



Australian Government

National Archives of Australia

Records Authority
**Department of Parliamentary
Services**

Job no 2008/00533770

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INTRODUCTION

The Department of Parliamentary Services (DPS) and the National Archives of Australia have developed this Records Authority to set out the requirements for keeping or destroying records for the core business area of Information, Analysis and Advisory Services. It represents a significant commitment on behalf of the DPS to understand, create and manage the records of its activities.

This Authority provides coverage for the records of one of the core business areas of the DPS, the agency charged with the task of providing a range of services to the Parliament of Australia. In this case, it is the provision of research and advisory services by the Parliamentary Library.

This Authority is based on the identification and analysis of the business of the DPS. It takes into account the agency's legal and organisational recordkeeping requirements, and the interests of stakeholders of both the DPS and the National Archives.

This Authority gives the DPS 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 temporary records need to be kept. Retention periods for these temporary records are based on: an assessment of business needs; broader organisational accountability requirements; and community expectations, and are approved by the National Archives of Australia on the basis of information provided by the agency.

The DPS may 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), covering business processes and records common to Australian Government agencies; 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 or by contacting the Agency Service Centre.

APPLICATION OF THIS AUTHORITY

1. This Authority should be used in conjunction with the Administrative Functions Disposal Authority (AFDA) issued by the National Archives to cover administrative records common to most Commonwealth agencies.
2. This Authority should be used in conjunction with general disposal authorities issued by the National Archives that cover other types of records that may be created by the Department of Parliamentary Services (DPS) such as encrypted records and source records that have been copied.
3. 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.
4. Where the method of recording information changes (eg 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 core business. The information must be accessible for the period of time prescribed in this Authority. The DPS will need to ensure that any software, hardware or documentation required to enable continuing access to the data is available for the periods prescribed.
5. In general, retention requirements indicate a minimum period for retention. The DPS may extend minimum retention periods if it considers that there is an administrative need to do so, without further reference to the National Archives. Where the DPS believes that its accountability will be substantially compromised because a retention period or periods are not adequate, it should contact the National Archives for review of the retention period.
6. The DPS 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.
7. From time to time the National Archives will place a freeze on the disposal of some groups of records to prevent their destruction. Further information about disposal freezes and whether they affect the application of this Authority is available from the National Archives' website at www.naa.gov.au.
8. Records in the care of the DPS should be appropriately stored and preserved. The DPS 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.
9. 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.
10. Advice on how to use this Authority is available from the DPS 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

Agency Service Centre: <http://www.naa.gov.au/records-management/help/index.aspx>

Website: www.naa.gov.au

AUTHORISATION

RECORDS AUTHORITY

Person to whom notice of authorisation is given:

The Secretary
Department of Parliamentary Services
Parliament House
Canberra ACT 2600

Purpose:

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


Application:

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

Authorising Officer

Date of issue:



19-11-2008.

Ross Gibbs
Director-General
National Archives of Australia

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INFORMATION, ANALYSIS AND ADVISORY SERVICES

The activities associated with providing information, analysis and advisory services to Senators and Members of Parliament and their staff (clients). Clients can request information, research and/or analysis on any topic. Depending on the request, responses range from a link to an internet site or a list of contact details (eg a list of newspapers in an electoral area), to detailed research and analysis providing policy advice or an understanding or analysis of a subject. The confidentiality of the client, and any confidential information provided by the client is protected. However, published or publishable information that is used for one response may also be used for another where another client asks the same or similar question, or may be used to form the basis of a more general brief or publication.

The tasks associated with the information, analysis and advisory services business include:

- receive and provide tailored responses to requests for information, including acknowledgements of requests
- correspondence regarding the status of research and manage/track responses
- research and analyse a subject and provide reports, and/or advice, including an independent perspective on government legislation
- develop and present briefing products and seminars on major issues
- train clients in accessing services, tools and resources
- conduct and evaluate client surveys provided by the agency
- manage complaints and compliments
- support fellowship recipients
- research and develop official historical publications and oral histories commissioned or produced by the agency for significant events or on subjects to enhance the knowledge and understanding of Australia's parliamentary history
- plan and conduct audits
- review programs, products, processes and practices
- develop policy, procedures, working tools and subject files.

For records documenting the tendering and/or contracting-out of tasks, such as commissioning experts to write research papers or contracting another agency to conduct client surveys, use PROCUREMENT - Contracting-out or PROCUREMENT - Tendering.

Entry	Description of records	Disposal action
19546	<p>Records documenting the research and development of official historical publications and oral histories commissioned or produced by the agency for significant events, such as Australia's bicentenary or the centenary of Federation, or on subjects to enhance the knowledge and understanding of Australia's parliamentary history, such as biographical information of Members and Senators. Includes:</p> <ul style="list-style-type: none"> • the selection and commissioning of authors or historians • negotiations and establishment of agreements relating to the research and production of manuscripts or histories • correspondence between agency and author or historian • profiles of writers • background and historical research for publications and oral histories • recordings and transcripts of interviews • legal advice relating to the publications or productions • major drafts of manuscripts circulated for comment • comments and feedback on drafts • final publications or oral histories. 	Retain as national archives

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Entry	Description of records	Disposal action
19547	<p>Records documenting:</p> <ul style="list-style-type: none"> • the management of fellowships, such as the Australian Parliamentary Fellowship, to undertake work and research in the agency and to produce a monograph on a topic of interest to Senators and Members of Parliament. Includes successful proposals, interview reports, notices of decisions, performance reports and contractual agreements between the agency and the Fellow • reviews of programs, products, processes and practices relating to research and analysis services. Includes documents establishing the review, final reports and action plans • master sets of agency procedures, guidelines, policies and procedures supporting the research and analysis services • surveys, focus groups and other evaluation assessments conducted into research and analysis services provided to clients, such as client surveys. Includes evaluation criteria, methodology, copy of instrument, summary of results and final report. 	<p>Destroy 20 years after last action or 20 years after policies and procedures are superseded</p>
19548	<p>Records such as:</p> <ul style="list-style-type: none"> • client files documenting research and analysis reports provided to individual Senators or Members of Parliament. Includes interview notes, client memoranda and final reports • unpublished research and analysis reports providing policy advice, or an understanding or analysis of a subject, such as technical documents on potential impact new legislation or Government policies will have on Australians or industry, and briefings on issues such as immigration, deployment of Australian service personnel overseas and stem cell research. 	<p>Destroy 10 years after last action</p>
19549	<p>Final audit reports relating to information, analysis and advisory services.</p>	<p>Destroy 5 years after action completed</p>

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Entry	Description of records	Disposal action
19550	Records documenting: <ul style="list-style-type: none">• complaints and compliments regarding the information, analysis and advisory services provided to clients. Includes registers and correspondence relating to the complaint or compliment• routine administrative tasks supporting awareness and training visits by agency personnel to electoral offices. Includes programs, schedules and correspondence relating to visit• the planning and conduct of audits to research and analysis services. Includes liaison with auditing body, minutes of meetings, notes taken during consultations, draft reports and comments.	Destroy 3 years after last action
19551	Records documenting routine administrative tasks such as: <ul style="list-style-type: none">• requests for, and provision of, research analysis services. Includes acknowledgement and progress letters and requests for information• arrangements for the delivery of vital issue seminars. Includes programs, promotional material, venue bookings, arrangements for speakers and correspondence relating to the seminars• responses to client requests for research reports which contain short term information, such as links to internet sites, contact lists and bibliographies.	Destroy 1 year after last action
19552	Completed client surveys relating to the information, analysis and advisory services provided to clients such as Senators and Members of Parliament.	Destroy when final survey report is released
19553	Internal working tools, such as databases and subject files, developed to store and retrieve information and used by Parliamentary Library personnel in researching subjects.	Destroy 5 years after last action
