



Australian Government

National Archives of Australia

Records Authority

Australian Trade Commission
(Austrade)

Job no 2009/00714202

March 2010

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INTRODUCTION

The Australian Trade Commission (Austrade) 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 areas of Ally and Partner Management, Client Services, Customer Management, Event and Visit Management, Financial Assistance, International Development Projects, Trade and Economic Analysis. It represents a significant commitment on behalf of Austrade to understand, create and manage the records of its activities.

This Authority is based on the identification and analysis of the business of Austrade. It takes into account the agency's legal and organisational records management requirements, and the interests of stakeholders, the agency and the National Archives of Australia.

This Authority gives Austrade permission under the Archives Act 1983, for the destruction, retention or transfer to the National Archives of Australia 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.

Austrade may use the following tools to dispose of their records:

- this Records Authority covering its agency specific records;
- general records 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 records management 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 records management matters is available from the National Archives' website at www.naa.gov.au or by contacting the Agency Service Centre at recordkeeping@naa.gov.au or (02) 6212 3610.

APPLICATION OF THIS AUTHORITY

1. This Authority replaces all classes of RA 1167 under entries 1 – 2 and entries 4 – 12. All classes of RA 1167 under entry 3 will be replaced by AFDA, Governing Bodies. The superseded records authority classes can no longer be used by Austrade to sentence records after the date of issue of this Authority.

2. This Authority should be used in conjunction with the FOREIGN INVESTMENT ATTRACTION core business of records authority 2007/307997. The FOREIGN INVESTMENT ATTRACTION core business provides for Austrade's responsibilities for the promotion of foreign investment in Australia.

3. 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 Australian Government agencies.

4. 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 Austrade, such as encrypted records and source records that have been copied.

5. This Authority is to be used to sentence records. Sentencing involves the examination of records in order to identify the individual disposal class to which they belong. This process enables sentencers to determine how long records need to be kept. Advice on sentencing is available from the National Archives.

6. 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 core business. The information must be accessible for the period of time prescribed in this Authority. Austrade will need to ensure that any software, hardware or documentation required to enable continuing access to the information is available for the periods prescribed.

7. In general, retention requirements indicate a minimum period for retention. Austrade 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 Austrade 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.

8. Austrade may destroy certain records without formal authorisation as a normal administrative practice. This usually occurs where the records are duplicated, facilitative or for short-term use only. NAP does not replace the arrangements agreed to in records authorities. Advice and guidance on destroying records as a normal administrative practice is available from the National Archives' website at www.naa.gov.au.

9. From time to time the National Archives will place a freeze on 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.

10. Records in the care of Austrade should be appropriately stored and preserved. Austrade 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 are in the open access period (currently after 30 years).

11. Appropriate arrangements should be made with the National Archives when records are to be transferred into custody. The National Archives accepts for transfer only those records designated as national archives.

12. Advice on how to use this Authority is available from Austrade's records manager. If there are problems with the application of the Authority that cannot be resolved, please contact the National Archives.

CONTACT INFORMATION

For assistance with this authority or for advice on other recordkeeping matters, please contact National Archives' Agency Service Centre.

Queen Victoria Terrace
Parkes ACT 2600
PO Box 7425
Canberra Mail Centre ACT 2610

Tel: (02) 6212 3610
Fax: (02) 6212 3989
Email: recordkeeping@naa.gov.au
Website: www.naa.gov.au

AUTHORISATION

RECORDS AUTHORITY

Person to whom notice of authorisation is given:

Chief Executive Officer
Austrade
210 Kent Street
Sydney NSW 2000

Purpose:

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

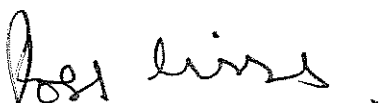
Application:

ALLY AND PARTNER MANAGEMENT
CLIENT SERVICES
CUSTOMER MANAGEMENT
EVENT AND VISIT MANAGEMENT
FINANCIAL ASSISTANCE
INTERNATIONAL DEVELOPMENT PROJECTS
TRADE AND ECONOMIC ANALYSIS

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:



1 March 2010.

Ross Gibbs
Director-General
National Archives of Australia

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ALLY AND PARTNER MANAGEMENT

The core business of establishing relationships, usually through agreements, and working with ally and partner organisations such as professional firms, chambers of commerce and industry associations, as well as federal, state and local government agencies and regional development organisations, to promote exporting of Australian products to overseas markets. Includes commercial relationships established under the Tradestart Scheme.

The tasks associated with ally and partner management include:

- establishing, maintaining, reviewing and negotiating agreements with allies and partners to act as agents for agency and/or to promote exporting
- managing contact, including meetings, between the agency and allies and partners
- auditing the agency's events, processes or business relating to allies and partners
- developing policies and procedures to provide guidance to the agency in its dealings with allies and partners
- all aspects of training provided to allies and partners, including developing training programs and material, and conducting and evaluating training programs
- managing compliments and complaints relating to allies and partners
- monitoring the work performances of allies and partners so that specific goals and objectives are achieved
- developing, implementing and monitoring programs relating to allies and partners
- developing internal periodic and statistical reports.

For client services undertaken on behalf of the agency by service providers, use CLIENT SERVICES.

For the joint management of events with allies and partners, use EVENT AND VISIT MANAGEMENT.

For bilateral and multilateral agreements, including Memorandum of Understanding relating to trade matters use TRADE AND ECONOMIC ANALYSIS

For speeches and presentations promoting the ally and partner programs, use AFDA COMMUNITY RELATIONS – ADDRESSES (presentations)

For financial transactions such as invoicing of service providers, use AFDA FINANCIAL MANAGEMENT.

For tendering for service providers and partners, use AFDA PROCUREMENT – TENDERING.

Entry	Description of records	Disposal action
21035	Records documenting the negotiation, establishment, maintenance and review of agreements relating to ally and partner management. Includes final signed agreements and memoranda of understanding.	Destroy 7 years after expiry or termination of agreement

ALLY AND PARTNER MANAGEMENT

Entry	Description of records	Disposal action
21036	<p>Records documenting:</p> <ul style="list-style-type: none"> • the planning and conduct of audits relating to ally and partner management. Includes minutes of meetings, surveys, interview and observation notes, schedules, draft reports, comments and final audit reports; • the development, establishment, promotion, management, monitoring and termination of programs relating to ally and partner management. Includes evaluation of program pilots, master copies of program promotional material, participants' contact details, program progress reports and program evaluation reports; and • the work performance of allies and partners. Includes ally or partner work performance goals and objectives, work performance reviews to determine if allies or partners are achieving their objectives, quarterly performance reports, performance summaries and payment schedules. • international travel requests and approvals for service providers. • financial plans submitted by service providers. 	Destroy 7 years after last action
21037	<p>Records documenting:</p> <ul style="list-style-type: none"> • the management of contact with allies and partners. Includes contact details, notes of meetings and contacts and correspondence with allies and partners; and • final versions of formal reports concerning issues relating to allies and partners such as those submitted to external stakeholders. 	Destroy 5 years after last action
21038	<p>Records documenting:</p> <ul style="list-style-type: none"> • administrative tasks associated with the conduct of training programs. Includes venue and equipment bookings, catering arrangements, invitation lists and attendance records; • the evaluation of training courses presented to allies and partners, such as training in export development. Includes evaluation forms and summaries; • the receipt and response to complaints and compliments relating to ally and partner management. Includes compliments, complaints and responses; and • final versions of periodic and statistical reports relating to allies and partners. Excludes formal reports to external stakeholders and performance reports. 	Destroy 2 years after last action
21039	<p>Final approved versions of policies and procedures relating to ally and partner management. Includes branding and signage guidelines.</p>	Destroy 2 years after policy or procedure is superseded

ALLY AND PARTNER MANAGEMENT

Entry	Description of records	Disposal action
21040	Master set of training and awareness material developed for allies and partners. Includes programs, handouts, training manuals and lecture notes.	Destroy 2 years after material is superseded
21041	Support records documenting the development of training and awareness material, policies, procedures and reports relating to ally and partner management. Includes background information, comments, drafts and file notes. Excludes final and master versions of the documents.	Destroy 1 month after last action

CLIENT SERVICES

The core business of assisting potential, new and established Australian exporters (clients) to achieve export sales and Australian investors and clients to achieve investment success. . The tasks associated with client services include:

- sourcing, contacting and recruiting new clients
- managing client accounts
- negotiating, establishing and maintaining formal service agreements with clients, and joint ventures with external industry groups
- managing internal and external committees relating to client services, such as industry committees
- establishing and maintaining contact between the agency and other organisations and agencies, such as regional and industry groups and professional allies such as freighters, finance specialist, lawyers and accountants
- managing appeals against rejection of program applications, to higher authorities such as tribunals or courts
- conducting audits of operational records and activities
- assessing applications for tax exemptions from Australian companies bidding for overseas work
- answering enquiries about services available to clients
- managing complaints and compliments relating to client services
- providing and receiving advice relating to client services
- providing coaching and mentoring to new and irregular exporters
- developing and establishing policies and procedures to provide guidance to the agency in regards to client services
- reviewing operations, procedures and policies
- developing, implementing and monitoring programs to assist Australian businesses to achieve set objectives
- conducting research and evaluations to gauge agency performance and determine client expectations relating to client services
- reporting on the activities associated with client services, including statistical and periodic reports
- developing programs to assist Australian businesses access international markets and
- providing general and tailored services, including training, to assist clients achieve successful export outcomes.

For the management and participation of clients in events and visits, use EVENT AND VISIT MANAGEMENT

For financial assistance programs to assist clients, use FINANCIAL ASSISTANCE.

For bilateral and multilateral agreements, including Memorandum of Understanding relating to trade matters, use TRADE AND ECONOMIC ANALYSIS

For the procurement of services associated with client service activities, use AFDA PROCUREMENT.

For the billing of clients for the provision of services, use AFDA FINANCIAL MANAGEMENT – ACCOUNTING.

For corporate performance measures, use AFDA STRATEGIC MANAGEMENT – PERFORMANCE MANAGEMENT

CLIENT SERVICES

Entry	Description of records	Disposal action
21042	<ul style="list-style-type: none"> • Records documenting the development, establishment, promotion, management, monitoring and termination of significant programs relating to client services that have had far reaching public interest, are considered the first of their kind, or represent notable policy changes for the organisation. Such programs could include the Women in Export Program, Celebrate Australia (Utsav) and strategies and schemes to assist Australian indigenous artists. Includes evaluation of program pilots, master copies of program promotional material, participants' contact details, program progress reports and program evaluation reports; • legacy records related to client services that are not part of a specific program but have had far reaching public interest, are considered the first of their kind, represent notable policy changes for the organisation, or have been identified as having substantial historical or other research interest; • legacy 1960s -1980s historical photographs and negatives representative of the Australian way of life and Australian themes including sport, industry, cities, transport, the outback, rural activities, urban life and of famous or historically important Australian and international personalities used by predecessor agencies in ways relating to client services. 	Retain as national archives
21043	<p>Records documenting:</p> <ul style="list-style-type: none"> • the approval of Australian taxation exemption applications received from Australian companies bidding for work overseas. Includes applications, eligibility checks, determinations, endorsed criteria assessment checklists, correspondence relating to the application and notifications of approval; and • research carried out to support client services, such as client service/expectation surveys. Includes surveys, interviews, major drafts, comments and final reports. 	Destroy 10 years after last action

CLIENT SERVICES

Entry	Description of records	Disposal action
21044	<ul style="list-style-type: none">Records documenting the development, establishment, promotion, management, monitoring and termination of routine programs relating to client services, such as those for particular industries (information technology, biotechnology, fashion, automotive industry, etc). Includes evaluation of program pilots, master copies of program promotional material, participants' contact details, program progress reports and program evaluation reports;legacy records related to client services that were not part of a specific program. Excludes legacy records covered by 21042;legacy photographs and negatives used by predecessor agencies in ways relating to client services, including through regional organisations and programs. Excludes legacy photographs and negatives covered by 21042.	Destroy 7 years after program is finalised
21045	Records documenting the negotiation, establishment, maintenance and review of agreements, memoranda of understanding and joint ventures relating to client services. Includes final signed agreements and supporting documents.	Destroy 7 years after expiry or other termination of agreement

CLIENT SERVICES

Entry	Description of records	Disposal action
21046	<p data-bbox="341 315 612 349">Records documenting:</p> <ul data-bbox="389 360 1082 1433" style="list-style-type: none"><li data-bbox="389 360 1082 427">• the receipt and provision of advice relating to client services. Includes requests and responses;<li data-bbox="389 439 1082 562">• the review of operations, processes, or procedures relating to client services. Includes documents establishing the review, final review reports and action plans;<li data-bbox="389 573 1082 752">• reviews and appeals relating to the rejection of applications made by Australian businesses for acceptance into programs to assist export clients. Includes appeal notification, supporting documents, briefings, correspondence relating to appeals and determinations;<li data-bbox="389 763 1082 1133">• the provision of free and fee-paying services to clients. Includes client and product details, internal service requests (ISR), client information on current situation and needs, quotations for services, proposals, client acceptance or rejection of proposals, client approvals, client advice/coaching, call plan reports, correspondence with client, telephone and meeting notes, client needs assessment and service plans, program eligibility assessments, market selection advice report, debriefing reports, work requests, client marketing material and export impacts, appointments, and feedback;<li data-bbox="389 1144 1082 1234">• summaries of tax exemptions for approved overseas projects forwarded to Australian Taxation Office or subsequent agency; and<li data-bbox="389 1245 1082 1433">• records documenting the rejection of applications for Australian taxation exemption for overseas projects. Includes applications, eligibility checks, determinations, criteria assessment checklists, correspondence relating to application and notifications of rejection.	Destroy 7 years after last action

CLIENT SERVICES

Entry	Description of records	Disposal action
21047	<p>Records documenting:</p> <ul style="list-style-type: none"> • the establishment and conduct of internal and external committees relating to client services, such as industry committees. Includes records establishing committee, minutes, reports, recommendations and supporting documents such as discussion and briefing papers; • the planning and conduct of audits relating to client services. Includes minutes of meetings, surveys, interview and observation notes, schedules, draft reports, comments and final audit reports; • the development and testing of new services for exporting clients. Includes consultations with stakeholders to determine service requirements, business cases, service descriptions and objectives, pilot study reports, feedback and comments and authorisations; and • final versions of formal reports concerning issues relating to client services. 	Destroy 5 years after last action
21048	Records documenting the receipt and response to complaints and compliments relating to client services. Includes compliments, complaints and responses.	Destroy 3 years after last action
21049	Master set of training material developed for potential and established clients. Includes programs, handouts, training manuals and lecture notes.	Destroy 2 years after training material is superseded
21050	<p>Records documenting:</p> <ul style="list-style-type: none"> • the evaluation of training courses provided to export clients. Includes evaluation forms and reports; • formal consultations, meetings and discussions with other agencies, organisations or groups associated with client services, such as freight companies, trade finance specialists, industry associations etc. to collect export information. Includes consultation or meeting arrangements, agendas and notes on consultations, meetings and discussions; • the sourcing, contacting and recruiting of Australian businesses to become export clients. Includes call lists, contact lists, appointments, meeting notes and capability to export assessments; • the management of enquiries relating to client services. Includes enquiry requests and responses; and • final versions of informal periodic and statistical reports relating to client services. 	Destroy 2 years after last action

CLIENT SERVICES

Entry	Description of records	Disposal action
21051	<p>Records documenting operational and internal policies and procedures relating to the Client Services core business, including:</p> <ul style="list-style-type: none"> • major policy drafts, comments and final policy documents; and • final approved versions of procedures relating to client services. <p><i>[For high-level program strategies/policies, see class 21042]</i></p>	Destroy 2 years after policies and procedures are superseded
21052	<p>Records documenting:</p> <ul style="list-style-type: none"> • the development of reviews of agency operations, processes or procedures relating to client services. Includes drafts, background information, surveys and comments; and • the development of training material and administrative tasks associated with the conduct of training programs for export clients. Includes background information, comments, drafts, file notes, venue bookings, catering arrangements, promotional material, invitation lists and attendance records. 	Destroy 1 year after last action
21053	<p>Records documenting:</p> <ul style="list-style-type: none"> • the administration tasks associated with committees relating to client services, such as industry committees. Includes agendas, notices of meetings, draft minutes, venue bookings and catering arrangements; and • the development of policies, procedures and reports relating to client services. Includes background information, comments, minor drafts and file notes. 	Destroy 3 months after last action
21054	Master lists of contacts relating to client services.	Destroy when list is superseded

CUSTOMER MANAGEMENT

The core business of identifying and working with overseas companies (customers) wishing to purchase Australian products and services, to achieve international business outcomes for Australian businesses.

The tasks associated with customer management include:

- conducting audits of operations, processes or business relating to customer management
- identifying, acquiring, and maintaining contact with customers as potential purchasers of Australian products and services
- managing overseas visits and appointments by agency representatives and clients to customers
- managing visits and appointments for customers visiting Australia
- development and establishing procedures to provide guidance to the agency in regards to customer management
- reporting on the activities associated with customer management, including statistical and periodic reports
- reviewing operations, processes and procedures relating to customer management
- handling complaints and compliments received from customers.

For managing relationships with the agency's allies and partners, use ALLY AND PARTNER MANAGEMENT.

For the provision of client exporter services, use CLIENT SERVICES.

For the management of events attended or sponsored by customers, use EVENT AND VISIT MANAGEMENT.

For bilateral and multilateral agreements, including Memorandum of Understanding relating to trade matters, use TRADE AND ECONOMIC ANALYSIS

Entry	Description of records	Disposal action
21055	Records documenting: <ul style="list-style-type: none"> • arrangements for customers to visit Australia and meet Australian businesses interested in exporting products and services. Includes proposals, requests for assistance, appointment schedules, travel requests, arrangements for visits, transport and accommodation bookings, itineraries, notes on visits and debriefing reports; and • reviews of operations, processes, or procedures relating to customer management. Includes documents establishing the review, final review report, action plan, drafts, research information and comments/feedback; and • customer complaints and compliments. 	Destroy 7 years after last action
21056	Records documenting: <ul style="list-style-type: none"> • the planning and conduct of audits relating to customer management. Includes minutes of meetings, surveys, interview and observation notes, schedules, draft reports, comments and final audit reports; and • final versions of formal reports concerning issues relating to customer management. 	Destroy 5 years after last action

CUSTOMER MANAGEMENT

Entry	Description of records	Disposal action
21057	Final versions of plans relating to customer management, such as customer engagement plans.	Destroy 3 years after plan is superseded
21058	Records documenting: <ul style="list-style-type: none">• the management of customer case files. Includes contact lists, customer details, company profile, financial reports, appointments, notes on meetings and telephone conversations, correspondence with customer and customer database or register; and• arrangements for customers to meet with visiting Australian export clients. Includes requests for appointments, meeting notes and client information.	Destroy 3 years after last action
21102	Final versions of informal periodic and statistical reports relating to customer management.	Destroy 2 years after last action
21143	Final approved versions of internal procedures relating to customer management.	Destroy 2 years after procedures are superseded
21144	Records documenting the activities associated with recruiting potential customers for Australian exports. Records include call lists and contact lists, appointments and invitations, meeting notes, correspondence with prospective customers and customer information.	Destroy 1 year after last action
21145	Records documenting the development of procedures, reports and plans relating to customer management. Includes background information, comments, drafts and file notes.	Destroy 1 month after last action

EVENT AND VISIT MANAGEMENT

The core business of co-ordinating or participating in international events, which provide a way for clients to promote their products and services internationally, and domestic events, which provide Australian companies with current information about international markets and also potentially involve visiting international buyers.

The tasks associated with event and visit management include:

- providing and receiving advice relating to the management of events and visits
- negotiating, establishing and maintaining agreements, including memoranda of understanding, relating to event and visit management, such as agreements with states and territories to participate in export awards
- conducting audits of operational records and activities
- planning and managing the Australian export awards process and ceremony
- managing complaints and compliments relating to event and visit management
- planning, marketing and managing domestic and off-shore events and visits, including exhibitions and missions
- developing and establishing policies and procedures to provide guidance to the agency in regards to event and visit management
- developing, implementing and monitoring programs designed to assist Australian businesses to access and secure international markets and services, such as Business Club Australia Program
- reporting on activities associated with event and visit management, and
- securing or providing sponsorship for events and evaluating and reporting on the arrangements.

For participation of Australian businesses in events that are part of a tailored package of services, use CLIENT SERVICES.

For bilateral and multilateral agreements, including Memorandum of Understanding relating to trade matters use TRADE AND ECONOMIC ANALYSIS.

For media releases about the awards program, use AFDA COMMUNITY RELATIONS – MEDIA RELATIONS.

For the procurement of goods and services associated with the management of events and visits, use AFDA PROCUREMENT.

For the development and publication of brochures, pamphlets, posters etc. promoting event and visit management, use AFDA PUBLICATION – DRAFTING and AFDA PUBLICATION – PRODUCTION.

EVENT AND VISIT MANAGEMENT

Entry	Description of records	Disposal action
21060	<ul style="list-style-type: none">• Records documenting the finalists and winners of the yearly Australian Export Awards. Includes unpublished stories regarding finalists, records of evaluation committees and lists of winners;• master copies of programs, invitations, guest lists, photographs and audiovisuals relating to the yearly Australian Export Awards presentation ceremony;• legacy records documenting events and visit management that have had far reaching public interest, are considered the first of their kind, represent notable policy changes for the organisation, or have been identified as having substantial historical or other research interest.	Retain as national archives
21062	Records documenting the negotiation, establishment, maintenance and review of agreements relating to event and visit management. Includes final signed sponsorship agreements, branding agreements, client participation contracts and memorandum of understanding.	Destroy 7 years after expiry or other termination of agreement or arrangement.

EVENT AND VISIT MANAGEMENT

Entry	Description of records	Disposal action
21063	<p data-bbox="341 304 612 338">Records documenting:</p> <ul data-bbox="389 349 1082 1962" style="list-style-type: none"><li data-bbox="389 349 1082 775">• the planning and marketing of domestic and international events hosted by the agency, such as seminars, workshops, briefing sessions and exhibitions. Includes requests or suggestions for events, costing and booking of venues and catering services, proposals, budgets, calendar of events, program plans, design, space layouts and floor plans, registration forms, attendance sheets, arrangements for guest speakers, presentations, event briefs, marketing and campaign plans, advertising, programs, correspondence with stakeholders, complaints and compliments, consultation and meeting notes, photographs, logistical/freight arrangements and schedules;<li data-bbox="389 786 1082 1189">• the agency facilitating the attendance of potential or current export clients at events hosted by external agencies or organisations, such as international trade exhibitions. Includes marketing plans, advertising, applications to participate, confirmations of participation, registration forms, expressions of interest, correspondence with stakeholders regarding logistical details, accommodation bookings, space bookings, transportation documentation, delivery and customs records for product samples, lists of local contacts, invitation lists, market briefings, event brochures, space layouts, appointment bookings and arrangements for visits;<li data-bbox="389 1200 1082 1379">• the agency facilitating visits to Australia by customers to investigate business opportunities with Australian exporters. Includes requests for appointments, travel details, consultations with Australian businesses, appointment programs, information packs prepared for customers, and evaluation reports;<li data-bbox="389 1391 1082 1671">• the agency facilitating overseas and domestic export missions. Includes notifications of missions, draft mission plans and visit programs, registers of interest, consultations with stakeholders (e.g. overseas posts), participant details, biographies of mission participants, appointment schedules, marketing plans, advertising, photographs, arrangements for site visits (e.g. to factories, steel mills), bookings, itineraries and final visit programs and mission plans; and<li data-bbox="389 1682 1082 1962">• the development, establishment, promotion, management, monitoring and termination of programs relating to events and visits such as Business Club Australia Programs to coincide with international events such as the Olympic Games and Rugby World Cup. Includes evaluation of program pilots, master copies of program promotional material, participants' contact details, program progress reports and program evaluation reports.	Destroy 7 years after last action

EVENT AND VISIT MANAGEMENT

Entry	Description of records	Disposal action
21064	Records documenting: <ul style="list-style-type: none">• the planning and conduct of audits relating to event and visit management. Includes minutes of meetings, surveys, interview and observation notes, schedules, draft reports, comments and final audit reports; and• final versions of formal reports concerning issues relating to event and visit management. Includes summary report of events.	Destroy 5 years after last action
21065	Final approved versions of internal policies and procedures relating to event and visit management.	Destroy 3 years after policy superseded
21066	Records documenting: <ul style="list-style-type: none">• the development of reports, policies and procedures relating to event and visit management. Includes background information, comments, drafts and file notes;• the receipt and provision of advice relating to event and visit management. Includes requests and responses;• unsuccessful requests to external organisations to sponsor events. Includes requests and correspondence with organisation;• the planning of events that do not proceed. Includes costing of venues and catering services, draft funding proposals, draft program plans and draft design plans distributed for comment, comments on drafts, correspondence regarding event and notification of decision not to proceed; and• final versions of informal periodic and statistical reports relating to event and visit management.	Destroy 2 years after last action

FINANCIAL ASSISTANCE

The core business of developing and managing financial assistance programs and schemes to assist Australian companies seeking to establish or expand overseas markets for Australian products.

The tasks associated with financial assistance include:

- establishing, maintaining, reviewing and negotiating agreements, including memorandum of understanding, with other agencies to provide services or information relating to financial services, such as Australian Customs Service who provides the agency with travel details of financial assistance applicants
- managing contact and consultations between the agency and stakeholders such as applicants, police agencies, grant consultants and allies
- providing and receiving advice and guidance relating to financial assistance
- receiving and assessing applications for financial assistance from Australian businesses
- managing appeals to higher authorities, such as tribunals and courts, against the rejection of financial assistance applications
- planning and conducting audits of the operations, processes and procedures relating to financial assistance
- developing policies and procedures to provide guidance to the agency in regards to financial assistance
- developing, conducting and evaluating training provided to external stakeholders and relating to financial assistance
- managing complaints and compliments relating to financial assistance
- investigating suspected fraudulent claims for financial assistance and taking further legal action if required
- developing formal, periodic and statistical reports relating to financial assistance
- conducting and reporting on research relating to financial assistance, such as surveys of financial assistance recipients
- reviewing operations, processes and procedures relating to financial assistance
- developing, establishing, managing and monitoring financial assistance programs and schemes
- managing internal and external committees relating to financial assistance.

For the promotion of financial assistance schemes through speeches or marketing campaigns, use AFDA COMMUNITY RELATIONS – ADDRESSES (presentations) or AFDA COMMUNITY RELATIONS – MARKETING.

For managing financial transactions, use AFDA FINANCIAL MANAGEMENT – ACCOUNTING and/or AFDA FINANCIAL MANAGEMENT – PAYMENTS.

For the management of the electronic system database used to record application and assessment details, use AFDA TECHNOLOGY & TELECOMMUNICATIONS.

For the procurement of services, use AFDA PROCUREMENT.

For training of agency personnel in the assessment of applications and fraud awareness, use AFDA STAFF DEVELOPMENT – TRAINING.

For the development and publication of brochures, pamphlets, posters etc. promoting the financial assistance schemes, use AFDA PUBLICATION – DRAFTING and AFDA PUBLICATION – PRODUCTION.

FINANCIAL ASSISTANCE

Entry	Description of records	Disposal action
21069	<ul style="list-style-type: none"> • Records documenting the development, establishment, promotion, management, monitoring and termination of financial assistance programs such as Export Market Development Grants Scheme. Includes evaluation of program pilots, master copies of program promotional material, program progress reports and program evaluation reports; • summary records facilitating the management and reporting of financial assistance. Includes participant contact details. 	Retain as national archives
21071	Records documenting research carried out to support financial assistance. Includes surveys, interviews, major drafts, comments and final reports.	Destroy 15 years after last action
21072	Evidence books used to record evidence collected during searches and investigations into alleged cases of fraud.	Destroy 10 years after last entry
21073	Records documenting the conduct of alleged fraud investigations associated with financial assistance, resulting in court action. Includes fraud case files which could include investigation reports, copies of warrants, allegations, internal referrals for investigation, witness statements, briefs and copies of documents used during investigation, such as deeds and passports.	Destroy 10 years after case is finalised
21074	Master set of records documenting operational and internal policies and procedures relating to financial assistance.	Destroy 7 years after policies or procedures are superseded
	<i>[For high-level program strategies/policies, see class 21069]</i>	

FINANCIAL ASSISTANCE

Entry	Description of records	Disposal action
21077	<p>Records documenting:</p> <ul style="list-style-type: none"> • final versions of formal reports relating to financial assistance; • the establishment and conduct of internal and external committees relating to financial assistance. Includes records establishing committees, minutes, reports, recommendations and supporting documents such as discussion and briefing papers; • the receipt and provision of advice relating to financial assistance. Includes requests and responses; • formal consultations and discussions with other agencies, organisations, or groups and relating to financial assistance. Includes meeting arrangements, appointments, agendas and notes on consultations; • the review and audit of operations, processes or procedures relating to financial assistance. Includes documents establishing the review, drafts, final reports, action plans and feedback; • the conduct of alleged fraud investigations relating to financial assistance that do not result in court action. Includes fraud case files which could include investigation reports, copies of warrants, allegations, internal referrals for investigation, witness statements, briefs and working copies of documents used during investigation, such as deeds and passports. 	Destroy 7 years after last action
21078	<p>Case files documenting the receipt and determination of Special Approval applications for approved joint ventures. Does not include applications for approved bodies and approved trading houses. Includes application, supporting documents, correspondence relating to approval process, reviews of decisions, recommendations and determinations.</p>	Destroy 7 years after joint venture has utilised its full grant entitlement or 20 years after last action, whichever is the later

FINANCIAL ASSISTANCE

Entry	Description of records	Disposal action
21079	<p>Case files:</p> <ul style="list-style-type: none"> • documenting the receipt and management of applications for financial assistance, including those that are approved, rejected or discontinued. Includes applications, applicants' financial records, company checks, product brochures, business overviews, risk profile reports, internet searches, audit notes, correspondence relating to application, copies of invoices and notices of determination; • documenting the receipt and determination of Special Approval applications for approved bodies and approved trading houses. Does not include applications for approved joint ventures. Includes application, supporting documents, correspondence relating to approval process, recommendations and determinations; • reviews of decisions, including appeals made to higher authorities such as tribunals or courts, and relating to financial assistance. Includes appeal notification, supporting documents, briefings, correspondence relating to appeals and determinations. 	Destroy 7 years after termination or finalisation of financial assistance scheme
21080	Records documenting the negotiation, establishment, maintenance and review of agreements relating to financial assistance. Includes final signed agreements and memorandums of understanding.	Destroy 7 years after expiry or other termination of agreement
21081	Records documenting the receipt and response to complaints and compliments relating to financial assistance. Includes compliments, complaints and responses.	Destroy 3 years after last action
21082	Master set of training and coaching material developed for financial assistance applicants and potential applicants. Includes programs, handouts, training manuals and lecture notes.	Destroy 2 years after material is superseded

FINANCIAL ASSISTANCE

Entry	Description of records	Disposal action
21083	Records documenting: <ul style="list-style-type: none">• the administration and conduct of training and coaching programs for financial assistance applicants. Includes venue and equipment bookings, catering arrangements, promotional material, invitation lists and attendance records;• final versions of periodic and statistical reports relating to financial assistance. Excludes formal reports to senior management or external stakeholders;• the development of policies and procedures relating to financial assistance. Includes drafts, background information and comments;• the review and development of training material relating to financial assistance. Includes background information, major drafts, surveys and comments; and• the evaluation of training courses presented to financial assistance applicants. Includes evaluation forms.	Destroy 2 years after last action
21171	Records documenting: <ul style="list-style-type: none">• the development of formal, periodic and statistical reports relating to financial assistance. Includes background information, comments, drafts and file notes; and• administrative tasks associated with internal and external committees relating to financial assistance. Includes agendas, notices of meetings, draft minutes, venue bookings and catering arrangements.	Destroy 1 year after last action
21175	Master lists of contacts relating to financial assistance. Includes lists of grants consultants.	Destroy when list is superseded

INTERNATIONAL DEVELOPMENT PROJECTS

The core business of assisting Australian private organisations to compete for contracts with overseas development projects so as to encourage the export of Australian goods and services. All extant records at the time of issue of this Records Authority were created by the Australian Overseas Projects Corporation, abolished in 1986. It includes:

- identifying overseas development project opportunities for Australian organisations
- providing information and advice to stakeholders
- assisting in negotiations with overseas entities
- facilitating stakeholder meetings and liaison
- developing policies and procedures in relation to the agency's involvement in overseas development projects
- entering into arrangement to jointly carry out the overseas development project

For post 1986 overseas project involvement use CLIENT SERVICES

Entry	Description of records	Disposal action
21086	<ul style="list-style-type: none"> • Final copies of contracts with Australian organisations and overseas clients to carry out whole or part of an overseas development project where a consortium has been formed between the agency and the Australian organisation; • final copies of policies and procedures relating to international development projects. • case files on major international development projects such as Hong Kong Port and Airport Development Strategy, where the agency has had significant involvement in the pursuit of opportunities for Australian exporters. 	Retain as national archives
21089	<p>Records documenting:</p> <ul style="list-style-type: none"> • information provided to Australian private organisations on international development projects; • advice provided to relevant authorities relating to taxation relief schemes for Australian organisations participating in international development projects; • facilitation of stakeholder meetings and liaison. 	Destroy 10 years after last action completed
21090	Case files containing expressions of interest or proposals by Australian private organisations for international development projects where the agency did not have significant involvement. Includes background papers.	Destroy 5 years after action completed

TRADE AND ECONOMIC ANALYSIS

The core business of monitoring, analysing and advising on current and future domestic and international trends, markets, opportunities, issues and conditions relating to trade and the economy. Includes preparing country and industry profiles and establishing and managing industry networks.

The tasks associated with trade and economic analysis include:

- analysing and reporting on international trade and economic opportunities
- researching and reporting on trade and economic issues and trends
- facilitating stakeholder meetings and liaison
- contributing to the negotiations and establishment of bilateral or multilateral trade agreements
- developing industry and country economic profiles
- presentations on international trade and economic issues presented at public events
- receiving and providing advice to government and industry on trade and economic trends and issues
- participation on committees relating to trade and economy

For the publication and distribution of information to inform business and industry communities on trade issues, use AFDA PUBLICATION.

For the procurement of research service providers, use AFDA PROCUREMENT.

For the management of visits by foreign trade delegations, use EVENT AND VISIT MANAGEMENT.

TRADE AND ECONOMIC ANALYSIS

Entry	Description of records	Disposal action
21091	<p>Significant records documenting the Trade and Economic Analysis core business. Includes:</p> <ul style="list-style-type: none">• the negotiation and establishment of bilateral and multilateral trade agreements, where the agency plays a major role in the process;• research, including commissioned research that impacts on government or corporate policy or creates intense interest. Includes geographic and industry analyses, reports and profiles that are not undertaken for a specific client;• final versions of addresses relating to trade and economic issues and trends such as those made by the Chief Economist at major and international events, such as Asia-Pacific Economic Cooperation (APEC) forums;• advice and discussions on trade and economic trends and issues that have far reaching social, economic and international implications;• the management of committees where the agency is the Commonwealth's main representative or plays a significant role. Includes records establishing committee, minutes, reports, recommendations and supporting documents tabled at meetings such as discussion and briefing papers;• reports relating to trade and economic trends and issues that are controversial, create intense media interest or have major impact on policy.	Retain as national archives
21092	<p>Records documenting the negotiation and establishment of bilateral and multilateral trade agreements, where the agency does not play a major role in the process. Includes consultations, draft agreements and comments.</p>	Destroy 10 years after last action

TRADE AND ECONOMIC ANALYSIS

Entry	Description of records	Disposal action
21093	<p>Records documenting:</p> <ul style="list-style-type: none">• the development of all reports relating to trade and economic analysis. Includes background information, comments, drafts and file notes;• routine research and analysis relating to trade and economic analysis that does not contribute to government or corporate trade policy and does not create intense media interest. Includes geographic and industry analyses, reports and profiles that are not undertaken for a specific client, literature searches, interviews, major drafts and comments;• final versions of addresses relating to trade and economic issues and trends made by the Chief Economist at minor public events;• the receipt and provision of routine advice on trade and economic trends and issues that do not have far reaching impact on the social, economic and international standing of the country. Includes requests and responses; and• final versions of reports relating to trade and economic trends and issues that are not controversial, do not create intense media interest and do not have major impact on policy.	Destroy 5 years after last action
21094	Records documenting the management of committees relating to trade and economic analysis where the agency is not the Commonwealth's main representative and plays only a minor role. Includes records establishing committee, copies of minutes, reports, recommendations and supporting documents tabled at meetings.	Destroy 2 years after last action
21095	Records documenting administrative tasks associated with committees relating to trade and economic analysis. Includes agenda, notices of meetings, draft minutes, venue bookings and catering arrangements.	Destroy 3 months after last action