



**Australian Government**  

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**National Archives of Australia**

**Records Authority**

2010/00503205

**ComSuper**

*Superannuation Administration*

23 November 2010

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## INTRODUCTION

ComSuper 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 Superannuation Administration. It represents a significant commitment on behalf of ComSuper to understand, create and manage the records of its activities.

This Authority is based on the identification and analysis of the business of ComSuper. 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 ComSuper 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.

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.

## APPLICATION OF THIS AUTHORITY

1. This Authority replaces Records Authority RDA 1250 (1996). The superseded RA may no longer be used by ComSuper to sentence records after the date of issue of this Authority.
2. This Authority is to be used to sentence records. Sentencing involves the examination of records in order to identify the individual disposal class to which they belong. This process enables sentencers to determine how long records need to be kept. Advice on sentencing is available from the National Archives.
3. This Authority should be used in conjunction with general records authorities such as:
  - the Administrative Functions Disposal Authority (AFDA) ) and/or AFDA Express issued by the National Archives to cover business processes and records common to Australian Government agencies;
  - encrypted records;
  - source records that have been copied
4. The Normal Administrative Practice (NAP) provision of the Archives Act gives agencies permission to destroy certain records without formal authorisation. This usually occurs where records are duplicated, facilitative or for short-term use only. NAP does not replace arrangements agreed to in this Authority but can be used as a tool to assist in identifying records for destruction together with an agency's Record Authority or Authorities, and with AFDA and AFDA Express. The National Archives recommends that agencies develop and implement a Normal Administrative Practice policy to assist in planning and implementing activities to determine whether records should be kept or destroyed. Advice and guidance on destroying records as a normal administrative practice and on how to develop an agency NAP policy is available from the National Archives' website at [www.naa.gov.au](http://www.naa.gov.au)
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 core business. The information must be accessible for the period of time prescribed in this Authority. ComSuper will need to ensure that any software, hardware or documentation required to enable continuing access to the information is available for the periods prescribed.

6. In general, retention requirements indicate a minimum period for retention. ComSuper 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 ComSuper 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.

7. From time to time the National Archives will place a freeze on some groups of records relating to a particular topic or event which has gained prominence or provokes controversy. While the freeze is in place no records relating to the topic or event may be destroyed. 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](http://www.naa.gov.au)

8. Records in the care of agencies should be appropriately stored, managed and preserved. Agencies need 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 currently after twenty years, including those records that remain in agency custody after this time.

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 ComSuper 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 2010/00503205

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

Peter Cormack  
Commissioner for Superannuation  
Cameron Offices  
Chandler St  
Belconnen, ACT.

**Purpose:**

Authorises arrangements for the disposal of records in accordance with section 24(2)(b) of the Archives Act 1983

**Application:**

All core business records relating to Superannuation Administration

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:**



23 November 2010

Ross Gibbs  
Director-General  
National Archives of Australia

## SUPERANNUATION ADMINISTRATION

The core business of providing access to Australian Government superannuation benefits and information through developing members' understanding of the schemes, processing contributions, supporting investment processes, paying benefits and managing member details, for Australian Government civilian and military superannuation schemes, on behalf of trustees. Includes:

- managing the superannuation accounts of members and pensioners (case records), including managing member personal details, receipting and crediting member contributions, calculating and paying benefits, handling complaints, queries, claims, disputes and appeals, provision of and communicating with members about their superannuation accounts;
- providing advice, data, reports, determinations, input into the development of legislation and superannuation schemes, and financial information to stakeholders, including the Minister, lead agency, actuaries and regulatory bodies such as the Australian Prudential Regulation Authority and the Australian Taxation Office;
- managing superannuation activities which have a financial impact across scheme members, such as data amendment logs as a result of global system changes;
- carrying out investigations into fraudulent activities;
- managing relations with employers of scheme members, including recording and updating details of employers, communicating and exchanging information and advice with respect to employee salary rates and periods of leave without pay, affecting rates of contribution etc;
- managing financial transactions associated with scheme accounts, including the collection and transfer to the Consolidated Revenue Fund (CRF) of notional employer contributions, emerging cost payments and offsets due from the schemes;
- auditing processes and transactions;
- negotiating and establishing agreements;
- managing committees and working groups;
- authorising delegations of power;
- preparing and delivering addresses;
- undertaking client satisfaction surveys;
- developing and maintaining policies, procedures, scripts and standard forms;
- managing quality assurance processes;
- attending conferences and meetings;
- providing training and seminar presentations relating to superannuation administration.

*For the management and support of the Boards, use GRA - GOVERNING BODIES.*

*For administrative records associated with the management of the agency's staff superannuation, use AFDA PERSONNEL.*

*For the production and distribution of newsletters and similar publications, use AFDA PUBLICATION.*

*For the responding to Freedom of Information requests, including those relating to member information, use AFDA INFORMATION MANAGEMENT.*

*For the application of privacy principles in relation to member information, use AFDA INFORMATION MANAGEMENT.*

## SUPERANNUATION ADMINISTRATION

<b>Class No</b>	<b>Description of records</b>	<b>Disposal action</b>
21779	<p>Records documenting superannuation administration core business issues and activities that have enduring value to Australia. Includes:</p> <ul style="list-style-type: none"><li>• high-level scheme advice, meetings, reports and determinations on significant matters that have far-reaching implications, or which are controversial, subject to government-level scrutiny, innovative and/or high profile with either significant social or economic implications. This includes advice and input provided to the portfolio Minister and government agencies and/or used in corporate or government policy decisions, such as the development of legislation or superannuation scheme development;</li><li>• fraud investigations and appeals made against decisions which are controversial, set precedents, or which are considered significant or create intense media interest. Includes legal proceedings and appeals to higher authorities such as the Administrative Appeals Tribunal and the Federal Court;</li><li>• high-level authorisations and agreements with stakeholders (e.g. trustees). Includes delegations of authority, memorandum of understanding, deeds and other formal agreements;</li><li>• final versions of addresses made by the Minister or senior agency officers at major public and government occasions to discuss superannuation administration matters;</li><li>• high-level intergovernmental or inter-agency committees and working groups, and/or high-level internal committees supporting the superannuation administration function where the agency is the lead agency. Includes committees formed to consider and determine decisions on the reconsiderations of benefits;</li><li>• master set of agency policies.</li></ul>	Retain as national archives
21780	<p>Records documenting other superannuation administration activities that could have a financial impact broadly across scheme members and/or are required for ongoing reference in relation to member case records over an indeterminable time. Includes:</p> <ul style="list-style-type: none"><li>• membership data amendment logs generated as evidence of global system changes;</li><li>• master set of procedures, scripts and standard forms (e.g. member application forms, pension letters, payment summaries, calculation worksheets) that provide a record over time of the way in which information with ongoing financial implications for members was requested, calculated and communicated; and</li><li>• unclaimed benefits where the date of death of the member or beneficiary cannot be determined.</li></ul>	Destroy 150 years after last action
21781	<p>Records documenting the management of superannuation administration relations with employers. Includes:</p> <ul style="list-style-type: none"><li>• communications concerning employers or their employees;</li><li>• advice provided to employers;</li><li>• employment reconciliations and reports;</li><li>• summary data concerning employer contributions;</li></ul> <p><i>[Excludes information concerning individual employees that is covered by Class 21782 or 21783].</i></p>	Destroy 25 years after last action

## SUPERANNUATION ADMINISTRATION

Class No	Description of records	Disposal action
21782	<p>Records (member accounts) documenting the management of an individual civilian or military superannuation scheme member's contributions and benefit payments, where there are ongoing entitlements owing to members or their beneficiaries. Includes:</p> <ul style="list-style-type: none"><li>• applications;</li><li>• personal member details;</li><li>• contribution and payment calculations;</li><li>• debt recovery correspondence and reports;</li><li>• written and telephone communications with members, their employers and beneficiaries in relation to the individual scheme member;</li><li>• medical examinations/assessments/declarations;</li><li>• member statements;</li><li>• details of family law orders;</li><li>• review of invalidity classifications;</li><li>• preserved benefit requests;</li><li>• complaints, reviews, appeals and disputes in relation to decisions concerning individual members, and associated legal advice; <i>[For significant appeals against decisions such as those that are controversial or precedent-setting, use 21779].</i></li><li>• contribution and benefit advice and counselling provided to an individual member;</li><li>• investigations of fraudulent activities in relation to individual member benefits. Includes records of liaison with law enforcement and prosecuting bodies, notices to banks, and investigation reports.</li></ul> <p><i>[Excludes significant cases covered by 21779].</i></p>	Destroy 7 years after the death of the member or beneficiary, whoever survives longest
21783	<p>Records (member accounts) documenting the management of an individual member's contributions and benefit payments, where there are <b>NO</b> further entitlements owing to members or their beneficiaries, such as public sector superannuation accumulation plan members. Includes:</p> <ul style="list-style-type: none"><li>• applications;</li><li>• personal member details;</li><li>• contribution and payment calculations;</li><li>• debt recovery correspondence and reports;</li><li>• written and telephone communications in relation to the individual scheme member;</li><li>• medical examinations/assessments/declarations;</li><li>• member statements;</li><li>• details of family law orders;</li><li>• complaints, reviews, appeals and disputes in relation to decisions concerning individual members, and associated legal advice; <i>[For significant appeals against decisions such as those that are controversial or precedent-setting, use 21779].</i></li><li>• contribution and benefit advice and counselling provided to an individual member;</li></ul>	Destroy 7 years after last payment



## SUPERANNUATION ADMINISTRATION

Class No	Description of records	Disposal action
(cont)	<ul style="list-style-type: none"><li>investigations of fraudulent activities in relation to individual member benefits. Includes records of liaison with law enforcement and prosecuting bodies, notices to banks, and investigation reports.</li></ul> <p><i>[Excludes significant cases covered by 21779].</i></p>	
21784	<p>Records documenting the Superannuation Administration core business that cover:</p> <ul style="list-style-type: none"><li>audits of processes and transactions;</li><li>committees formed for routine operational purposes;</li><li>financial transaction records associated with overall scheme accounts, including trial balances, financial statements and unit pricing calculations and adjustments;</li><li>final reports and advice to stakeholders including trustees, actuaries and regulatory bodies. This includes reports required for regular compliance reporting, and excludes those of a high-level nature covered in 21779 and to individual members or employees (21781, 21782 and 21783);</li><li>client satisfaction survey reports;</li><li>quality assurance monitoring data and reports (for global system amendment logs, use Class 21780);</li><li>final versions of routine internal instructions/procedures, authorisations and agreements related to scheme administration that do not have a direct impact on member contributions and benefits.</li></ul>	Destroy 7 years after last action
21785	<p>Other records that are not covered by classes 21779 – 21784, including:</p> <ul style="list-style-type: none"><li>routine training and seminar presentations provided to scheme employers and employees and other stakeholders;</li><li>routine support records associated with scheme administration such as meeting room bookings, training/visit arrangements, routine advice, attendance at related conferences, referrals and working drafts and background research associated with the development of internal policies, procedures, reports and scripts;</li><li>records concerning employers or employees from outside the Commonwealth that are not eligible to contribute or receive benefits from the schemes.</li></ul>	Destroy 2 years after last action