



**Australian Government**  

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**National Archives of Australia**

**Records Authority**  
**National Archives of Australia**

Job no 2007/00576124

5 December 2008

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## INTRODUCTION

The National Archives of Australia has developed this Records Authority to set out the requirements for the retention or destruction of records for the National Archives of Australia. It represents a significant commitment to understand, create and manage the records of this activity.

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

This Authority gives the National Archives 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.

The National Archives can use the following tools to dispose of their records:

- this Records Authority covering its agency specific records;
- general disposal authorities, such as the Administrative Functions Disposal Authority (AFDA), that covers functions and records common to every Commonwealth agency; and
- normal administrative practice (NAP) which allows for the destruction of records where the records are duplicated, unimportant or for short-term use only.

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](http://www.naa.gov.au) or by contacting the Agency Service Centre at [recordkeeping@naa.gov.au](mailto:recordkeeping@naa.gov.au) or (02) 6212 3610.

## APPLICATION OF THIS AUTHORITY

1. Classes in this Records Authority supersede those in Records Disposal Authority 1382. RDA 1382 is hereby terminated and cannot be used for records created on or after date of issue of this Authority.

Records already sentenced under RDA 1382 or earlier authorities issued for records of the Archives 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 sentenced as retain permanently' using the previous RDA and fall within the scope of this Authority. Records not already sentenced under RDA 1382 and earlier authorities issued for records of the Archives should be sentenced using this authority where possible. RDA 1382 may be used to sentence pre-existing records for temporary retention where there is no coverage in this authority. Gaps in the coverage of this authority should be notified to the Archives.

2. 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.

3. This Authority should be used in conjunction with general disposal authorities issued by the National Archives that cover other types of records that may be created, such as encrypted records and source records that have been copied.

4. 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.

5. Where the method of recording information changes (for example from a manual system to an electronic system, or when information is migrated from one system to a new system) this Authority can still be used to sentence the records created, providing the records document the same function and activity. The information must be accessible for the period of time prescribed in this Authority. The Archives will need to ensure that any software, hardware or documentation required to enable continuing access to the data is available for the periods prescribed.

6. In general, retention requirements indicate a minimum period for retention. The National Archives may extend minimum retention periods if it considers that there is an administrative need to do so. Where the National Archives believes that its accountability will be substantially compromised because a retention period or periods are not adequate, it should arrange for a review of the retention period.

7. The National Archives may destroy certain records without the formal authorisation as a normal administrative practice. This usually occurs where the records are duplicated, unimportant or for short-term use only. It does not replace the records disposal arrangements agreed to in authorities. Advice and guidance on destroying records as a normal administrative practice is available from the National Archives' website at [www.naa.gov.au](http://www.naa.gov.au)

8. 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.

9. Records should be appropriately stored and preserved. The National Archives 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.

10. 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.

11. Advice on how to use this Authority is available from the National Archives' 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](mailto:recordkeeping@naa.gov.au)  
Website: [www.naa.gov.au](http://www.naa.gov.au)

# AUTHORISATION

RECORDS AUTHORITY 2007/00576124

**Person to whom notice of authorisation is given:**

Mr Ross Gibbs,  
Director-General,  
National Archives of Australia,  
Queen Victoria Terrace,  
Parkes ACT 2600

**Purpose:**

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

**Application:**

- \* ARCHIVES EXTERNAL COMMUNICATIONS
- \* INFORMATION MANAGEMENT STANDARDS & OPERATIONS
- \* RECORDS ACCESS MANAGEMENT
- \* RECORDS CUSTODY & STORAGE
- \* RECORDS EVALUATION & DISPOSAL
- \* RECORDS INTELLECTUAL CONTROL
- \* RECORDS PRESERVATION MANAGEMENT

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

**Authorising Officer**

**Date of issue:**



*5 December 2008*

Ms Margaret Chalker  
Assistant Director-General  
National Archives of Australia



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## ARCHIVES EXTERNAL COMMUNICATIONS

The function of communicating Archives' role, collection and unique business to external audiences for the purposes of promotion, professional leadership, collaboration and collection interpretation. Includes raising awareness and facilitating engagement through events, functions, conferences, addresses (presentations), joint ventures, scholarships, marketing, media and visits. Also includes providing leadership and support in Australia and overseas in matters of professional interest and facilitating learning and accessibility through programs which interpret the collection, such as exhibitions and education initiatives. Also includes the promotion of the core business of Archives and managing organisation-wide interaction with key stakeholder groups (such as Consultative Forums). Also includes hosting visits from representatives of other organisations and members of the archival profession and Archives staff visiting other archival organisations. Excludes specific liaison with stakeholders for the purpose of developing, implementing and supporting unique business programs. Also excludes the production of publications aimed at promoting the collection and activities of the Archives.

For production of publications produced to advance the profile of the organisation to the public and agencies, or for development of education publications and kits, use PUBLICATION.

For development and revision of service charters, use STRATEGIC MANAGEMENT – Customer Service.

For inter-government committees where the Archives is represented, use GOVERNMENT RELATIONS.

For delivery of training to external stakeholders to support the business of the Archives, use RECORDS ACCESS MANAGEMENT – Training Services or INFORMATION MANAGEMENT STANDARDS & OPERATIONS – Training Services when appropriate.

For specific liaison with stakeholders relating to developing, implementing and supporting unique Archives business programs, use also RECORDS ACCESS MANAGEMENT – Liaison, or INFORMATION MANAGEMENT STANDARDS & OPERATIONS – Liaison or RECORDS PRESERVATION MANAGEMENT – Liaison, or ARCHIVES EXTERNAL COMMUNICATIONS – Professional Liaison.

### Acquisition

The process of gaining ownership or use of property and other items or the provision of services required in the conduct of business through purchase or requisitions.

*For managing financial transactions supporting the acquisition of services, use FINANCIAL MANAGEMENT – Payments or FINANCIAL MANAGEMENT – Accounting.*

*For donations of non-Commonwealth records, items, artefacts or property to enhance Archives collection, use ARCHIVES EXTERNAL COMMUNICATIONS – Donations.*

Entry	Description of records	Disposal action
18698	Records documenting the acquisition of non Commonwealth records, items, artefacts or property to enhance archival collection.  <i>[For management of the purchased items, use the relevant FUNCTION – Activity. For example: For transfer of items and artefacts, use ARCHIVES CUSTODY &amp; STORAGE – Records Transfer.]</i>	Retain as national archives
18699	Records documenting the acquisition of services where there is no tender or contracting-out process.	Destroy 7 years after last action

## ARCHIVES EXTERNAL COMMUNICATIONS

### Addresses (presentations)

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

*For management of occasions where addresses are presented, use ARCHIVES EXTERNAL COMMUNICATIONS – Events Management.*

*For speeches and presentations prepared for Ministers or other government officials, use GOVERNMENT RELATIONS – Addresses (presentations).*

Entry	Description of records	Disposal action
18700	Records documenting speeches and addresses made at major events such as the e-permanence launch or addresses presented at conferences hosted by the Archives.	Retain as national archives
18701	Records documenting speeches and addresses made at minor events.	Destroy 7 years after last action

### Advice

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

*For handling enquiries about the organisation and its work, use ARCHIVES EXTERNAL COMMUNICATIONS – Enquiries.*

Entry	Description of records	Disposal action
18702	Records documenting general advice on issues relating to the archives external communications function.	Destroy 5 years after last action

### Agreements

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

*For agreements relating to acquisitions where there is no tendering process, use ARCHIVES EXTERNAL COMMUNICATIONS – Acquisitions.*

*For incoming loan items deliveries and loans assessments, use RECORDS PRESERVATION MANAGEMENT – Loans Assessment.*

Entry	Description of records	Disposal action
18703	Records documenting the development and signing of major agreements such as international or intergovernmental agreements relating to the archives external communication function.	Retain as national archives
19097	Records documenting the development and signing of minor agreements relating to the archives external communications function.	Destroy 7 years after expiry or other termination of the agreement

## ARCHIVES EXTERNAL COMMUNICATIONS

### 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 developing annual program and objectives for internal audits, use STRATEGIC MANAGEMENT – Planning.*

*For monitoring and reporting an implementation of audit report recommendations, use STRATEGIC MANAGEMENT – Reporting.*

Entry	Description of records	Disposal action
18704	Records documenting the planning and conduct of internal and external audits relating to the archives external communications function.	Destroy 10 years after last action

### Claims

The process of administering and managing payments demanded in accordance with an insurance policy as compensation for injury, death, or denial of rights of a person, or damage to or destruction of property. Includes disputes over rights and ownership, and recompense sought for stolen or lost property.

Entry	Description of records	Disposal action
18705	Records documenting insurance claims for compensation made to or by the Archives.	Destroy 7 years after last action

### Committees

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

Entry	Description of records	Disposal action
18706	Records of committees where the Archives provides the secretariat, is the Commonwealth's main representative or plays a significant role.	Retain as national archives
18707	Records of committees where the Archives does not provide the secretariat, is not the Commonwealth's main representative, and does not play significant role.	Destroy 10 years after last action

### Community Liaison

The activities associated with maintaining regular general contact between the organisation and related institutions, private sector organisations and community groups. Includes sharing informal advice and discussions, and collaborating on projects that are not joint ventures.

*For formalised relations with associated institutions, other professional stakeholders, and membership and relations with professional associations use EXTERNAL COMMUNICATIONS – Professional Liaison.*

Entry	Description of records	Disposal action
18708	Records documenting liaison activities undertaken with related institutions in other jurisdictions, industry associations, private sector organisations and community groups.	Destroy 3 years after last action

## ARCHIVES EXTERNAL COMMUNICATIONS

### Conferences

The activities involved in arranging or attending conferences held either by the organisation or by other organisations. Includes registrations, publicity, and reports of participants etc.

*For organisation of trade stands and other promotional material relating to the Archives use, ARCHIVES EXTERNAL COMMUNICATIONS – Marketing.*

*For preparation of papers by staff at conferences, use ARCHIVES EXTERNAL COMMUNICATIONS – Addresses (presentations).*

Entry	Description of records	Disposal action
18709	Records documenting administrative arrangements for conferences held by the Archives or arranged by other agencies. Includes conference promotion material, programs, registration forms and proceedings.  <i>[For unpublished speeches delivered during conferences, use ARCHIVES EXTERNAL COMMUNICATIONS – Addresses (presentations).]</i>	Destroy 5 years after last action

### Donations

The activities associated with managing money, items, artefacts or property donated to the organisation, or by the organisation and/or its staff to charities etc. Includes managing unsolicited donations.

*For donations of records from personal depositors, use RECORDS EVALUATION & DISPOSAL – Donations.*

Entry	Description of records	Disposal action
18711	Records documenting donations of money, items, artefacts or property to or by the Archives.  <i>[For control of items donated to the Archives use the appropriate FUNCTION – Activity. For example: For transfer of items and artefacts, use ARCHIVES CUSTODY &amp; STORAGE – Records Transfer.]</i>	Retain as national archives

### Education Development

The activities associated with developing education resources and programmes for the purpose of raising awareness, and facilitating the learning of, key stakeholders, about the Archives, its role and collection.

*For development of education policy, use ARCHIVES EXTERNAL COMMUNICATIONS – Policy.*

*For evaluation of education resources or programmes, use ARCHIVES EXTERNAL COMMUNICATIONS – Evaluation.*

Entry	Description of records	Disposal action
18712	Records documenting the development of education resources and programmes.	Destroy 10 years after last action

## ARCHIVES EXTERNAL COMMUNICATIONS

### Enquiries

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

*For reference enquiries relating to the archival holdings, use RECORDS ACCESS MANAGEMENT – Reference Enquiries.*

Entry	Description of records	Disposal action
18713	Records documenting the handling of general enquiries about the Archives and its services from the public, agency employees or other organisations.	Destroy 3 years after last action

### Evaluation

The process of determining the suitability of potential or existing programs, items of equipment, systems or services in relation to meeting the needs of the given situation. Includes systems analysis and ongoing monitoring.

Entry	Description of records	Disposal action
18714	Records documenting the evaluation and ongoing monitoring of Archives' external communications programs and services. Includes evaluation and monitoring of exhibitions.	Destroy 10 years after last action

### Events Management

The activities associated with arranging and running ceremonies, promotional and educational events for stakeholder groups. Includes events run in partnership.

*For handling of visits to the Archives, use ARCHIVES EXTERNAL COMMUNICATIONS – Visits.*

*For evaluation of events, use ARCHIVES EXTERNAL COMMUNICATIONS – Evaluation.*

Entry	Description of records	Disposal action
18715	Records documenting order of events, guest lists and photographs of exhibitions or other events of major importance to the Archives which were the first of their kind, or where important dignitaries attended, such as members of parliament, well known academics and other prominent Australians.	Retain as national archives
18716	Records documenting order of events, guest lists and photographs of exhibitions or other events of lesser importance to the Archives.	Destroy 5 years after last action
18717	Records documenting routine administrative arrangements supporting the management of all exhibitions and events.	Destroy 3 years after last action

## ARCHIVES EXTERNAL COMMUNICATIONS

### Exhibition Development

The activities associated with developing displays for the purpose of informing or educating the viewer, or promoting the activities, services, projects or programmes of the organisation. Includes the design and construction of exhibitions.

*For acquisition and loan arrangements for non-archives objects and images, use ARCHIVES EXTERNAL COMMUNICATIONS – Exhibition Management.*

*For managing exhibition infrastructure including travelling exhibitions, use ARCHIVES EXTERNAL COMMUNICATIONS – Exhibition Management.*

Entry	Description of records	Disposal action
18718	Records documenting the development of Archives long-term exhibitions created by the NAA and displayed in the national building.	Retain as national archives
18719	Records documenting the development of minor or short-term Archives exhibitions such as displays developed for corridors, the visitors' lounge, or the orientation room.	Destroy 15 years after last action

### Exhibition Management

The activities associated with managing exhibitions and their supporting infrastructure including non-Archives object and image acquisition and loan arrangements, and the monitoring and dismantling of exhibitions. Also includes activities involved with arranging travelling exhibitions.

*For developing exhibition content, design and construction, use ARCHIVES EXTERNAL COMMUNICATIONS – Exhibition Development.*

*For development of addresses and presentations about exhibitions, use ARCHIVES EXTERNAL COMMUNICATIONS – Addresses (presentations).*

Entry	Description of records	Disposal action
18720	Records documenting administrative arrangements for running Archives' exhibitions. Including hosting travelling exhibitions from other organisations.	Destroy 7 years after exhibition dismantled

### Grant Funding

The activities associated with the application for and receipt of grants.

*For awarding of fellowships or scholarships by Archives, use ARCHIVES EXTERNAL COMMUNICATIONS – Scholarship Management.*

Entry	Description of records	Disposal action
18721	Records documenting applications for grants and sponsorships made by the Archives, or received by the Archives. Includes successful and unsuccessful applications.	Destroy 10 years after last action or after grant or sponsorship terms expired

### Greetings

The activities associated with preparing, sending and receiving letters of appreciation or condolences. Includes mailing lists for Christmas cards.

Entry	Description of records	Disposal action
18722	Records documenting the preparation, dispatch and receipt of letters of introduction, appreciation, condolence and greeting cards. Includes mailing lists.	Destroy 1 years after last action

## ARCHIVES EXTERNAL COMMUNICATIONS

### Insurance

The process of taking out premiums to cover loss or damage to property or premises, and to cover customers and staff against injury or death resulting from incidents on the organisation's premises or whilst engaged during employment.

Entry	Description of records	Disposal action
18723	Records documenting the management of insurance coverage, including insurance policies, annual renewals and management of premiums.	Destroy 7 years after last action

### Joint Ventures

The activities involved in managing joint operations between departments, either within the organisation or with other organisations, or with the government, where there is a contract, joint contribution of funds and/or time. Also includes private sector ventures with public sector organisations, and co-research or collaboration between inter-departmental units, departments or organisations.

*For liaison with other archival organisations or professional groups for the purpose of sharing information, use ARCHIVES EXTERNAL COMMUNICATIONS – Professional Liaison.*

*For research and development into preservation issues to support, or fulfil a joint venture, use RECORDS PRESERVATION MANAGEMENT – Research & Development.*

Entry	Description of records	Disposal action
18724	Records documenting arrangements for establishing and managing joint ventures such as the Digital Recordkeeping Initiative. Includes joint venture agreements and contracts.	Destroy 10 years after last action

### Marketing

The process of analysing, creating and selling products and services. Includes market research, sales forecasting, advertising, media releases, promotion, pricing and product evaluation.

Entry	Description of records	Disposal action
18725	Records documenting the marketing of Archives' activities. Includes records covering arrangements for advertising campaigns and promotional photographs.  <i>[For the development of a marketing plan, use ARCHIVES EXTERNAL COMMUNICATIONS – Planning.]</i>	Destroy 15 years after last action

### Media Relations

The activities associated with establishing a relationship between the media and the organisation. Includes cultivating media contacts, coordinating access to the media, authorising and issuing press releases and briefings, and organising media interviews.

Entry	Description of records	Disposal action
18726	Master set of Archives' media releases.	Retain as national archives
18727	Records documenting administrative arrangements with the media. Includes issuing of media releases, organising interviews and providing information and assistance to support media coverage of an event or promotion of the Archives' services or products.	Destroy 3 years after last action



## ARCHIVES EXTERNAL COMMUNICATIONS

### Meetings

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

*For managing Archives' Consultative Forums, use ARCHIVES EXTERNAL COMMUNICATIONS – Committees.*

Entry	Description of records	Disposal action
18728	Records documenting meetings and supporting documents tabled at meetings held in relation to the archives external communication function.	Destroy 5 years after last action

### Planning

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

*For development of criterion by which to plan and select exhibitions, use ARCHIVES EXTERNAL COMMUNICATIONS – Policy.*

Entry	Description of records	Disposal action
18730	Records documenting planning activities, including work plans relating to the archives external communications function.	Destroy 5 years after last action

### 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
18731	Records documenting the development and establishment of major policies relating to the archives external communications function. Includes: <ul style="list-style-type: none"> <li>• policy proposals</li> <li>• supporting reports</li> <li>• research papers</li> <li>• major drafts</li> <li>• minutes of meetings</li> <li>• results of consultations</li> <li>• final policy documents.</li> </ul>	Retain as national archives
18732	Records documenting the development and establishment of minor policies relating to the archives external communications function.	Destroy 5 years after policy superseded
18733	Working papers documenting the development of all policies relating to the archives external communications function. Includes: <ul style="list-style-type: none"> <li>• supporting research papers</li> <li>• copies of documents</li> <li>• uncirculated drafts.</li> </ul>	Destroy 3 years after policy finalised

# ARCHIVES EXTERNAL COMMUNICATIONS

## Procedures

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

Entry	Description of records	Disposal action
18734	Records documenting the development of procedures supporting the archives external communications function.	Destroy 10 years after procedure superseded or no longer current

## Professional Liaison

The activities associated with undertaking regular formalised contact between the Archives and other archival and records institutions in other Australian and international jurisdictions. An example would be regular high level contact as a result of a memorandum of understanding between the Archives and the national archives of another country. Includes relations with professional associations and professionals in related fields relating to the core functions of the National Archives. Such professional groups would include the ASA, RMAA, ICA, the IIM, and the AICCM.

Also includes providing and seeking advice, participating in discussions on issues of common concern; supporting corporate membership of professional associations; participating in surveys and collaborating on projects that are not joint ventures.

*For liaison with stakeholders in the community at large and not related to an ongoing professional relationship, use EXTERNAL COMMUNICATIONS – Community Liaison.*

Entry	Description of records	Disposal action
18735	Records documenting the liaison activities undertaken with archival institutions in other jurisdictions, major professional associations, private sector organisations and community groups. Includes collaboration on projects, exchange of information and all activities as a member of an organisation.	Destroy 10 years after last action

## Project Management

The process of managing a set of procedures, activities, resources and/or strategies designed to achieve a goal or objective within a specified timeframe. Includes defining project parameters and stages.

*For provision of a final report covering the outcomes of the work undertaken in the project, use ARCHIVES EXTERNAL COMMUNICATIONS – Reporting.*

Entry	Description of records	Disposal action
18736	Records documenting project management activities relating to the archives external communications function.	Destroy 7 years after last action

## 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 from the public.

Entry	Description of records	Disposal action
18737	Records documenting public reaction to Archives' events, exhibitions or other services. Includes Archives' responses.	Destroy 5 years after last action

## ARCHIVES EXTERNAL COMMUNICATIONS

### 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 reporting collection interpretation, promotional or professional leadership services and programs in the Annual Report, use PUBLICATION – Drafting.*

*For provision of final reports relating to project management requirements (such as final expenditure, end of stage/project report, project briefs etc), use ARCHIVES EXTERNAL COMMUNICATIONS – Project Management.*

Entry	Description of records	Disposal action
18738	Records documenting the development of reports relating to the archives external communications function.	Destroy 7 years after last action

### Representatives

The activities associated with the nomination, appointment or resignation of individuals or groups of personnel appointed by the organisation or their co-workers as official representatives to organisations, offices, unions, workers participation committees, councils or groups. Includes organisational legal representatives.

Entry	Description of records	Disposal action
18739	Records documenting the nomination, appointment and resignation from and/or termination of agency representatives or organisations. <i>[For management of agency representatives on government bodies, use GOVERNMENT RELATIONS – Representatives.]</i>	Destroy 5 years after last action

### Research

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

Entry	Description of records	Disposal action
18740	Records documenting final major research undertaken by Archives' award, fellowship or sponsorship winners.	Retain as national archives
18741	Research papers supporting the Archives' external communications function such as the development of education resources, exhibitions and programmes.	Destroy 10 years after last action

### Reviewing

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

*For evaluation of events and exhibitions, use ARCHIVES EXTERNAL COMMUNICATIONS – Evaluation.*

*For evaluation of products, use ARCHIVES EXTERNAL COMMUNICATIONS – Marketing.*

Entry	Description of records	Disposal action
18742	Records documenting reviews of programs and operations supporting the archives external communications function.	Destroy 10 years after last action

## ARCHIVES EXTERNAL COMMUNICATIONS

### Risk Management

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

*For developing the organisation risk management policy, use STRATEGIC MANAGEMENT – Policy.*

*For developing the organisation risk management plan, use STRATEGIC MANAGEMENT – Planning.*

Entry	Description of records	Disposal action
18743	Records documenting the development of risk management practices relating to the archives external communications function.	Destroy 7 years after last action

### Scholarship Management

The activities associated with the selection process for, and management of, scholarships. Includes assessment of scholarship applications and oversight of arrangements for scholarship recipient.

*For research done by scholarship recipients, use ARCHIVES EXTERNAL COMMUNICATIONS – Research.*

*For development of scholarship schemes, use ARCHIVES EXTERNAL COMMUNICATIONS – Policy.*

Entry	Description of records	Disposal action
18744	Records documenting the assessment and granting of major awards, fellowships or scholarships by Archives such as Margaret George Award.	Destroy 75 years after last action
18745	Records documenting the assessment and granting of minor awards, fellowships or scholarships by Archives such as the Summer Scholarships.	Destroy 7 years after last action

### Security

The activities associated with measures taken to protect people, premises, equipment or information from accidental or intentional damage or from unauthorised access. Includes security classification of personnel and criminal record checks.

*For security arrangements regarding buildings and facilities, use PROPERTY MANAGEMENT – Security.*

Entry	Description of records	Disposal action
18746	Records documenting security arrangements made for visits to the Archives.  <i>[For general arrangements for visits, use ARCHIVES EXTERNAL COMMUNICATIONS – Visits.]</i>  <i>[For building security arrangements made for a visit, use PROPERTY MANAGEMENT - Security.]</i>	Destroy 5 years after last action

### 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.

Entry	Description of records	Disposal action
18747	Records documenting major submissions such as the submission for inclusion in the Australian Memory of the World Register.	Retain as national archives

## ARCHIVES EXTERNAL COMMUNICATIONS

### Submissions - Continued

Entry	Description of records	Disposal action
18748	Records documenting minor submissions made by the Archives relating to the Archives external communication function.	Destroy 7 years after last action

### Suggestions

The process of using suggestions from personnel and the public to improve the services and processes of the organisation.

*For handling of feedback received from visitors to exhibitions, use ARCHIVES EXTERNAL COMMUNICATIONS – Visits.*

Entry	Description of records	Disposal action
18749	Records documenting suggestions received from the public relating to the Archives' services or products.	Destroy 2 years after last action

### Training Services

The activities associated with managing and providing training to Commonwealth agencies, other organisations, the public and official researchers for the purpose of developing particular skills. Includes the development of training materials.

*For staff training, use STAFF DEVELOPMENT – Training.*

Entry	Description of records	Disposal action
18760	Records documenting the development and delivery of general training sessions on the overall operations of the Archives. Includes the development of training content, preparation, delivery, and analysis of feedback, session reports and administrative arrangements.	Destroy 5 years after last action

### Visits

The activities involved in arranging visits by other organisations, the public and students to the organisation, with a view to inform, educate or promote the services, operation and role of the organisation. Includes arranging visits by staff to other organisations.

Entry	Description of records	Disposal action
18761	Visitors' books. Includes exhibition visitor books.	Retain as national archives
18762	Records documenting visits to the Archives' made by the public, individuals or official visitors.	Destroy 3 years after last action

## INFORMATION MANAGEMENT STANDARDS & OPERATIONS

The function of developing information standards, including recordkeeping standards, for use by Commonwealth agencies. Includes developing internal, and endorsing external, standards, procedures, codes of best practice and guidelines covering creation, capture and management of records and business information. Also includes providing guidance and advice to agencies to assist the adoption of these standards, including the provision of training and compliance activities.

For communicating to external stakeholders about the information standards set by the Archives, use ARCHIVES EXTERNAL COMMUNICATIONS.

For joint ventures involving academic, government and international stakeholders to develop and test information standards, use ARCHIVES EXTERNAL COMMUNICATIONS – Joint Ventures.

### Advice

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

Entry	Description of records	Disposal action
19346	Records documenting advice impacting on whole-of-government management of records including advice given to agencies that sets a precedent.	Retain as national archives
19347	Records documenting routine advice relating to recordkeeping and the interpretation of recordkeeping standards.	Destroy 10 years after last action

### Agreements

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

Entry	Description of records	Disposal action
18766	Records documenting the development and signing of agreements relating to the information management standards and operations function.	Destroy 7 years after expiry or other termination of the agreement

### 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
18831	Records documenting the planning and conduct of internal and external audits relating to the information management standards and operations function.	Destroy 10 years after last action

## INFORMATION MANAGEMENT STANDARDS & OPERATIONS

### Committees

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

Entry	Description of records	Disposal action
18832	Records of committees relating to recordkeeping and information management standards where the Archives provides the secretariat, is the Commonwealth's main representative or plays significant role, such as International Council of Archives (ICA) or Standards Australia Records Management Committee (IT21).	Retain as national archives
18833	Records of committees relating to recordkeeping and information management standards where the Archives does not provide the secretariat, is not the Commonwealth's main representative, or does not play significant role.	Destroy 5 years after last action

### Compliance Checking

The activities involved in checking the implementation of information management standards for compliance purposes.

Entry	Description of records	Disposal action
18834	Records documenting Commonwealth agencies' compliance with mandatory or optional recordkeeping and information management standards.  <i>[For development of compliance checklist, use INFORMATION MANAGEMENT STANDARDS &amp; OPERATIONS– Standards Development.]</i>  <i>[For establishment of the compliance regime, use INFORMATION MANAGEMENT STANDARDS &amp; OPERATIONS – Procedures.]</i>	Destroy 7 years after last action

### Liaison

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

*For representation on professional bodies, or at events run by professional bodies, use ARCHIVES EXTERNAL COMMUNICATIONS.*

Entry	Description of records	Disposal action
18836	Records documenting liaison activities undertaken with archival institutions in other jurisdictions, professional associations, industry associations, private sector organisations and community groups.	Destroy 10 years after last action

# INFORMATION MANAGEMENT STANDARDS & OPERATIONS

## Meetings

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

Entry	Description of records	Disposal action
18837	Records documenting meetings and supporting documents tabled at meetings that have the capacity to influence whole-of-government recordkeeping.	Retain as national archives
18838	Records documenting meetings and supporting documents tabled at meetings held to support the information management standards and operations function.	Destroy 10 years after last action

## 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
18839	Records documenting planning activities, including work plans relating to the information management standards and operations function.	Destroy 5 years after last action

## 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 development of standards relating to information management and recordkeeping, use INFORMATION MANAGEMENT STANDARDS & OPERATIONS – Standards Development.*

Entry	Description of records	Disposal action
18840	Records documenting the development and establishment of policies relating to the information management standards and operations function. Includes: <ul style="list-style-type: none"> <li>• policy proposals</li> <li>• supporting reports</li> <li>• research papers</li> <li>• major drafts</li> <li>• minutes of meetings</li> <li>• results of consultations</li> <li>• final policy documents.</li> </ul>	Retain as national archives
19098	Working papers documenting the development of all policies relating to the performance of the information management standards and operations function. Includes: <ul style="list-style-type: none"> <li>• supporting research papers</li> <li>• copies of documents</li> <li>• uncirculated drafts.</li> </ul>	Destroy 3 years after policy finalised



# INFORMATION MANAGEMENT STANDARDS & OPERATIONS

## Procedures

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

Entry	Description of records	Disposal action
18841	Master set of procedures for whole-of-government level compliance activities undertaken by the Archives supporting the information management standards and operation function.	Retain as national archives
18842	Master set of internal procedures supporting the delivery of advice and services relating to the information management standards and operations function.	Destroy 7 years after procedure superseded
18843	Working papers documenting the development of procedures relating to whole-of-government compliance and internal procedures with information management standards and guidelines.	Destroy 3 years after last action

## Project Management

The process of managing a set of procedures, activities, resources and/or strategies designed to achieve a goal or objective within a specified timeframe. Includes defining project parameters and stages.

*For provision of a final report covering the outcomes of the work undertaken in the project, use INFORMATION MANAGEMENT STANDARDS & OPERATIONS – Reporting.*

Entry	Description of records	Disposal action
18844	Records documenting project management activities relating to the information management and standards and operations function.	Destroy 7 years after last action

## 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
18845	Records documenting the development of major reports relating to recordkeeping and information management, that have far reaching standards and procedural implications across the Commonwealth.	Retain as national archives
18846	Reports supporting the routine internal functioning of the information management standards and operations function.	Destroy 5 years after last action
18847	Working papers documenting the development of reports. Includes minor drafts and comments received.	Destroy 3 years after last action

## INFORMATION MANAGEMENT STANDARDS & OPERATIONS

### Research

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

Entry	Description of records	Disposal action
18848	Records documenting research undertaken to support the information management standards and operations function.	Destroy 12 years after last action

### 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
18849	Records documenting the evaluation and review of information management and recordkeeping standards and guidelines. Includes the evaluation of standards and policies written by Archives against industry standards.	Retain as national archives
18850	Working papers documenting the evaluation and review of information management and recordkeeping standards policies and guidelines.	Destroy 10 years after last action
18851	Records documenting routine reviews of agency programs, policies and procedures supporting the information management standards and operations function.	Destroy 7 years after last action

### Risk Management

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

Entry	Description of records	Disposal action
18852	Records documenting risk management relating to the information management standards and operations function.	Destroy 7 years after last action

### Standards Development

The activities associated with developing government wide information management standards, including internal standards to support core activities undertaken by Archives. Includes investigating options, consultations with stakeholders and devising guidelines and standards.

*For determining Archives decisions or directions relating to how the function is performed, use INFORMATION MANAGEMENT STANDARDS & OPERATIONS – Policy.*

Entry	Description of records	Disposal action
18853	Records documenting the development and revision of standards and guidelines relating to whole-of-government information management and recordkeeping.  <i>[For assessing agencies' compliance against these criteria, use INFORMATION MANAGEMENT STANDARDS &amp; OPERATIONS - Compliance Checking.]</i>  <i>For the development of internal policies guiding the delivery of the information management standards and operations function, use INFORMATION MANAGEMENT STANDARDS &amp; OPERATIONS – Policy.]</i>	Retain as national archives
18854	Working papers documenting the development and revision of standards and guidelines relating to information management and recordkeeping.	Destroy 10 years after standard finalised

# INFORMATION MANAGEMENT STANDARDS & OPERATIONS

## Training Services

The activities associated with managing and providing training to Commonwealth agencies, other organisations, the public and official researchers for the purpose of developing particular skills. Includes the development of training materials.

*For staff training, use STAFF DEVELOPMENT – Training.*

<b>Entry</b>	<b>Description of records</b>	<b>Disposal action</b>
18865	Records documenting the development and delivery of training sessions on information management and recordkeeping. Includes the development of training content, preparation, delivery, and analysis of feedback and session reports.	Destroy 10 years after last action
18866	Records documenting administrative arrangements supporting the delivery of courses.	Destroy 2 years after last action

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## RECORDS ACCESS MANAGEMENT

The function of providing public and official access to records of the Commonwealth. Includes providing a range of services to facilitate access such as the handling of reference enquiries, copying of archival records, examining records prior to release, and managing the appeals process.

For development and revision of standards of service (eg. Service Charters), use STRATEGIC MANAGEMENT Customer Service.

For development of finding aids, use PUBLICATIONS - Research, PUBLICATIONS - Drafting, and PUBLICATIONS - Production.

For development of applications, systems and databases relating to records access management, including RecordSearch, use TECHNOLOGY & TELECOMMUNICATIONS.

For communicating to external stakeholders about the records access management function, use ARCHIVES EXTERNAL COMMUNICATIONS.

For managing volunteers to carry out records access management activities, use PERSONNEL.

For hiring of casual staff or contract staff to carry out records access management activities, such as access examination, use PERSONNEL.

### Access Appeals

The activities involved in managing the process of appeals against access decisions. Includes internal reconsiderations and applications made to a higher authority, such as the Administrative Appeals Tribunal (AAT).

Entry	Description of records	Disposal action
18867	Records documenting appeals against access decisions made to the High Court, Federal Court or Administrative Appeals Tribunal.	Retain as national archives
18868	Register of Archives' internal reconsideration cases.	Destroy 30 years after last entry
18869	Records documenting management of complaints made to the Ombudsman, Privacy Commissioner or Members of Parliament about handling applications for access or internal reconsideration.	Destroy 10 years after last action
18870	Records documenting Archives' internal reconsiderations of access decisions.	Destroy 5 years after last action

### Access Copying

The activities associated with the copying of Commonwealth records in the care of the Archives by digitisation, paper copying, and audiovisual copying for the purposes of providing access. Includes copying process from the receipt of the request, to the dispatch of the copied item.

*For copying undertaken for the purposes of creating a high-quality master copy for preservation purposes, use RECORDS PRESERVATION MANAGEMENT— Preservation Copying & Conversion.*

Entry	Description of records	Disposal action
18871	Copies of records made to provide access under the Act to records over 30 years of age.	Destroy when the original record is destroyed
18872	Records documenting the administrative arrangements for copying of records for access purposes.	Destroy 7 years after last action

## RECORDS ACCESS MANAGEMENT

### Access Examination

The process of determining the public access status of records in accordance with the provisions of the Archives Act 1983. Includes undertaking various methods of access examination, physical action to the records, and management of access decisions.

*For approval of delegations under the Act, use RECORDS ACCESS MANAGEMENT – Authorisations.*

Entry	Description of records	Disposal action
18873	Final access decisions recorded on archival control systems (eg RecordSearch, Access Monitor).	Retain as national archives
18874	Records documenting the access examination process. Includes research undertaken, access worksheets, advice from agencies placed in the access dossier and statement of reasons.  <i>[For advice provided to State officers and the Australian War Memorial on interpretation of access policy and manual directions in access decision-making, use RECORDS ACCESS MANAGEMENT- Advice]</i>	Retain as national archives
18875	Records documenting the process of creating an expunged copy of an archival record. Includes: <ul style="list-style-type: none"> <li>• document removal advice form</li> <li>• expunged folio.</li> </ul> <i>[For photocopies taken in the expunging process, use Normal Administrative Practice (NAP).]</i>  <i>[For records used to assist administration process for example WPA –withheld pending advice-monitor), use Normal Administrative Practice (NAP).]</i>	Destroy when exemption no longer applies

### Advice

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

*For seeking advice on legal aspects of the Archives Act 1983 from legal professionals or government solicitors relating to records access management, use LEGAL SERVICES.*

Entry	Description of records	Disposal action
18877	Advice provided and received re Ministerial Certificates under Section 34 of the Archives Act 1983.	Destroy when Ministerial certificate revoked by the Minister
18878	Records documenting the provision of advice relating to the records access management function.	Destroy 7 years after last action

### Agreements

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

Entry	Description of records	Disposal action
18879	Records documenting the development and signing of agreements with Indigenous people for facilitating access to Commonwealth records.  <i>[For records related to access under Memorandum of Understanding (MOU), use RECORDS ACCESS MANAGEMENT – Reference Enquiries.]</i>	Retain as national archives

## RECORDS ACCESS MANAGEMENT

### Agreements - Continued

Entry	Description of records	Disposal action
18880	Records documenting the development and signing of major agreements such as intergovernmental or cross-jurisdictional agreements relating to the records access management function.	Destroy 15 years after expiry or other termination of the agreement
18881	Records documenting the development and signing of minor of agreements supporting the records access management function such as agreements with Commonwealth agencies regarding access to records they control eg Section 35 arrangements.	Destroy 7 years after expiry or other termination of the agreement

### 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 developing annual program and objectives for internal audits, use STRATEGIC MANAGEMENT – Planning.*

Entry	Description of records	Disposal action
18882	Records documenting the planning and conduct of internal and external audits relating to the records access management function.	Destroy 10 years after last action

### Authorisation

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

Entry	Description of records	Disposal action
18883	Signed Ministerial conclusive certificates withholding Archives' access to open period records, as per section 34 of the Archives Act 1983. Includes signed Ministerial revocation of the certificate.	Retain as national archives
18884	Records documenting the delegation of power relating to the records access management function.	Destroy 7 years after delegation superseded, cancelled or no longer applicable
18885	Principle registers of researchers and supporting records.	Destroy 75 years after registration
18886	Official and special access register.	Destroy 10 years after last action
18887	Secondary or supporting researchers registers (eg. registers maintained in State offices).	Destroy when reference ceases
19348	Authorisations for administrative actions relating to the records access management function.	Destroy 7 years after action completed

## RECORDS ACCESS MANAGEMENT

### Billing

The activities associated with calculating and advising fees or charges for the provision of Archives goods or services to Commonwealth institutions, private organisations or persons. Includes making decisions on waiving charges and answering inquiries about amounts being charged.

Entry	Description of records	Disposal action
18888	Records documenting calculated charges for services provided. Includes records where charges have been waived.	Destroy 7 years after last action

### Claims

The process of administering and managing payments demanded in accordance with an insurance policy as compensation for injury, death, or denial of rights of a person, or damage to or destruction of property. Includes disputes over rights and ownership, and recompense sought for stolen or lost property.

Entry	Description of records	Disposal action
18889	Records documenting insurance claims for compensation made to or by the Archives.	Destroy 7 years after last action

### Committees

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

Entry	Description of records	Disposal action
18890	Records of committees formed to consider matters relating to the records access management function.	Destroy 10 years after last action

### 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
18891	Records documenting Archives' compliance with mandatory and optional standards or statutory requirements. Includes subpoenas and court orders.	Destroy 7 years after last action

### Evaluation

The process of determining the suitability of potential or existing programs, items of equipment, systems or services in relation to meeting the needs of the given situation. Includes systems analysis and ongoing monitoring.

Entry	Description of records	Disposal action
18893	Records documenting the evaluation and ongoing monitoring of programs and services relating to the records access management function.	Destroy 10 years after last action

## RECORDS ACCESS MANAGEMENT

### Insurance

The process of taking out premiums to cover loss or damage to property or premises, and to cover customers and staff against injury or death resulting from incidents on the organisation's premises or whilst engaged during employment.

*For making claims to Comcover to cover loss or damage, use RECORDS ACCESS MANAGEMENT – Claims.*

Entry	Description of records	Disposal action
18894	Records documenting the management of insurance coverage, including insurance policies, annual renewals and management of premiums.	Destroy 7 years after last action

### 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
18895	Records documenting liaison activities undertaken with archival institutions in other jurisdictions, professional associations, industry associations, private sector organisations and community groups relating to the records access management function.	Destroy 3 years after last action

### Meetings

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

Entry	Description of records	Disposal action
18896	Records documenting meetings and supporting documents tabled at meetings held in relation to the records access management function.	Destroy 7 years after last action

### Planning

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

*For recording access statistics, use RECORDS ACCESS MANAGEMENT – Reporting.*

Entry	Description of records	Disposal action
18897	Records documenting planning activities, including work plans relating to the records access management function.	Destroy 5 years after last action



## RECORDS ACCESS 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
18898	Records documenting the development and establishment of policies relating to records access management function. Includes: <ul style="list-style-type: none"> <li>• policy proposals</li> <li>• supporting reports</li> <li>• research papers</li> <li>• major drafts</li> <li>• minutes of meetings</li> <li>• results of consultations</li> <li>• final policy documents.</li> </ul>	Retain as national archives
18899	Working papers documenting the development of all policies relating to the records access management. Includes: <ul style="list-style-type: none"> <li>• supporting research papers</li> <li>• copies of documents</li> <li>• uncirculated drafts.</li> </ul>	Destroy 3 years after policy finalised

### Procedures

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

Entry	Description of records	Disposal action
18900	Records documenting the development of major procedures supporting the provision of access to Commonwealth records such as the access and reference manuals.	Retain as national archives
18901	Records documenting the development of routine procedures supporting the records access management function such as reading rooms procedures.	Destroy 5 years after procedure superseded
18902	Records documenting the development of all procedures supporting the records access management function.	Destroy 3 year after procedure finalised

### Project Management

The process of managing a set of procedures, activities, resources and/or strategies designed to achieve a goal or objective within a specified timeframe. Includes defining project parameters and stages.

*For provision of a final report covering the outcomes of the work undertaken in the project, use RECORDS ACCESS MANAGEMENT – Reporting.*

Entry	Description of records	Disposal action
18903	Records documenting project management activities relating to the records access management function.	Destroy 7 years after last action

## RECORDS ACCESS 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 from the public.

Entry	Description of records	Disposal action
18904	Records documenting public reaction received about activities supporting the records access management function. Includes the handling of complaints and positive feedback.	Destroy 5 years after last action

### Reference Enquiries

The activities associated with the management of reference enquiries (also referred to as Reference Inquiries) pertaining to records of the Commonwealth. Includes the receipt, processing and handling of enquiries and responses to clients.

Entry	Description of records	Disposal action
19329	Records documenting the provision of access under memorandum of understanding (MOU) with Indigenous Australians. Includes: request for access memorandum of understanding form verification of identity (or statutory declaration verifying identity) referral letter from SA link-up.  <i>[For establishment, negotiation and review of memoranda of understanding, use RECORDS ACCESS MANAGEMENT – Agreements.]</i>  <i>[For registration of readers, other than MOU readers, use RECORDS ACCESS MANAGEMENT – Authorisation.]</i>	Destroy 75 years after last action
19330	Records relating to communication with Commonwealth Persons (CP), persons acting on the CP's behalf (such as staff and family) and the CP's executors and trustees regarding requests for access to the CP's personal records collection.  <i>[For all other records relating to receipt, processing and handling of reference enquiries involving access to personal records collections, use RECORDS ACCESS MANAGEMENT – insert disposal classes for complex and one off reference inquiries.]</i>  <i>[For negotiations in setting up arrangements with CP for the deposit, access and use of records placed with the Archives, including the Instrument of Deposit, use RECORDS EVALUATION &amp; DISPOSAL – Agreements.]</i>  <i>[For registration of CP depositors as readers, use RECORDS ACCESS MANAGEMENT – Authorisation.]</i>  <i>[For reference enquiries from CP to access records not in their collection and that are under 30 years old, use RECORDS ACCESS MANAGEMENT – Insert Disposal class for special access.]</i>  <i>[For reference enquiries from CP to access records not in their collection and that are under 30 years old, use RECORDS ACCESS MANAGEMENT – Insert Disposal class for special access.]</i>  <i>[For reference enquiries from CP to access records not in their collection and that are over 30 years old and not requiring special access, use RECORDS ACCESS MANAGEMENT – insert disposal classes for complex and one off reference inquiries.]</i>	Destroy 30 years after last action

# RECORDS ACCESS MANAGEMENT

## Reference Enquiries - Continued

Entry	Description of records	Disposal action
19331	<p>Records documenting the provision of accelerated or special access. Includes:</p> <ul style="list-style-type: none"> <li>•application for special access;</li> <li>•agency notification of receipt of special access application;</li> <li>•agency's approval or refusal of application;</li> <li>•acceptance of access conditions.</li> </ul> <p><i>[For registers recording names of officers given special access, use RECORDS ACCESS MANAGEMENT - Authorisation.]</i></p> <p><i>[For reporting special access cases to the Advisory Council, use RECORDS ACCESS MANAGEMENT - Reporting.]</i></p>	Destroy 10 years after last action
19332	<p>Records documenting the provision of official access. Includes verification of agency officer and records supporting the provision of access.</p> <p><i>[For registers recording names of officers given official access, use RECORDS ACCESS MANAGEMENT - Authorisation.]</i></p>	Destroy 10 years after last action
19333	<p>Records documenting the provision of discretionary access to individual applicants. Includes:</p> <ul style="list-style-type: none"> <li>•application form</li> <li>•statement from applicant</li> <li>•correspondence with applicant</li> <li>•correspondence with agency</li> <li>•decision to give or refuse access.</li> </ul> <p><i>[For records relating to the process of applying discretionary access to whole of public, use RECORDS ACCESS MANAGEMENT - Access Examination.]</i></p>	Destroy 5 years after last action
19334	<p>Records documenting the receipt, processing and handling of complex or long running reference enquiries. Includes:</p> <ul style="list-style-type: none"> <li>•record of reference enquiry</li> <li>•records supporting the provision of access and/or the response to the enquiry</li> <li>•work sheet</li> <li>•correspondence with applicant</li> </ul> <p><i>[For the registration of individual readers, and for the registration of permissions to photograph records or provision of free copying use, RECORDS ACCESS MANAGEMENT - Authorisation.]</i></p>	Destroy 5 years after last action

# RECORDS ACCESS MANAGEMENT

## Reference Enquiries - Continued

Entry	Description of records	Disposal action
19335	Records documenting the receipt, processing and handling of brief, one off reference enquiries where the response satisfies the applicant's requirement for information. Includes: <ul style="list-style-type: none"> <li>•record of reference enquiry</li> <li>•records supporting the provision of access and/or the response to the enquiry</li> <li>•work sheet</li> <li>•correspondence with applicant.</li> </ul> <p><i>[For the registration of individual readers, and for the registration of permissions to photograph records or provision of free copying use, RECORDS ACCESS MANAGEMENT - Authorisation.]</i></p>	Destroy 2 years after last action
19336	Master registers allocating enquiries to reference officers (eg. Reference Inquiry Monitor).	Destroy 5 years after last action
19337	Ancillary registers allocating enquiries to reference officers (eg State office registers).	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 provision of final reports relating to project management requirements (such as final expenditure, end of stage/project report, project briefs etc), use RECORDS ACCESS MANAGEMENT – Project Management.*

Entry	Description of records	Disposal action
18905	Records documenting the development of reports relating to the records access management function.	Destroy 10 years after last action

## 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
18906	Records documenting reviews of programs and operations supporting the records access management function.	Destroy 10 years after last action

## Risk Management

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

Entry	Description of records	Disposal action
18907	Records documenting the development of risk management practices relating to the records access management function.	Destroy 7 years after last action

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## RECORDS ACCESS MANAGEMENT

### Suggestions

The process of using suggestions from personnel and the public to improve the services and processes of the organisation.

<b>Entry</b>	<b>Description of records</b>	<b>Disposal action</b>
18908	Records documenting suggestions received relating to the records access management function.	Destroy 5 years after last action

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### Training Services

The activities associated with managing and providing training to Commonwealth agencies, other organisations, the public and official researchers for the purpose of developing particular skills. Includes the development of training materials.

*For staff training, use STAFF DEVELOPMENT – Training.*

<b>Entry</b>	<b>Description of records</b>	<b>Disposal action</b>
18919	Records documenting the development and delivery of training sessions. Includes administrative arrangements.	Destroy 5 years after last action

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## RECORDS CUSTODY & STORAGE

The function of managing the physical control of records irrespective of their location. Includes transfer of records to the custody of the Archives, the management of their location and storage, and lending and withdrawal activities. Also includes the negotiation of agreements establishing custody arrangements to allow Commonwealth archival records to be stored outside of the Archives.

For communicating to external stakeholders about the records custody and storage function, use ARCHIVES EXTERNAL COMMUNICATIONS.

For training of Archives staff in undertaking activities to support the records custody and storage function, use STAFF DEVELOPMENT – Training.

For training of agencies staff in custody and storage processes and procedures for undertaking transfer and lending activities, use RECORDS CUSTODY & STORAGE – Training Services.

For authorising custody and ownership arrangements following the sale or privatisation of a Commonwealth agency, use RECORDS EVALUATION & DISPOSAL – Disposal Authorisation.

For destruction of records in Archives custody, use RECORDS EVALUATION & DISPOSAL – Records Destruction.

For management of repositories and infrastructure, use PROPERTY MANAGEMENT.

For assessment of preservation aspects of outgoing loans of items from Archives' collection, use RECORDS PRESERVATION MANAGEMENT – Loans Assessment.

For development of applications, systems and databases relating to records custody and storage, including RecordSearch, use TECHNOLOGY & TELECOMMUNICATIONS.

### Advice

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

*For advice on the intellectual control of archival records being transferred to the Archives, use RECORDS INTELLECTUAL CONTROL – Advice.*

Entry	Description of records	Disposal action
18921	Records documenting advice on issues relating to the records custody and storage function.	Destroy 3 years after last action

### Agreements

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

*For agreements relating to the transfer of ownership of records made under Section 24 of the Archives Act 1983, use RECORDS EVALUATION & DISPOSAL – Disposal Authorisation.*

Entry	Description of records	Disposal action
18922	Records documenting the development and signing of agreements or determinations made under sections 29 and 64 of the Archives Act 1983.	Retain as national archives
18923	Register of items held under each agreement or determination.	Destroy 25 years after last entry
18924	Records documenting the development and signing of agreements other than determinations under Section 29 and 64 of the Archives Act 1983.	Destroy 7 years after expiry or other termination of agreement

## RECORDS CUSTODY & STORAGE

### 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 developing annual program and objectives for internal audits, use STRATEGIC MANAGEMENT – Planning.*

Entry	Description of records	Disposal action
18925	Records documenting the planning and conduct of internal and external audits relating to the records custody and storage function.	Destroy 10 years after last action

### Authorisation

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

*For authorisation of transfer of ownership of records made under Section 24 of the Archives Act 1983, use RECORDS EVALUATION & DISPOSAL – Disposal Authorisation.*

Entry	Description of records	Disposal action
18926	Signed Ministerial conclusive certificates withholding Archives' access to open period records, as per section 29 of the Archives Act 1983.	Destroy 25 years after exemption revoked by the Minister
18927	Records documenting the delegation of power relating to the records custody and storage function.	Destroy 7 years after delegation cancelled, superseded or no longer applicable
19349	Authorisations for administrative actions relating to the records custody and storage function.	Destroy 7 years after action completed

### Billing

The activities associated with calculating and advising fees or charges for the provision of Archives goods or services to Commonwealth institutions, private organisations or persons. Includes making decisions on waiving charges and answering inquiries about amounts being charged.

Entry	Description of records	Disposal action
18928	Records documenting calculated charges for services provided. Includes records where charges have been waived.	Destroy 7 years after last action

### Claims

The process of administering and managing payments demanded in accordance with an insurance policy as compensation for injury, death, or denial of rights of a person, or damage to or destruction of property. Includes disputes over rights and ownership, and recompense sought for stolen or lost property.

Entry	Description of records	Disposal action
18929	Records documenting insurance claims for compensation made to or by the Archives.	Destroy 7 years after last action

## RECORDS CUSTODY & STORAGE

### Committees

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

Entry	Description of records	Disposal action
18930	Records of committees formed to consider matters relating to the records custody and storage function.	Destroy 10 years after last action

### Estray Recovery

The activities associated with the recovery by the Archives of records that have been alienated from the custody of the Commonwealth. Includes cases where records are offered, and accepted on the basis of their status as records of the Commonwealth.

*For recovering of records being on loan, such as outstanding loans, use RECORDS CUSTODY AND STORAGE – Lending Services.*

Entry	Description of records	Disposal action
18932	Records documenting the recovery of estray Commonwealth records. Includes cases where the records were not successfully recovered.	Retain as national archives

### Inspections

The process of official examinations of facilities, equipment and items, to ensure compliance with agreed standards and objectives.

Entry	Description of records	Disposal action
18933	Records documenting inspections of storage facilities conducted in relation to the records custody and storage function.	Destroy 10 years after last action

### Insurance

The process of taking out premiums to cover loss or damage to property or premises, and to cover customers and staff against injury or death resulting from incidents on the organisation's premises or whilst engaged during employment.

Entry	Description of records	Disposal action
18934	Records documenting the management of insurance coverage, including insurance policies, annual renewals and management of premiums.	Destroy 7 years after last action

### Lending Services

The activities associated with the temporary loan of records from the Archives repositories for the purpose of providing official (agency or personal depositor) and public access.

Entry	Description of records	Disposal action
18935	Records documenting registration of requests and returns of records in Archives custody.	Destroy when business requirement ceases
18936	Records supporting administrative arrangements related to lending activities including lending requests, return receipts and outstanding loans lists.	Destroy 5 years after last action



## RECORDS CUSTODY & STORAGE

### Location & Space Configuration

The activities involved in managing the physical control of records in the Archives' custody. Includes space configuration and managing any changes involving the location of these records. Also includes relocation of records within a repository, to new repositories, or to interstate repositories.

*For transfer of records into the custody of the Archives, use RECORDS CUSTODY & STORAGE – Records Transfer.*

Entry	Description of records	Disposal action
18937	Records documenting the registration of the physical location of records in Archives custody.	Destroy when item location record superseded
18938	Records supporting administrative arrangements related to the physical relocation of records, including relocation of repositories or amendments to locations as a result of a records stocktake.	Destroy 5 years after last action

### Meetings

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

Entry	Description of records	Disposal action
18939	Records documenting meetings and supporting documents tabled at meetings held in relation to the records custody and storage function.	Destroy 5 years after last action

### 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
18940	Records documenting planning activities, including National Space Utilisation Plan (NSUP) or work plans relating to the records custody and storage function.	Destroy 10 years after last action

### 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
18941	Records documenting the development and establishment of policies relating to the records custody and storage function. Includes: <ul style="list-style-type: none"> <li>• policy proposals</li> <li>• supporting reports</li> <li>• research papers</li> <li>• major drafts</li> <li>• minutes of meetings</li> <li>• results of consultations</li> <li>• final policy documents.</li> </ul>	Retain as national archives

## RECORDS CUSTODY & STORAGE

### Policy - Continued

Entry	Description of records	Disposal action
18942	Working papers documenting the development of all policies relating to the records evaluation and disposal function. Includes: <ul style="list-style-type: none"> <li>• supporting research papers</li> <li>• copies of documents</li> <li>• uncirculated drafts.</li> </ul>	Destroy 3 years after policy finalised

### Procedures

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

Entry	Description of records	Disposal action
18943	Master set of manuals, handbooks and directives etc detailing procedures supporting the records custody and storage function.	Destroy 10 years after procedure superseded
18944	Records documenting the development of procedures supporting the records custody and storage function.	Destroy 5 years after procedure finalised

### Project Management

The process of managing a set of procedures, activities, resources and/or strategies designed to achieve a goal or objective within a specified timeframe. Includes defining project parameters and stages.

*For provision of a final report covering the outcomes of the work undertaken in the project, use RECORDS CUSTODY & STORAGE – Reporting.*

Entry	Description of records	Disposal action
18945	Records documenting project management activities relating to the records custody and storage function.	Destroy 10 years after project completed

### Records Stocktake

The activities associated with confirming the location of records in Archives custody. Includes checking of existing consignments.

Entry	Description of records	Disposal action
18946	Records documenting the stocktake of records in Archives custody.	Destroy 5 years after last action

### Records Survey

The activities associated with investigating records held in the National Archives or agency custody. Includes observing, gathering and reporting information in order to conduct further action. Also includes activities undertaken for collection review purposes.

Entry	Description of records	Disposal action
18947	Reports of final results of nationwide surveys of records in Commonwealth Government agencies.	Destroy 25 years after last action

## RECORDS CUSTODY & STORAGE

### Records Survey - Continued

Entry	Description of records	Disposal action
18948	Records documenting nationwide surveys of records in Commonwealth Government agencies excluding final results reports.	Destroy 3 years after last action
18949	Records documenting the internal and external records surveys other than nationwide surveys.	Destroy 10 years after last action

### Records Transfer

The activities associated with the transfer of records to the Archives. This includes checking the transfer documentation and acknowledging receipt of deposit as well as bringing the records physically into custody.

Entry	Description of records	Disposal action
18950	Records documenting records transfers to Archives custody including documenting temporary transfer of records from agencies for the purpose of facilitating public access.	Destroy 25 years after record withdrawn from Archives' custody
18951	Working papers supporting records transfers to Archives' custody.	Destroy 3 years after last action

### 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
18952	Records documenting the development of reports relating to the records custody and storage function.	Destroy 5 years after last action
19344	Records documenting the development of final reports relating to the records custody and storage function.	Destroy 10 years after last action

### 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
18953	Records documenting major reviews of programs and operations relating to the records custody and storage function such as review of permanent holdings.	Destroy 25 years after last action
18954	Records documenting minor reviews of programs and operations relating to the records custody and storage function.	Destroy 10 years after last action

## RECORDS CUSTODY & STORAGE

### Risk Management

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

Entry	Description of records	Disposal action
18955	Records documenting risk management practices relating to the records custody and storage function.	Destroy 7 years after last action

### Training Services

The activities associated with managing and providing training to Commonwealth agencies, other organisations, the public and official researchers for the purpose of developing particular skills. Includes the development of training materials.

*For staff training in preservation aspects, use STAFF DEVELOPMENT – Training.*

Entry	Description of records	Disposal action
18966	Records documenting the development and delivery of training sessions on the custody and storage of Commonwealth records. Includes the development of training content, preparation, administrative arrangements, delivery, and analysis of feedback and session reports.	Destroy 10 years after last action

### Withdrawals

The activities associated with the withdrawal of records from the custody of the Archives. Includes withdrawal for sentencing.

*For destruction of records in archival custody, use RECORDS EVALUATION & DISPOSAL – Records Destruction.*

Entry	Description of records	Disposal action
18967	Records documenting permanent withdrawal of records from Archives' custody.	Destroy 25 years after last action

## RECORDS EVALUATION & DISPOSAL

The function of managing the disposition of Commonwealth records. Includes analysing the business activities of government with the aim of identifying the need for records taking into account stakeholder requirements, risks, benefits and costs. Includes the development of disposal authorities authorising the disposal of records, formulating policies and procedures and providing advice on the implementing disposal actions. Includes applying disposal actions to records held in archival care, and monitoring sentencing activities carried out by agencies or contractors. Also includes activities involved in the transfer of custody and ownership of records following the privatisation or sale of a government entity, or its shares in an entity, and the imposition of disposal freezes.

For communicating to external stakeholders about the records evaluation & disposal function, use ARCHIVES EXTERNAL COMMUNICATIONS.

For physical transferring of records following sentencing, privatisation or sale of a government entity, use RECORDS CUSTODY & STORAGE – Records Transfer.

For agreements providing permissions by Archives to other agencies under sections 29 and 64 of the Archives Act to maintain the custody of archival records, use RECORDS CUSTODY & STORAGE – Agreements.

For hiring of contract staff to carry out activities supporting the records evaluation & disposal function (eg sentencing), use PERSONNEL.

For development of applications, systems and databases relating to records evaluation and disposal, including RecordSearch, use TECHNOLOGY & TELECOMMUNICATIONS.

For training of Archives' staff in disposal, use STAFF DEVELOPMENT – Training.

For training of agencies staff in disposal, use INFORMATION MANAGEMENT STANDARDS & OPERATIONS – Training Services.

### Advice

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

*For advice provided to agencies undertaking a DIRKS project, use RECORDS EVALUATION & DISPOSAL – Disposal Authorisation.*

*For advice designed to improve agency recordkeeping practices where formal report is created, use INFORMATION MANAGEMENT STANDARDS & OPERATIONS – Reporting.*

Entry	Description of records	Disposal action
18969	Records documenting advice on major issues relating to records disposal policies or practices that create precedence or relate to significant activities such as: <ul style="list-style-type: none"> <li>• intergovernmental archival arrangements</li> <li>• custody and ownership issues</li> <li>• jurisdictional conflicts.</li> </ul> <p><i>[For development and issuing of disposal authorities relating to custody and ownership cases, use RECORDS EVALUATION AND DISPOSAL – Disposal Authorisation.]</i></p>	Retain as national archives
18970	Records documenting advice provided on applying disposal actions in disposal authorities (sentencing advice) and minor disposal policies or practices, including managing custody and ownership cases. <p><i>[For development of the custody and ownership records disposal authority, use RECORDS EVALUATION &amp; DISPOSAL – Disposal Authorisation.]</i></p> <p><i>[For development of the custody and ownership agreements, use RECORDS EVALUATION &amp; DISPOSAL – Agreements.]</i></p> <p><i>[For arrangement of the physical transfer of records, use RECORDS CUSTODY &amp; STORAGE – Records Transfer.]</i></p>	Destroy 25 years after last action

## RECORDS EVALUATION & DISPOSAL

### Advice - Continued

Entry	Description of records	Disposal action
19099	Records documenting cases of unauthorised destruction, damage or alteration of records. Includes inappropriate use of 'normal administrative practice' (NAP).	Retain as national archives

### Agency Monitoring

The activities associated with applying quality control measures instituted to monitor agency and contractor activities to ensure that they conform with the policies, procedures and standards introduced by the Archives, and authorised disposal actions.

*For monitoring and advising agencies on compiling transfer documentation, use RECORDS CUSTODY & STORAGE – Records Transfer.*

Entry	Description of records	Disposal action
18971	Records documenting the monitoring of sentencing activities of agencies or contractors where major issues were identified.  <i>[For handling of cases of deliberate breaches of the Archives Act via unauthorised destruction, damage or alteration or other irregular recordkeeping practice, RECORDS EVALUATION &amp; DISPOSAL – Advice.]</i>	Retain as national archives
18972	Records documenting the monitoring of sentencing activities of agencies or contractors where minor or no issues were identified.  <i>[For handling of cases of deliberate breach of the Archives Act via unauthorised destruction, damage or alteration or other irregular recordkeeping practice, RECORDS EVALUATION &amp; DISPOSAL – Advice.]</i>	Destroy 7 years after last action
18973	Records notifying of the destruction of records received from agencies such as notifications of records destroyed forms (NAS 45 forms).	Destroy 5 years after last action

### Agreements

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

Entry	Description of records	Disposal action
18974	Records documenting the development and signing of agreements including Instruments of Deposits for personal records depositors.	Retain as national archives

### 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
18975	Records documenting the planning and conduct of internal and external audits relating to the records evaluation and disposal function.	Destroy 10 years after last action

## RECORDS EVALUATION & DISPOSAL

### Authorisation

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

*For authorising disposal, transfer, alteration or addition to Commonwealth records by issuing a records disposal authority, use RECORDS EVALUATION & DISPOSAL – Disposal Authorisation.*

*For authorising destruction of Commonwealth records in Archives custody, use RECORDS EVALUATION AND DISPOSAL – Sentencing.*

Entry	Description of records	Disposal action
18976	Records documenting the delegation of power relating to the records disposal and evaluation function.	Destroy 25 years after delegation superseded, cancelled or no longer applicable
19345	Authorisations for administrative actions relating to the records evaluation and disposal function.	Destroy 7 years after action completed

### Committees

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

Entry	Description of records	Disposal action
18977	Records of high level committees such as the disposal authorisation board or technical committees formed to consider matters relating to the records evaluation and disposal function.  <i>[For changes to Archives policies regarding disposal authorisation resulting from committee decisions, use RECORDS EVALUATION &amp; DISPOSAL – Policy.]</i>  <i>[For changes to Archives procedures regarding disposal authorisation resulting from committee decisions, use RECORDS EVALUATION &amp; DISPOSAL – Procedures.]</i>	Retain as national archives
18978	Records of minor committees formed to consider matters relating to the records evaluation and disposal function.	Destroy 5 years after last action

## RECORDS EVALUATION & DISPOSAL

### Disposal Authorisation

The activities associated with authorising the disposal of Commonwealth records. Includes both undertaking and confirming the analysis of business activities, the identification of recordkeeping requirements and the development of a disposal authority authorising the disposal action for classes of records. Also includes the imposition of disposal freezes.

Entry	Description of records	Disposal action
18980	<p>Master set of all signed disposal authorisations, and supporting records such as class appraisal reports, DIRKS A to C documentation and stakeholder comments. Includes schedules and authorities such as:</p> <ul style="list-style-type: none"> <li>• Disposal guidelines authorising disposal</li> <li>• Disposal agreements</li> <li>• Archival manuals authorising disposal</li> <li>• General disposal schedules</li> <li>• General disposal authorities</li> <li>• Records disposal schedules</li> <li>• Records disposal authorities</li> <li>• Administrative disposal authorities</li> <li>• Revocation authorities</li> <li>• ATAR authorities to add to, or to alter, records over 25 years old (ATAR)</li> <li>• Series Registration and Disposal Schedules</li> <li>• Records Disposal Sub-Schedules (RDSS)</li> <li>• Custody and ownership disposal authorities.</li> </ul> <p><i>[For advice on DIRKS database, use TECHNOLOGY AND TELECOMMUNICATION – Advice.]</i></p>	Retain as national archives
18981	Records documenting temporary holds on the destruction of records. Includes Archives' disposal freezes and agency imposed embargoes.	Retain as national archives
18982	Register of disposal authorities, including current and obsolete records disposal authorities.	Retain as national archives

### Donations

The activities associated with managing money, items, artefacts or property donated to the organisation, or by the organisation and/or its staff to charities etc. Includes managing unsolicited donations.

Entry	Description of records	Disposal action
18984	<p>Records documenting accepted donations of records from personal records depositors, including donations by bequest. Includes:</p> <ul style="list-style-type: none"> <li>• assessment of potential donation against Archives sponsorship criteria</li> <li>• correspondence with potential donor</li> <li>• approval from Director-General for cash support</li> <li>• arrangements for form of acknowledgement</li> <li>• valuations of records for cultural gifts program.</li> </ul>	Retain as national archives



## RECORDS EVALUATION & DISPOSAL

### Donations - Continued

Entry	Description of records	Disposal action
18985	Records documenting rejected donations of records from personal records depositors.	Destroy 25 years after last action

### Evaluation

The process of determining the suitability of potential or existing programs, items of equipment, systems or services in relation to meeting the needs of the given situation. Includes systems analysis and ongoing monitoring.

Entry	Description of records	Disposal action
18986	Records documenting high-level evaluations of programs and services relating to the records evaluation and disposal function.	Retain as national archives
18987	Records documenting routine evaluations of programs and services relating to the records evaluation and disposal function. Includes the evaluation of the ongoing applicability of disposal authorities.	Destroy 5 years after last action

### Meetings

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

Entry	Description of records	Disposal action
18988	Records documenting external meetings and supporting documents tabled at meetings held in relation to the records evaluation and disposal function. Excludes meetings held with agencies carrying out a DIRKS project steps A-C.	Destroy 7 years after last action

### 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
18989	Records documenting planning activities, including workplans relating to the records evaluation and disposal function.	Destroy 5 years after last action

## RECORDS EVALUATION & DISPOSAL

### 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 undertaking the process of developing and approving a disposal authority, use RECORDS EVALUATION & DISPOSAL – Disposal Authorisation.*

Entry	Description of records	Disposal action
18990	Records documenting the development and establishment of policies relating to the records evaluation and disposal function. Includes: <ul style="list-style-type: none"> <li>• policy proposals</li> <li>• supporting reports</li> <li>• research papers</li> <li>• major drafts</li> <li>• minutes of meetings</li> <li>• results of consultations</li> <li>• final policy documents.</li> </ul>	Retain as national archives
18991	Working papers documenting the development of all policies relating to the records evaluation and disposal function. Includes: <ul style="list-style-type: none"> <li>• supporting research papers</li> <li>• copies of documents</li> <li>• uncirculated drafts.</li> </ul>	Destroy 3 years after policy finalised

### Procedures

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

Entry	Description of records	Disposal action
18992	Master set of manuals, handbooks, and directives detailing procedures supporting the records evaluation and disposal function.	Retain as national archives
18993	Records documenting the development of procedures supporting the records evaluation and disposal function.	Destroy 3 years after procedure finalised

### Project Management

The process of managing a set of procedures, activities, resources and/or strategies designed to achieve a goal or objective within a specified timeframe. Includes defining project parameters and stages.

*For provision of a final report covering the outcomes of the work undertaken in the project, use RECORDS EVALUATION & DISPOSAL – Reporting.*

Entry	Description of records	Disposal action
18994	Records documenting project management activities relating to the records evaluation and disposal function.	Destroy 7 years after last action

## RECORDS EVALUATION & DISPOSAL

### Records Destruction

The activities associated with physical destruction of records in Archives' care under a current disposal authority with the concurrence of the controlling agency.

Entry	Description of records	Disposal action
18995	Records documenting the physical destruction of records in the care of the Archives.	Retain as national archives

### Records Survey

The activities associated with investigating records held in the National Archives or agency custody. Includes observing, gathering and reporting information in order to conduct further action. Also includes activities undertaken for collection review purposes.

Entry	Description of records	Disposal action
18996	Records documenting the internal and external surveys of records.	Destroy 25 years after survey 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
18997	Records documenting the development of major reports leading to a change in the Archives' policies or having an impact on the records evaluation and disposal function.	Retain as national archives
18998	Records documenting the development of minor reports having lesser impact on the records evaluation and disposal function.	Destroy 10 years after last action
18999	Working papers documenting the development of major reports. Includes drafts and comments received.	Destroy 3 year after last action

### 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
19000	Records documenting high level reviews such as reviews of policies and procedures having impact on function performance or reviews of disposal authorities conducted by the Archives. Includes major reviews undertaken of general disposal authorities by the Archives eg review of AFDA. <i>[For new disposal authorisation resulting from reviews of general disposal authorities, use RECORDS EVALUATION &amp; DISPOSAL – Disposal Authorisation.]</i>	Retain as national archives
19001	Records documenting routine reviews of policies, procedures having lesser impact on the records disposal and evaluation function and routine reviews of agencies records disposal authorities.	Destroy 10 years after last action

## RECORDS EVALUATION & DISPOSAL

### Reviewing - Continued

<b>Entry</b>	<b>Description of records</b>	<b>Disposal action</b>
19002	Working papers documenting the development of reviews. Includes drafts and comments received.	Destroy 5 years after last action

### Risk Management

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

<b>Entry</b>	<b>Description of records</b>	<b>Disposal action</b>
19003	Records documenting the development of risk management practices relating the records evaluation and disposal function.	Destroy 7 years after last action

### Sentencing

The process of applying authorised disposal classes to records in National Archives' care in order to establish archival value.

<b>Entry</b>	<b>Description of records</b>	<b>Disposal action</b>
19004	Records documenting sentencing activities carried out on records in the Archives' care. Includes annotated consignment lists with recommendations.	Retain as national archives
19005	Working papers supporting sentencing project activities including sentencing worksheets.	Destroy 3 years after last action

## RECORDS INTELLECTUAL CONTROL

The function of controlling records and documenting their provenance through registration, arrangement and description. Includes monitoring administrative change to maintain the accuracy of the intellectual control framework. Also includes developing, maintaining and reviewing the Commonwealth Record Series (CRS) system used by the Archives.

For physical management of archival records, use RECORDS CUSTODY & STORAGE.

For training of Archives' staff in application of intellectual control mechanisms, use STAFF DEVELOPMENT – Training.

For communicating to external stakeholders about the records intellectual control function, use ARCHIVES EXTERNAL COMMUNICATIONS.

For development of applications, systems and databases relating to records intellectual control, including RecordSearch, use TECHNOLOGY & TELECOMMUNICATIONS.

For publication of finding aids, use PUBLICATION – Drafting, and PUBLICATION – Production.

### Advice

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

Entry	Description of records	Disposal action
19017	Records documenting advice regarding arrangement and description issues such as protocols or policies explanations.	Destroy 10 years after last action

### Arrangement and Description

The activities associated with identifying, registering, amending or updating information about records, record series and their creators to facilitate control and access. Includes the process of identifying and updating provenance details and links between descriptive entities, examining records and placing them in order according to archival principles, and providing a description of the series and/or items. Also includes the process of indexing.

*For activities associated with obtaining physical control of records in Archives' custody, use RECORDS CUSTODY & STORAGE – Records Transfer.*

Entry	Description of records	Disposal action
19018	Records documenting the arrangement and description of archival records. Includes recording descriptive information about the record creators (eg agencies), series and items.	Retain as national archives

### 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
19019	Records documenting the planning and conduct of internal and external audits relating to the records intellectual control function.	Destroy 10 years after last action

### Evaluation

The process of determining the suitability of potential or existing programs, items of equipment, systems or services in relation to meeting the needs of the given situation. Includes systems analysis and ongoing monitoring.

Entry	Description of records	Disposal action
19021	Records documenting the evaluation and ongoing monitoring of programs, services, and issues relating to the records intellectual control function	Destroy 10 years after last action

## RECORDS INTELLECTUAL CONTROL

### Meetings

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

Entry	Description of records	Disposal action
19022	Records documenting meetings and supporting documents tabled at meetings held in relation to the records intellectual control function.	Destroy 7 years after last action

### Planning

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

*For planning related to individual projects, use RECORDS INTELLECTUAL CONTROL – Project Management.*

Entry	Description of records	Disposal action
19023	Records documenting planning activities, including work plans relating to the records intellectual control function.	Destroy 7 years after last action

### 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
19024	Records documenting the development and establishment of policies relating to the records intellectual control function. Includes: <ul style="list-style-type: none"> <li>• policy proposals</li> <li>• supporting reports</li> <li>• research papers</li> <li>• major drafts</li> <li>• minutes of meetings</li> <li>• results of consultations</li> <li>• final policy documents.</li> </ul>	Retain as national archives
19025	Working papers documenting the development of all policies relating to the records intellectual control function. Includes: <ul style="list-style-type: none"> <li>• supporting research papers</li> <li>• copies of documents</li> <li>• uncirculated drafts.</li> </ul>	Destroy 3 years after policy finalised

### Procedures

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

Entry	Description of records	Disposal action
19026	Master set of formal advices, manuals, handbooks and directives detailing procedures supporting the records intellectual control function. Includes arrangement and description formal advices and the CRS manual.	Retain as national archives

# RECORDS INTELLECTUAL CONTROL

## Procedures - Continued

Entry	Description of records	Disposal action
19027	Records documenting the development of procedures supporting the records intellectual control function.	Destroy 5 years after procedure finalised

## Project Management

The process of managing a set of procedures, activities, resources and/or strategies designed to achieve a goal or objective within a specified timeframe. Includes defining project parameters and stages.

Entry	Description of records	Disposal action
19028	Records documenting project management relating to the records intellectual control function.	Destroy 10 years after last action

## Records Survey

The activities associated with investigating records held in the National Archives or agency custody. Includes observing, gathering and reporting information in order to conduct further action. Also includes activities undertaken for collection review purposes.

*For the planning of intellectual control tasks arising from the results of records surveys, use RECORDS INTELLECTUAL CONTROL – Planning.*

Entry	Description of records	Disposal action
19029	Records documenting surveys of records in individual Commonwealth agencies to assess adequacy of records descriptions.	Destroy 25 years after survey 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
19030	Records documenting the development of reports relating to the records intellectual control function.	Destroy 7 years after last action
19343	Records documenting the development of final reports relating to the records intellectual control function.	Destroy 10 years after last action

## 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
19031	Records documenting a review of archival control systems such as Commonwealth Records Series (CRS) system.	Retain as national archives
19032	Records documenting reviews of programs and operations supporting the records intellectual control function.	Destroy 10 years after last action

## Risk Management

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

Entry	Description of records	Disposal action
19033	Records documenting risk management practices relating to the records intellectual control function.	Destroy 7 years after last action

## RECORDS PRESERVATION MANAGEMENT

The function of devising strategies and implementing techniques to preserve the ongoing integrity and useability of records in any format. Includes the application of conservation measures to treat records under threat, or prevent further deterioration. Also includes providing advice on preservation matters, developing strategies and policy to guide the application of preservation processes, undertaking preservation techniques such as copying and conversion, managing preservation processes relating to the loan of archival records, undertaking research and development of new preservation techniques and approaches, surveying records, and setting standards to support preservation processes.

For accidents relating to preservation work or chemicals, use OCCUPATIONAL HEALTH & SAFETY – Accidents and OCCUPATIONAL HEALTH & SAFETY – Claims.

For purchase of preservation equipment such as to store chemicals, or for distribution of archival boxes, use EQUIPMENT & STORES

For management or construction of appropriate facilities relating preservation or chemicals, use PROPERTY MANAGEMENT.

For development of applications, systems and databases relating to preservation, including RecordSearch, use TECHNOLOGY & TELECOMMUNICATIONS.

For training of Archive's staff in records preservation techniques, use STAFF DEVELOPMENT – Training.

For hiring of casual staff, or contract staff, or management of volunteers to carry out preservation activities, use PERSONNEL.

For communicating to external stakeholders about the records preservation management function, use ARCHIVES EXTERNAL COMMUNICATIONS.

For intergovernment committees relating to the records preservation management function (eg DISACT), use GOVERNMENT RELATIONS – Committees.

### Accreditation

The process of certifying a product or service. Includes the receipt of applications for accreditation, the conduct and management of accreditation through assessment and testing against established standards or policy, and the allocation or withdrawal of formal approval.

*For implementing standards set by external bodies such as National Association of Testing Authorities (NATA) for the Archival Quality Trademark accreditation process, use RECORDS PRESERVATION MANAGEMENT – Standards.*

*For developing benchmarks and rules relating to the Archival Quality Trademark accreditation process, use RECORDS PRESERVATION MANAGEMENT – Standards Development.*

Entry	Description of records	Disposal action
19044	Records documenting the Archival Quality Trademark accreditation assessments, including records of retesting.	Destroy 30 years after last action
19045	Register of accredited products.	Destroy 7 years after last entry

### Advice

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

Entry	Description of records	Disposal action
19047	Records documenting preservation advice to withhold access to an archival record or series of records.	Destroy when decision to withhold access is withdrawn
19048	Records documenting advice relating to the records preservation management function.	Destroy 5 years after last action



## RECORDS PRESERVATION MANAGEMENT

### Agreements

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

Entry	Description of records	Disposal action
19049	Records documenting the development and signing of agreements supporting the records preservation management function.	Destroy 7 years after expiry or other termination of the agreement

### 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
19050	Records documenting the planning and conduct of internal and external audits relating to the records preservation management function.	Destroy 10 years after last action

### Authorisation

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

*For provision of advice on withholding access to records for preservation reasons under Section 36(4) of the Archives Act 1983, use RECORDS PRESERVATION MANAGEMENT – Advice.*

Entry	Description of records	Disposal action
19051	Records documenting the delegation of power relating to the records preservation management function.	Destroy 7 years after delegation is superseded, cancelled or no longer applicable
19350	Authorisations for administrative actions relating to the records preservation management function	Destroy 7 years after action completed

### Claims

The process of administering and managing payments demanded in accordance with an insurance policy as compensation for injury, death, or denial of rights of a person, or damage to or destruction of property. Includes disputes over rights and ownership, and recompense sought for stolen or lost property.

Entry	Description of records	Disposal action
19052	Records documenting claims for compensation made to or by the Archives.	Destroy 7 years after last action

## RECORDS PRESERVATION MANAGEMENT

### Committees

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

Entry	Description of records	Disposal action
19053	Records of major committees formed to consider matters relating to the records preservation management function such as Australasian Digital Recordkeeping Initiative (ADRI) committee.  <i>[For changes to agency policies resulting from committee decisions, use RECORDS PRESERVATION MANAGEMENT – Policy.]</i>  <i>[For changes to agency procedures resulting from committee decisions, use RECORDS PRESERVATION MANAGEMENT – Procedures.]</i>	Retain as national archives
19054	Records of minor committees formed to consider matters relating to the records preservation management function.  <i>[For changes to agency policies resulting from committee decisions, use RECORDS PRESERVATION MANAGEMENT – Policy.]</i>  <i>[For changes to agency procedures resulting from committee decisions, use RECORDS PRESERVATION MANAGEMENT – Procedures.]</i>	Destroy 7 years after last action

### Complaints

The process of handling complaints made by stakeholders. Includes the receipt and investigation of the complaint, and response to stakeholders.

Entry	Description of records	Disposal action
19055	Records documenting complaints arising from the archival quality trademark accreditation process.	Destroy 30 years after last action
19056	Records documenting complaints relating to matters other than archival quality trademark.	Destroy 5 years after last action

### Evaluation

The process of determining the suitability of potential or existing programs, items of equipment, systems or services in relation to meeting the needs of the given situation. Includes systems analysis and ongoing monitoring.

*For evaluation of preservation methods, use RECORDS PRESERVATION MANAGEMENT – Research & Development.*

Entry	Description of records	Disposal action
19058	Records documenting the evaluation and continuous monitoring of programs and services relating to the records preservation management function.	Destroy 10 years after last action

## RECORDS PRESERVATION MANAGEMENT

### Insurance

The process of taking out premiums to cover loss or damage to property or premises, and to cover customers and staff against injury or death resulting from incidents on the organisation's premises or whilst engaged during employment.

Entry	Description of records	Disposal action
19059	Records documenting the management of insurance coverage, including insurance policies, annual renewals and management of premiums.	Destroy 7 years after last action

### Liaison

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

*For representation on professional bodies, or at events run by professional bodies, use ARCHIVES EXTERNAL COMMUNICATIONS – Representatives.*

Entry	Description of records	Disposal action
19060	Records documenting liaison activities undertaken with archival institutions in other jurisdictions, professional associations, industry associations, private sector organisations and community groups.	Destroy 3 years after last action

### Loans Assessment

The activity of managing the preservation issues relating to loans of archival records and objects to other institutions (including loans made under Section 64 of the Archives Act 1983), or material Archives has borrowed to support in-house exhibitions. Includes condition assessments, managing ongoing monitoring and any related arrangements to improve conditions or repair damage.

*For any treatment required due to damage or deterioration of item on loan to Archives from another institution, use RECORDS PRESERVATION MANAGEMENT – Treatment Conservation.*

Entry	Description of records	Disposal action
19061	Records documenting the assessment and management of preservation aspects of outgoing and incoming loans of archival records, objects and items selected for display in Archives' exhibitions. Includes loans made under Section 64 of the Archives Act 1983, and material the Archives has borrowed to support in-house exhibitions.	Destroy 5 years after record on loan returned

### Meetings

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

Entry	Description of records	Disposal action
19062	Records documenting meetings and supporting documents tabled at meetings held in relation to the records preservation management function.	Destroy 3 years after last action

## RECORDS PRESERVATION MANAGEMENT

### 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
19063	Records documenting planning activities including long term plans or section work plans related to the records preservation management function.	Destroy 10 years after last action

### 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
19064	Records documenting the development and establishment of policies relating to the records preservation management function. Includes: <ul style="list-style-type: none"> <li>• policy proposals</li> <li>• supporting reports</li> <li>• research papers</li> <li>• major drafts</li> <li>• minutes of meetings</li> <li>• results of consultations</li> <li>• final policy documents.</li> </ul>	Retain as national archives
19065	Working papers documenting the development of all policies relating to the records preservation management function. Includes: <ul style="list-style-type: none"> <li>• supporting research papers</li> <li>• copies of documents</li> <li>• uncirculated drafts.</li> </ul>	Destroy 3 years after policy finalised

### Preservation Copying and Conversion

The activities associated with the copying or conversion of Commonwealth records in the care of the Archives as a preservation technique to ensure their integrity and longevity. Includes preservation-quality copying or conversion for paper, photographic, digital, audio and moving image formats. Also includes the assessment of suitability of records for particular strategies, and the conversion of records from damaged or obsolete media to another format.

Entry	Description of records	Disposal action
19066	Records documenting the management of copying and conversion of records to set specifications.	Destroy 7 year after last action
19067	Preservation copies of records in the care of the Archives.	Destroy when record withdrawn from the care of the Archives

## RECORDS PRESERVATION MANAGEMENT

### Preventive Conservation

The activity of devising and applying preventive conservation techniques and strategies to prevent or decelerate deterioration of, or damage to, records. Includes repackaging or rehousing of records, monitoring the condition of records and their environmental conditions.

*For applying remedial treatment to damaged or deteriorated records, use RECORDS PRESERVATION MANAGEMENT – Treatment Conservation.*

*For preventive conservation that is complex or problematic and requires research, or development of new techniques or approaches, use RECORDS PRESERVATION MANAGEMENT – Research & Development.*

Entry	Description of records	Disposal action
19068	Records documenting preventative conservation applied to records.	Destroy 25 after last action
19069	Records documenting activities undertaken to monitor the condition of records.	Destroy 25 after last action
19070	Records documenting the monitoring of environmental conditions.	Destroy 5 after last action

### Procedures

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

Entry	Description of records	Disposal action
19071	Master set of manuals, handbooks and directives detailing procedures supporting the records preservation management function.	Retain as national archives
19072	Records documenting the development of procedures supporting the records preservation management function.	Destroy 3 year after procedure finalised

### Project Management

The process of managing a set of procedures, activities, resources and/or strategies designed to achieve a goal or objective within a specified timeframe. Includes defining project parameters and stages.

*For provision of a final report covering the outcomes of the work undertaken in the project, use RECORDS PRESERVATION MANAGEMENT – Reporting.*

Entry	Description of records	Disposal action
19073	Records documenting project management activities relating to the records preservation management function.	Destroy 7 years after last action

### Records Survey

The activities associated with investigating records held in the National Archives or agency custody. Includes observing, gathering and reporting information in order to conduct further action. Also includes activities undertaken for collection review purposes.

Entry	Description of records	Disposal action
19074	Records documenting surveys of records to ascertain the need for preservation. Includes the methodology and the investigation of damage and deterioration of records.	Destroy 25 years after records are removed from the care of the National Archives

## RECORDS PRESERVATION MANAGEMENT

### 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
19075	Records documenting the development of reports relating to the records preservation management function.	Destroy 5 years after last action

### Research and Development

The activities involved in undertaking systematic research (basic or applied) and investigative or experimental development for the purposes of acquiring new knowledge and the application of this knowledge to new or improved materials, products, processes, devices or services.

*For application of preservation treatments or preventive techniques discerned as a result of research and development activities, use RECORDS PRESERVATION MANAGEMENT – Treatment Conservation or RECORDS PRESERVATION MANAGEMENT – Preventive Conservation.*

Entry	Description of records	Disposal action
19076	Records documenting the development of preservation and conservation approaches.	Retain as national archives
19077	Working papers documenting the development of all policies relating to the records preservation management function.	Destroy 3 years after action completed

### 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
19078	Records documenting routine reviews of programs and operations supporting the records preservation management function.	Destroy 10 years after last action

### Risk Management

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

Entry	Description of records	Disposal action
19079	Records documenting risk management practices relating to the records preservation management function.	Destroy 7 years after last action

### Standards

The process of implementing industry or organisational benchmarks for services and processes to enhance the quality and efficiency of the organisation.

*For development of Archives' own standards and benchmarks for business processes, where no other standards exist, use RECORDS PRESERVATION MANAGEMENT – Standards Development.*

Entry	Description of records	Disposal action
19080	Records documenting the implementation of industry standards relating to the National Association of Testing Authorities (NATA).	Destroy 30 years after last action

# RECORDS PRESERVATION MANAGEMENT

## Standards - Continued

Entry	Description of records	Disposal action
19081	Records documenting the implementation of standards other than relating to the National Association of Testing Authorities (NATA).	Destroy 7 years after last action

## Standards Development

The activities associated with developing government wide information management standards, including internal standards to support core activities undertaken by Archives. Includes investigating options, consultations with stakeholders and devising guidelines and standards.

*For implementation of industry or organisational benchmarks, use RECORDS PRESERVATION MANAGEMENT – Standards.*

Entry	Description of records	Disposal action
19082	Records documenting the development of standards related to the records preservation management function.	Retain as national archives
19083	Working papers documenting the development of all standards relating to the records preservation management function.	Destroy 3 years after standard finalised

## Training Services

The activities associated with managing and providing training to Commonwealth agencies, other organisations, the public and official researchers for the purpose of developing particular skills. Includes the development of training materials.

*For staff training in preservation aspects, use STAFF DEVELOPMENT – Training.*

Entry	Description of records	Disposal action
19094	Records documenting the development and delivery of training sessions on preservation issues. Includes the development of training content, preparation, and delivery, analysis of feedback and session reports and administrative arrangements.  <i>[For arrangements to draft and publish of training material, use PUBLICATION – Drafting and PUBLICATION – Production.]</i>	Destroy 10 years after last action

## Treatment Conservation

The activities associated with identifying and applying remedial conservation action for designated items in the care of the Archives to ensure their integrity and useability.

*For actions to prevent deterioration or damage to records, use RECORDS PRESERVATION MANAGEMENT – Preventive Conservation.*

Entry	Description of records	Disposal action
19095	Records documenting preservation treatments applied to records due to damage or deterioration.	Destroy when record withdrawn from the care of the Archives
19096	Records documenting small conservation jobs designed to fix ad hoc problems.	Destroy 5 years after last action