function.	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 reports relating to accounting and management of funds, use SPECIAL TRUSTEE MANAGEMENT – Accounting.

For inspection reports relating to the protection of assets, use SPECIAL TRUSTEE MANAGEMENT – Assets (protection).

For internal or external audit reports, use SPECIAL TRUSTEE MANAGEMENT – Audit.

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
Class no. 14099	Final version of formal internal reports and reports made to external agencies relating to the special trustee management function. Includes reports made in response to a statutory obligation or reports required to be submitted on a regular basis.	Retain as national archives
Class no. 14100	Final version of periodic internal reports on general administrative matters used to monitor and document recurring activities to support the special trustee management function.	Destroy 2 years after action completed
Class no. 14101	Working papers documenting the development of all reports. Includes drafts and comments received.	Destroy 2 years after action completed
Class no. 14102	Copies of special trustee management reports.	Destroy when reference ceases

SPECIAL TRUSTEE MANAGEMENT

The function of the official receiver and the official trustee implementing orders made under the relevant Commonwealth legislation to collect child maintenance payments or deprive criminals of monetary gains made from illegal actions. Activities include accounting for financial transactions, delivering addresses (presentations), acquiring, protecting and realising property forfeited to the Commonwealth or in satisfaction of pecuniary penalty orders and child maintenance arrears, liaison, allocating orders, policy, procedures, reporting and preparing inventories.

Reviewing

The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.

Entry	Description of Records	Disposal Action
Class no. 14103	Records documenting a review of agency programs and operations, such as proceeds of crime areas. Includes documents establishing the review, the final report and the action plan.	Destroy 7 years after action completed
Class no. 14104	Working papers documenting a review of agency programs and operations supporting the special trustee management function. Includes draft plans, notes and draft reports.	Destroy 2 years after action completed

Trustee Inventory

The activities associated with a trustee preparing lists of items relating to an estate or associated entity being investigated or administered by the official trustee. Includes inventories relating to administrations under relevant legislation or any other legislation under which the official trustee or official receiver has powers.

For taking of inventory in relation to a bankrupt estate, use TRUSTEE ADMINISTRATION – Trustee Inventory.

For taking of inventory in relation to exercising official receiver powers, use OFFICIAL RECEIVER ADMINISTRATION – Trustee Inventory.

Entry	Description of Records	Disposal Action
Class no. 14105	Records documenting inventories taken in the course of managing special administrations. Includes inventory of property, receipt of items, copies of inventories and lists of quarantined properties.	Destroy 15 years after action completed

TRUSTEE ADMINISTRATION

The function of exercising official trustee powers in the administration of personal insolvency matters. Includes administering the affairs of a bankrupt, debtor or deceased debtor, scheme of arrangement or composition, deed of assignment, deed of arrangement or a composition and debt agreement. Also includes annulment of bankruptcy, discharge from bankruptcy, the discovery, acquisition, protection and realisation of assets, investigations, meetings of creditors, deciding on bankrupt's application for overseas travel and handling public reaction such as complaints and compliments.

For matters relating to special trustee, use SPECIAL TRUSTEE MANAGEMENT.

Addresses (presentations)

The activity of giving addresses for training, professional, community relations or sales purposes. Includes speeches and multi-media presentations.

Entry	Description of Records	Disposal Action
Class no. 14107	Final versions of addresses delivered upon request or in the routine promotion of the agency's services or products.	Destroy when reference ceases
Class no. 14108	Working papers documenting the development of addresses, including drafts.	Destroy when reference ceases

Annulment

The activity associated with debtors receiving an annulment of their bankruptcy. Includes paying creditors in full and forwarding a certificate/order of annulment to the bankrupt or legal representative.

For matters relating to dividends, use TRUSTEE ADMINISTRATION – Dividend Distribution.

For matters relating to discharges, use TRUSTEE ADMINISTRATION – Discharge.

Entry	Description of Records	Disposal Action
Class no. 14109	Records documenting an annulment of bankruptcy for an estate where a realisation has been made or a dividend paid. Includes files notes, supporting documents, court orders, composition and scheme of arrangement documents, reports to creditors, written correspondence and the certificate of annulment.	Destroy 18 years after date of bankruptcy
Class no. 14110	Records documenting an annulment of bankruptcy for an estate where no realisation has been made or no dividend paid. Includes files notes, supporting documents, court orders, composition and scheme of arrangement documents, reports to creditors, written correspondence and the certificate of annulment.	Destroy 10 years after date of bankruptcy

TRUSTEE ADMINISTRATION

The function of exercising official trustee powers in the administration of personal insolvency matters. Includes administering the affairs of a bankrupt, debtor or deceased debtor, scheme of arrangement or composition, deed of assignment, deed of arrangement or a composition and debt agreement. Also includes annulment of bankruptcy, discharge from bankruptcy, the discovery, acquisition, protection and realisation of assets, investigations, meetings of creditors, deciding on bankrupt's application for overseas travel and handling public reaction such as complaints and compliments.

For matters relating to special trustee, use SPECIAL TRUSTEE MANAGEMENT.

Assets (acquisition)

The activity associated with the official trustee taking possession of property associated with an administration under the relevant legislation. Includes notifying relevant parties that the property is in the control of the official trustee and making and implementing necessary arrangements to take possession of the property.

For matters relating to investigations, use TRUSTEE ADMINISTRATION – Investigations.

For matters relating to trustee inventory, use TRUSTEE ADMINISTRATION – Trustee Inventory.

Entry	Description of Records	Disposal Action
Class no. 14112	Records documenting the acquisition of assets, by the official trustee or their agent, for an estate where a realisation has been made or a dividend paid. Includes asset descriptions, correspondence with an agent, proof of acquisition, notices to relevant parties that the property is in the official trustee's control, records documenting arrangements to take possession of property and supporting documents.	Destroy 18 years after date of bankruptcy
Class no. 14114	Records documenting the acquisition of assets, by the official trustee or their agent, for an estate where no realisation has been made or no dividend paid. Includes asset descriptions, correspondence with an agent, proof of acquisition, notices to relevant parties that the property is in the official trustee's control, records documenting arrangements to take possession of property and supporting documents.	Destroy 10 years after date of bankruptcy

TRUSTEE ADMINISTRATION

The function of exercising official trustee powers in the administration of personal insolvency matters. Includes administering the affairs of a bankrupt, debtor or deceased debtor, scheme of arrangement or composition, deed of assignment, deed of arrangement or a composition and debt agreement. Also includes annulment of bankruptcy, discharge from bankruptcy, the discovery, acquisition, protection and realisation of assets, investigations, meetings of creditors, deciding on bankrupt's application for overseas travel and handling public reaction such as complaints and compliments.

For matters relating to special trustee, use SPECIAL TRUSTEE MANAGEMENT.

Assets (discovery)

The activity associated with the discovery and identification of the divisible assets under the control of the official trustee. The information may be gained from examining the statement of affairs and carrying out investigations.

For matters relating to investigations, use TRUSTEE ADMINISTRATION – Investigations.

For matters relating to trustee inventory, use TRUSTEE ADMINISTRATION – Trustee Inventory.

Entry	Description of Records	Disposal Action
Class no. 14115	Deeds, books of account, documents and associated records provided to the trustee of an estate by the bankrupt or debtor where ownership has passed to the trustee.	Return to bankrupt or debtor when no longer required by the trustee, or where it is no longer possible to return records to the bankrupt or debtor destroy when reference ceases
Class no. 14116	Records documenting the discovery and identification of assets for an estate where a realisation has been made or a dividend paid. Includes files notes, evidence of ownership, results of public record searches and valuations.	Destroy 18 years after date of bankruptcy
Class no. 14117	Records documenting the discovery and identification of assets for an estate where no realisation has been made or no dividend paid. Includes files notes, evidence of ownership, results of public record searches and valuations.	Destroy 10 years after date of bankruptcy

TRUSTEE ADMINISTRATION

The function of exercising official trustee powers in the administration of personal insolvency matters. Includes administering the affairs of a bankrupt, debtor or deceased debtor, scheme of arrangement or composition, deed of assignment, deed of arrangement or a composition and debt agreement. Also includes annulment of bankruptcy, discharge from bankruptcy, the discovery, acquisition, protection and realisation of assets, investigations, meetings of creditors, deciding on bankrupt's application for overseas travel and handling public reaction such as complaints and compliments.

For matters relating to special trustee, use SPECIAL TRUSTEE MANAGEMENT.

Assets (protection)

The activity associated with the protection of assets. Includes maintaining assets to retain value pending realisation or revesting, physical security, arranging insurance cover, lodging caveats, arranging transmission for real estate, freezing bank accounts and maintaining a securities register.

For matters relating to investigations, use TRUSTEE ADMINISTRATION – Investigations.

For matters relating to trustee inventory, use TRUSTEE ADMINISTRATION – Trustee Inventory.

For matters relating to overseas travel, use TRUSTEE ADMINISTRATION – Overseas Travel.

Entry	Description of Records	Disposal Action
Class no. 14118	Security register. Includes copies of receipts given for items collected by the agency.	Disposal not authorised
Class no. 14120	Records documenting the freezing of bankrupts' bank accounts. Includes letters to the banks and correspondence with the bankrupt where a realisation has been made or a dividend paid.	Destroy 18 years after date of bankruptcy
Class no. 14122	Records documenting the freezing of bankrupts' bank accounts. Includes letters to the banks and correspondence with the bankrupt where no realisation has been made or no dividend paid.	Destroy 10 years after date of bankruptcy
Class no. 14123	Records documenting the protection of assets held on behalf of an estate where a realisation has been made or a dividend paid. Includes copies of insurance premiums and cover notes, details of secure storage arrangements, copy of caveat lodged, pictorial records of assets and inspection reports and inventories.	Destroy 18 years after date of bankruptcy
Class no. 14124	Records documenting the protection of assets held on behalf of an estate where no realisation has been made or no dividend paid. Includes copies of insurance premiums and cover notes, details of secure storage arrangements, copy of caveat lodged, photographs of assets and inspection reports and inventories.	Destroy 10 years after date of bankruptcy

TRUSTEE ADMINISTRATION

The function of exercising official trustee powers in the administration of personal insolvency matters. Includes administering the affairs of a bankrupt, debtor or deceased debtor, scheme of arrangement or composition, deed of assignment, deed of arrangement or a composition and debt agreement. Also includes annulment of bankruptcy, discharge from bankruptcy, the discovery, acquisition, protection and realisation of assets, investigations, meetings of creditors, deciding on bankrupt's application for overseas travel and handling public reaction such as complaints and compliments.

For matters relating to special trustee, use SPECIAL TRUSTEE MANAGEMENT.

Assets (realisation)

The activity associated with the realisation of property controlled by the official trustee. This includes preparing a plan for realising an asset, arranging transmission for real estate, instructing agents and solicitors and acting on the sale of the asset on behalf of the official trustee, advising affected parties and receiving/investing the proceeds of sale.

For matters relating to investigations, use TRUSTEE ADMINISTRATION – Investigations.

For matters relating to receipting, use COMMON FUND MANAGEMENT – Receipts.

Entry	Description of Records	Disposal Action
Class no. 14125	Records documenting the proceeds of a sale of an asset on behalf of an estate. Includes receipts of the sale and notification to affected parties.	Destroy 18 years after date of bankruptcy
Class no. 14126	Records documenting the sale of an asset on behalf of an estate. Includes instructions to agents or solicitors, realisation plans, correspondence, legal records, receipt records, taxation records and file notes.	Destroy 18 years after date of bankruptcy
Class no. 14127	Records documenting the destruction of assets where no sale for profit can be realised. Includes assets that have no re-sale value or are past their expiry date.	Destroy 10 years after date of bankruptcy

Assets (valuation)

The activity of having an asset or item valued by an external service provider. Includes assets and items that are realised from a bankrupt estate.

Entry	Description of Records	Disposal Action
Class no. 14128	Records documenting the valuing of an asset. Includes instructions to valuers, records/documents of the valuation, correspondence, receipts and file notes where a realisation has been made or a dividend paid.	Destroy 18 years after date of bankruptcy
Class no. 14129	Records documenting the valuing of an asset. Includes instructions to valuers, records/documents of the valuation, correspondence, receipts and file notes where no realisation has been made or no dividend paid.	Destroy 10 years after date of bankruptcy

TRUSTEE ADMINISTRATION

The function of exercising official trustee powers in the administration of personal insolvency matters. Includes administering the affairs of a bankrupt, debtor or deceased debtor, scheme of arrangement or composition, deed of assignment, deed of arrangement or a composition and debt agreement. Also includes annulment of bankruptcy, discharge from bankruptcy, the discovery, acquisition, protection and realisation of assets, investigations, meetings of creditors, deciding on bankrupt's application for overseas travel and handling public reaction such as complaints and compliments.

For matters relating to special trustee, use SPECIAL TRUSTEE MANAGEMENT.

Audit

The activities associated with officially checking financial, quality assurance and operational records 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 organisation in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

Entry	Description of Records	Disposal Action
Class no. 14130	Final report of an internal or external trustee administration audit (eg conducted by an external authority such as the Australian National Audit Office). Includes recommendations and implementation plans.	Destroy 7 years after action completed
Class no. 14131	Records documenting the planning and conduct of internal or external audits relating to the trustee administration function. Includes: <ul style="list-style-type: none">• Liaison with the auditing body• Minutes of meetings• Notes taken at opening and exit interviews• Draft report• Comments• Declarations nominating accounts exempted from normal disclosure.	Destroy 7 years after action completed

Discharge

The activity associated with bankrupts receiving discharge from bankruptcy. Includes early discharge and automatic discharge by operation of law.

Note: The early discharge provisions were repealed by the Bankruptcy Legislation Amendment Act 2002, which took effect on 5 May 2003.

For matters relating to an annulment, use TRUSTEE ADMINISTRATION – Annulment.

For matters relating to objections to discharge, use TRUSTEE ADMINISTRATION – Objections.

Entry	Description of Records	Disposal Action
Class no. 14132	Records documenting a discharge from bankruptcy by operation of law, where a realisation has been made or a dividend paid. Includes discharge record, certificate of discharge and written confirmation sent to the bankrupt.	Destroy 18 years after date of bankruptcy

TRUSTEE ADMINISTRATION

The function of exercising official trustee powers in the administration of personal insolvency matters. Includes administering the affairs of a bankrupt, debtor or deceased debtor, scheme of arrangement or composition, deed of assignment, deed of arrangement or a composition and debt agreement. Also includes annulment of bankruptcy, discharge from bankruptcy, the discovery, acquisition, protection and realisation of assets, investigations, meetings of creditors, deciding on bankrupt's application for overseas travel and handling public reaction such as complaints and compliments.

For matters relating to special trustee, use SPECIAL TRUSTEE MANAGEMENT.

Discharge - Continued

The activity associated with bankrupts receiving discharge from bankruptcy. Includes early discharge and automatic discharge by operation of law.

Note: The early discharge provisions were repealed by the Bankruptcy Legislation Amendment Act 2002, which took effect on 5 May 2003.

For matters relating to an annulment, use TRUSTEE ADMINISTRATION – Annulment.

For matters relating to objections to discharge, use TRUSTEE ADMINISTRATION – Objections.

Entry	Description of Records	Disposal Action
Class no. 14133	Records documenting a discharge from bankruptcy by operation of law, where no realisation has been made or no dividend paid. Includes discharge record, certificate of discharge and written confirmation sent to the bankrupt.	Destroy 10 years after date of bankruptcy
Class no. 14134	Records documenting an early discharge from bankruptcy. Includes applications for early discharge, file notes, supporting documents, notice of determination and written confirmation sent to the bankrupt.	Destroy 10 years after date of bankruptcy

Dividend Distribution

The processes associated with the distribution of dividends to creditors. Includes admitting and rejecting a proof of debt and the determination of the dividend rate.

For payments of expenses from estate funds and return of dividend cheques into suspense account, use COMMON FUND MANAGEMENT – Payments.

Entry	Description of Records	Disposal Action
Class no. 14136	Records documenting the calculation and payment of dividends. Includes file notes, supporting documents, manual calculations, database records, proof of debt forms, proof of debt cards, fees/dividend voucher, cheques, checklists and dividend reports.	Destroy 18 years after date of bankruptcy
Class no. 14135	Proof of debt registers.	Destroy 15 years after action completed

TRUSTEE ADMINISTRATION

The function of exercising official trustee powers in the administration of personal insolvency matters. Includes administering the affairs of a bankrupt, debtor or deceased debtor, scheme of arrangement or composition, deed of assignment, deed of arrangement or a composition and debt agreement. Also includes annulment of bankruptcy, discharge from bankruptcy, the discovery, acquisition, protection and realisation of assets, investigations, meetings of creditors, deciding on bankrupt's application for overseas travel and handling public reaction such as complaints and compliments.

For matters relating to special trustee, use SPECIAL TRUSTEE MANAGEMENT.

Enquiries

The activities associated with handling requests for information about the organisation and its services by the general public, agency employees or another organisation.

Entry	Description of Records	Disposal Action
Class no. 14137	Records documenting the handling of public enquiries about the trustee administration function. Includes responses to enquiries. Excludes records documenting the handling of an enquiry regarding a particular administration.	Destroy 2 years after action completed

Estate Allocation

The activity associated with the notification of trusteeship of personal insolvency administrations to the official trustee and registered trustees by the official receiver. Includes the transfer of administrations from the official trustee to registered trustees and referrals of fraud investigation matters from the official trustee and registered trustees to the appropriate area.

For matters where a case officer identifies the likelihood of fraud, use FRAUD INVESTIGATION – Investigations.

Entry	Description of Records	Disposal Action
Class no. 14138	Records documenting the panel of registered trustees who have agreed to be allocated estates from the official trustee. Includes records documenting the transfer of administration from the official trustee to registered trustees (including consent to act and confirmation of appointment).	Destroy 10 years after action completed
Class no. 14139	Records documenting the process of allocating an estate to a case officer or the bankruptcy fraud investigation unit. Includes file notes and record of current case officer.	Destroy 10 years after action completed
Class no. 14140	Register of case officers for allocation of official trustee estates.	Destroy 10 years after action completed

TRUSTEE ADMINISTRATION

The function of exercising official trustee powers in the administration of personal insolvency matters. Includes administering the affairs of a bankrupt, debtor or deceased debtor, scheme of arrangement or composition, deed of assignment, deed of arrangement or a composition and debt agreement. Also includes annulment of bankruptcy, discharge from bankruptcy, the discovery, acquisition, protection and realisation of assets, investigations, meetings of creditors, deciding on bankrupt's application for overseas travel and handling public reaction such as complaints and compliments.

For matters relating to special trustee, use SPECIAL TRUSTEE MANAGEMENT.

Finalisation

The activity associated with the finalisation of a matter. Includes advising stakeholders on the result of investigations and referring certain matters to police for investigation and prosecution.

Entry	Description of Records	Disposal Action
Class no. 14190	Records documenting the finalisation of an estate where a realisation has been made or a dividend paid and where the administration: <ul style="list-style-type: none">• Was controversial or subject to a high level of public and media interest• Was conducted in a manner that differed notably from standard procedures, such as first administration cases following significant changes to insolvency legislation or policy• Resulted in significant changes to insolvency legislation or policy. Includes an action sheet and audit checklist.	Retain as national archives
Class no. 14141	Records documenting the finalisation of an estate where a realisation has been made or a dividend paid and where the administration was not controversial or subject to public or media interest, or did not reflect, or result in, changes to insolvency legislation or policy. Includes an action sheet and audit checklist.	Destroy 18 years after date of bankruptcy
Class no. 14142	Records documenting the finalisation of an estate where no realisation has been made or no dividend paid. Includes an action sheet and audit checklist.	Destroy 10 years after date of bankruptcy

TRUSTEE ADMINISTRATION

The function of exercising official trustee powers in the administration of personal insolvency matters. Includes administering the affairs of a bankrupt, debtor or deceased debtor, scheme of arrangement or composition, deed of assignment, deed of arrangement or a composition and debt agreement. Also includes annulment of bankruptcy, discharge from bankruptcy, the discovery, acquisition, protection and realisation of assets, investigations, meetings of creditors, deciding on bankrupt's application for overseas travel and handling public reaction such as complaints and compliments.

For matters relating to special trustee, use SPECIAL TRUSTEE MANAGEMENT.

Funding

The process of preparing, receiving and dealing with applications for funding made by the official trustee or a registered trustee in accordance with the relevant legislation on payment of expenses by the Commonwealth. Includes applying Minister's guidelines to make a recommendation, making a decision on whether funding should be granted, notifying and liaising with the applicant, making arrangements to pay approved costs and providing reports.

Entry	Description of Records	Disposal Action
Class no. 14144	Records documenting the handling of successful and unsuccessful applications for funding in relation to payments of expenses by the Commonwealth. Includes the application for funding, delegate's approval, written notification to applicant, database records and details of any payments made for estates where a realisation has been made or a dividend paid. Also includes requests from trustees of the estate of a bankrupt where a realisation has been made or a dividend paid.	Destroy 18 years after date of bankruptcy
Class no. 14146	Records documenting the handling of successful applications funding in relation to payment of expenses by the Commonwealth. Includes the application for funding, delegate's approval, written notification to applicant, database records and details of any payments made for estates where no realisation has been made or no dividend paid.	Destroy 10 years after date of bankruptcy
Class no. 14147	Records documenting the handling of unsuccessful applications for funding in relation to payments of expenses by the Commonwealth. Includes requests from trustees of the estate of a bankrupt where no realisation has been made or no dividend paid.	Destroy 10 years after date of bankruptcy

Income Contribution Assessment

The activity associated with carrying out assessments of bankrupt's income to determine whether bankrupts are required to pay income contributions to the official trustee. Includes obtaining income and employment details from bankrupts, calculating contribution amounts, formulating repayment plans and liaising with the bankrupt regarding contributions.

Entry	Description of Records	Disposal Action
Class no. 14149	Records documenting the assessment of a bankrupt's liability to pay income contributions where a realisation has been made or a dividend paid. Includes an assessment, file notes, income questionnaire, repayment plan and written correspondence.	Destroy 18 years after date of bankruptcy

TRUSTEE ADMINISTRATION

The function of exercising official trustee powers in the administration of personal insolvency matters. Includes administering the affairs of a bankrupt, debtor or deceased debtor, scheme of arrangement or composition, deed of assignment, deed of arrangement or a composition and debt agreement. Also includes annulment of bankruptcy, discharge from bankruptcy, the discovery, acquisition, protection and realisation of assets, investigations, meetings of creditors, deciding on bankrupt's application for overseas travel and handling public reaction such as complaints and compliments.

For matters relating to special trustee, use SPECIAL TRUSTEE MANAGEMENT.

Income Contribution Assessment - Continued

The activity associated with carrying out assessments of bankrupt's income to determine whether bankrupts are required to pay income contributions to the official trustee. Includes obtaining income and employment details from bankrupts, calculating contribution amounts, formulating repayment plans and liaising with the bankrupt regarding contributions.

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
Class no. 14150	Records documenting the assessment of a bankrupt's liability to pay income contributions where the estate has no realisation has been made or no dividend paid. Includes file notes, income questionnaire, repayment plan and written correspondence.	Destroy 10 years after date of bankruptcy

Income Contribution Collection

The activity associated with the collection of income contributions from bankrupts. Includes forced recovery procedures where the contributor defaults on payments.

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
Class no. 14151	Records documenting the collection of income contributions. Includes copies of receipts or deposit slips, written correspondence regarding the contributions due, repayment plan and details of action taken to recover unpaid contributions.	Destroy 18 years after date of bankruptcy
Class no. 14152	Register of contributors.	Destroy 18 years after date of bankruptcy

TRUSTEE ADMINISTRATION

The function of exercising official trustee powers in the administration of personal insolvency matters. Includes administering the affairs of a bankrupt, debtor or deceased debtor, scheme of arrangement or composition, deed of assignment, deed of arrangement or a composition and debt agreement. Also includes annulment of bankruptcy, discharge from bankruptcy, the discovery, acquisition, protection and realisation of assets, investigations, meetings of creditors, deciding on bankrupt's application for overseas travel and handling public reaction such as complaints and compliments.

For matters relating to special trustee, use SPECIAL TRUSTEE MANAGEMENT.

Investigations

The processes involved in investigating the financial affairs of bankrupts to identify income, assets, property transferred to disadvantage creditors and possible offences. Includes conducting searches of public records and formally interviewing bankrupts, debtors and other relevant third parties.

For matters relating to valuations, use TRUSTEE ADMINISTRATION – Assets (valuations).

For matters relating to an arrangement for examination of a bankrupt, use OFFICIAL RECEIVER ADMINISTRATION – Examination.

For matters relating to requests for the official receiver to exercise powers under the Act, use OFFICIAL RECEIVER ADMINISTRATION – Issuing Notices.

For investigations relating to fraudulent and criminal activity, use FRAUD INVESTIGATION – Investigations.

Entry	Description of Records	Disposal Action
Class no. 14153	Records documenting the conduct of investigations of an estate where a realisation has been made or a dividend paid. Includes file notes, supporting documents, interview transcripts, records of evidence and investigation reports.	Destroy 18 years after date of bankruptcy
Class no. 14154	Records documenting the conduct of investigations of an estate where no realisation has been made or no dividend paid. Includes file notes, supporting documents, interview transcripts, records of evidence and investigation reports.	Destroy 10 years after date of bankruptcy

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.

Entry	Description of Records	Disposal Action
Class no. 14155	Records documenting liaison activities undertaken with external agencies in relation to the trustee administration function. Includes documents establishing liaison meetings and minutes of those meetings, liaison protocols and general correspondence.	Destroy 2 years after action completed

TRUSTEE ADMINISTRATION

The function of exercising official trustee powers in the administration of personal insolvency matters. Includes administering the affairs of a bankrupt, debtor or deceased debtor, scheme of arrangement or composition, deed of assignment, deed of arrangement or a composition and debt agreement. Also includes annulment of bankruptcy, discharge from bankruptcy, the discovery, acquisition, protection and realisation of assets, investigations, meetings of creditors, deciding on bankrupt's application for overseas travel and handling public reaction such as complaints and compliments.

For matters relating to special trustee, use SPECIAL TRUSTEE MANAGEMENT.

Meetings of Creditors

The activity associated with meetings of creditors. Includes convening, conducting, participating in or attending meetings of creditors, completing reports, minutes and certificates of resolutions. Includes creditor resolutions determined by a vote without a formal meeting.

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
Class no. 14156	Records documenting a meeting of creditors regarding an estate where a realisation has been made or a dividend paid. Includes documents establishing the meeting (notice of meeting, report to creditors, agenda), audiovisual recording, transcript, minutes, attendance record, certificates of resolution, final reports and supporting documents.	Destroy 18 years after date of bankruptcy
Class no. 14157	Records documenting a meeting of creditors regarding an estate where no realisation has been made or no dividend paid. Includes documents establishing the meeting (notice of meeting, report to creditors, agenda), audiovisual recording, transcript, minutes, attendance record, certificates of resolution, final reports and supporting documents.	Destroy 10 years after date of bankruptcy

Notification

The activity associated with the notification of an administration sent to the debtor(s), bankrupt(s) and creditor(s). Includes providing information sheets, a client service charter, reports to creditors and any other relevant information.

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
Class no. 14158	Copies of written confirmation of bankruptcy and report to creditors for an estate where a realisation has been made or a dividend paid.	Destroy 18 years after date of bankruptcy
Class no. 14159	Copies of written confirmation of bankruptcy and report to creditors for an estate where no realisation has been made or no dividend paid.	Destroy 10 years after date of bankruptcy

TRUSTEE ADMINISTRATION

The function of exercising official trustee powers in the administration of personal insolvency matters. Includes administering the affairs of a bankrupt, debtor or deceased debtor, scheme of arrangement or composition, deed of assignment, deed of arrangement or a composition and debt agreement. Also includes annulment of bankruptcy, discharge from bankruptcy, the discovery, acquisition, protection and realisation of assets, investigations, meetings of creditors, deciding on bankrupt's application for overseas travel and handling public reaction such as complaints and compliments.

For matters relating to special trustee, use SPECIAL TRUSTEE MANAGEMENT.

Objections

The activity associated with the lodgement, variance and withdrawal of objections to discharge from bankruptcy. Includes filing by trustees.

For matters relating to an annulment, use TRUSTEE ADMINISTRATION – Annulment.

For matters relating to discharge, use TRUSTEE ADMINISTRATION – Discharge.

Entry	Description of Records	Disposal Action
Class no. 14160	Records documenting the decision to lodge, vary or withdraw a notice of objection against an estate where a realisation has been made or a dividend paid. Includes evidence supporting grounds for objection, file notes, copy of the notice lodged and correspondence to the bankrupt.	Destroy 18 years after date of bankruptcy
Class no. 14161	Records documenting the decision to lodge, vary or withdraw a notice of objection against an estate where there has been no realisation has been made or no dividend paid. Includes evidence supporting grounds for objection, file notes, copy of the notice lodged and correspondence to the bankrupt.	Destroy 10 years after date of bankruptcy

Overseas Travel

The activities associated with the official trustee assessing applications received from bankrupts seeking permission to travel overseas. Includes cases where a court approval is required and where the official trustee may exercise discretion.

Entry	Description of Records	Disposal Action
Class no. 14163	Records documenting the handling of an application for permission to travel overseas where a realisation has been made or a dividend paid. Includes the written request from the bankrupt, file notes, supporting documents and written confirmation of the trustee's decision.	Destroy 18 years after date of bankruptcy
Class no. 14164	Records documenting the handling of an application for permission to travel overseas where no realisation has been made or no dividend paid. Includes the written request from the bankrupt, file notes, supporting documents and written confirmation of the trustee's decision.	Destroy 10 years after date of bankruptcy

TRUSTEE ADMINISTRATION

The function of exercising official trustee powers in the administration of personal insolvency matters. Includes administering the affairs of a bankrupt, debtor or deceased debtor, scheme of arrangement or composition, deed of assignment, deed of arrangement or a composition and debt agreement. Also includes annulment of bankruptcy, discharge from bankruptcy, the discovery, acquisition, protection and realisation of assets, investigations, meetings of creditors, deciding on bankrupt's application for overseas travel and handling public reaction such as complaints and compliments.

For matters relating to special trustee, use SPECIAL TRUSTEE MANAGEMENT.

Payments

The activities involved in the preparation and payment of money.

For payments relating to the common investment fund, use COMMON FUND MANAGEMENT – Payments.

Entry	Description of Records	Disposal Action
Class no. 14165	Records documenting the managing of payments for any trustee administration activity. Includes records documenting the checking of invoices, issuing of cheques for payment or direct credits and the payment of claims.	Destroy 18 years after date of bankruptcy

Planning

The activity of giving addresses for training, professional, community relations or sales purposes. Includes speeches and multi-media presentations.

For the planning and conduct of audits, use TRUSTEE ADMINISTRATION – Audit.

For the planning of asset realisation, use TRUSTEE ADMINISTRATION – Assets (realisation).

Entry	Description of Records	Disposal Action
Class no. 14166	Final version of all plans relating to the trustee administration function. Includes agency-wide plans and section or business unit plans.	Destroy 2 years after action completed
Class no. 14167	Working papers used in developing all trustee administration plans. Includes draft plans, reports analysing issues, comments received from other areas of the agency.	Destroy 2 years after action completed
Class no. 14168	Copies of trustee administration plans.	Destroy 2 years after action completed

TRUSTEE ADMINISTRATION

The function of exercising official trustee powers in the administration of personal insolvency matters. Includes administering the affairs of a bankrupt, debtor or deceased debtor, scheme of arrangement or composition, deed of assignment, deed of arrangement or a composition and debt agreement. Also includes annulment of bankruptcy, discharge from bankruptcy, the discovery, acquisition, protection and realisation of assets, investigations, meetings of creditors, deciding on bankrupt's application for overseas travel and handling public reaction such as complaints and compliments.

For matters relating to special trustee, use SPECIAL TRUSTEE MANAGEMENT.

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. 14169	Records documenting the development and establishment of policies supporting the trustee administration function. Includes policy proposals, research papers, results of consultations, major drafts, final policy documents and national policy statements.	Retain as national archives
Class no. 14170	Working papers used in developing all trustee administration policy. Includes draft policy, reports analysing issues, comments received from other areas of the agency.	Destroy 15 years after action
Class no. 14171	Copies of trustee administration policies and supporting papers.	Destroy when reference ceases

Procedures

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. 14172	Master set of manuals, directives, etc, detailing procedures and guidelines supporting the trustee administration function.	Destroy 15 years after action completed
Class no. 14173	Records documenting the development of procedures and guidelines supporting the trustee administration function.	Destroy 15 years after action completed
Class no. 14174	Copies of manuals, handbooks, directives, guidelines, etc, supporting the trustee administration function.	Destroy when reference ceases

TRUSTEE ADMINISTRATION

The function of exercising official trustee powers in the administration of personal insolvency matters. Includes administering the affairs of a bankrupt, debtor or deceased debtor, scheme of arrangement or composition, deed of assignment, deed of arrangement or a composition and debt agreement. Also includes annulment of bankruptcy, discharge from bankruptcy, the discovery, acquisition, protection and realisation of assets, investigations, meetings of creditors, deciding on bankrupt's application for overseas travel and handling public reaction such as complaints and compliments.

For matters relating to special trustee, use SPECIAL TRUSTEE MANAGEMENT.

Public Reaction

The process of handling public reaction to an organisation's policies or services. Includes anonymous letters, letters of complaint and letters of congratulations or appreciation received from the public.

For matters where the complaint is about the practitioner, use BANKRUPTCY REGULATION – Complaints.

For formal complaints, use BANKRUPTCY REGULATION – Complaints.

Entry	Description of Records	Disposal Action
Class no. 14175	Records documenting public reaction and agency responses in relation to an estate where a realisation has been made or a dividend paid.	Destroy 18 years after date of bankruptcy
Class no. 14176	Records documenting public reaction and agency responses in relation to an estate where no realisation has been made or no dividend paid.	Destroy 10 years after date of bankruptcy
Class no. 14177	Complaints and compliments register.	Destroy 7 years after last entry

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 reports to creditors relating to an annulment of bankruptcy, use TRUSTEE ADMINISTRATION – Annulment.

For reports relating to the conduct of investigations, use TRUSTEE ADMINISTRATION – Investigations.

For reports relating to the meeting of creditors, use TRUSTEE ADMINISTRATION – Meeting of Creditors

Entry	Description of Records	Disposal Action
Class no. 14178	Final version of formal internal reports and reports made to external agencies relating to the trustee administration function. Includes reports made in response to a statutory obligation or reports required to be submitted on a regular basis.	Retain as national archives

TRUSTEE ADMINISTRATION

The function of exercising official trustee powers in the administration of personal insolvency matters. Includes administering the affairs of a bankrupt, debtor or deceased debtor, scheme of arrangement or composition, deed of assignment, deed of arrangement or a composition and debt agreement. Also includes annulment of bankruptcy, discharge from bankruptcy, the discovery, acquisition, protection and realisation of assets, investigations, meetings of creditors, deciding on bankrupt's application for overseas travel and handling public reaction such as complaints and compliments.

For matters relating to special trustee, use SPECIAL TRUSTEE MANAGEMENT.

Reporting - Continued

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 reports to creditors relating to an annulment of bankruptcy, use TRUSTEE ADMINISTRATION – Annulment.

For reports relating to the conduct of investigations, use TRUSTEE ADMINISTRATION – Investigations.

For reports relating to the meeting of creditors, use TRUSTEE ADMINISTRATION – Meeting of Creditors

Entry	Description of Records	Disposal Action
Class no. 14179	Final version of periodic internal reports on general administrative matters used to monitor and document recurring activities to support the trustee administration function.	Destroy when reference ceases
Class no. 14180	Working papers documenting the development of all reports. Includes drafts and comments received.	Destroy when reference ceases
Class no. 14181	Copies of reports relating to the trustee administration function.	Destroy when reference ceases

Search Warrants

The activity associated with the execution of search and seizure warrants and summons under the relevant legislation. Includes making application to a Court of competent jurisdiction and the execution of the warrant.

For matters where items/assets are seized, use TRUSTEE ADMINISTRATION – Asset Protection.

Entry	Description of Records	Disposal Action
Class no. 14182	Records documenting the process of applying for and executing a search warrant in relation to a personal insolvency matter where a realisation has been made or a dividend paid. Includes application to court, warrant execution plan, copy of court order, briefing notes, inventory of items seized and file notes.	Destroy 18 years after date of bankruptcy

TRUSTEE ADMINISTRATION

The function of exercising official trustee powers in the administration of personal insolvency matters. Includes administering the affairs of a bankrupt, debtor or deceased debtor, scheme of arrangement or composition, deed of assignment, deed of arrangement or a composition and debt agreement. Also includes annulment of bankruptcy, discharge from bankruptcy, the discovery, acquisition, protection and realisation of assets, investigations, meetings of creditors, deciding on bankrupt's application for overseas travel and handling public reaction such as complaints and compliments.

For matters relating to special trustee, use SPECIAL TRUSTEE MANAGEMENT.

Search Warrants - Continued

The activity associated with the execution of search and seizure warrants and summons under the relevant legislation. Includes making application to a Court of competent jurisdiction and the execution of the warrant.

For matters where items/assets are seized, use TRUSTEE ADMINISTRATION – Asset Protection.

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
Class no. 14183	Records documenting the process of applying for and executing a search warrant in relation to a personal insolvency matter where no realisation has been made or no dividend paid. Includes application to court, warrant execution plan, copy of court order, briefing notes, inventory of items seized and file notes.	Destroy 10 years after date of bankruptcy

Special Schemes Administration

The activities associated with carrying out a special administration, as an agent for the government organisation with responsibility for employment, of national taxpayer-funded schemes that provide protection or partial protection for the entitlements of employees who have been made redundant since 1 January 2000 and who have entitlements for unpaid wages, leave and redundancy payments in lieu of notice, as a result of their employer's insolvency. Includes preliminary assessment and verification of employee claims, liaison with department responsible for the schemes, distribution of dividends and case management.

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
Class no. 14184	Records documenting the administration of schemes on behalf of the Commonwealth agency for employment and workplace relations where a realisation has been made or a dividend paid. Includes claims, file notes, calculations, correspondence, proof of debt forms, invoice and records of payments made.	Destroy 18 years after date of bankruptcy
Class no. 14185	Records documenting the administration of schemes on behalf of the Commonwealth agency for employment and workplace relations where no realisation has been made or no dividend paid. Includes claims, file notes, calculations, correspondence, proof of debt forms, invoice and records of payments made.	Destroy 10 years after date of bankruptcy

TRUSTEE ADMINISTRATION

The function of exercising official trustee powers in the administration of personal insolvency matters. Includes administering the affairs of a bankrupt, debtor or deceased debtor, scheme of arrangement or composition, deed of assignment, deed of arrangement or a composition and debt agreement. Also includes annulment of bankruptcy, discharge from bankruptcy, the discovery, acquisition, protection and realisation of assets, investigations, meetings of creditors, deciding on bankrupt's application for overseas travel and handling public reaction such as complaints and compliments.

For matters relating to special trustee, use SPECIAL TRUSTEE MANAGEMENT.

Trustee Inventory

The activities associated with a trustee preparing lists of items relating to an estate or associated entity being investigated or administered by the official trustee. Includes inventories relating to administrations under relevant legislation or any other legislation under which the official trustee or official receiver has powers.

For taking of inventory in relation to a special administration, use SPECIAL TRUSTEE ADMINISTRATION – Trustee Inventory.

For taking of inventory in relation to exercising official receiver powers, use OFFICIAL RECEIVER ADMINISTRATION – Trustee Inventory.

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
Class no. 14186	Records documenting inventories taken in the course of managing an administration for which a realisation has been made or a dividend paid. Includes lists of items, photographic evidence and receipt of items.	Destroy 18 years after date of bankruptcy
Class no. 14187	Records documenting inventories taken in the course of managing an administration where no realisation has been made or no dividend paid. Includes lists of items, photographic evidence and receipt of items.	Destroy 10 years after date of bankruptcy