



**Australian Government**  

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**National Archives of Australia**

**Records Authority**  
2010/00638753

**Australia Council**

May 2011

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## INTRODUCTION

The Australia Council (also known as the Australia Council for the Arts) 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 Arts Bodies Administration, Arts Funding Program Development and Review, Arts Industry Capacity Building, Arts Industry Leadership, Arts Organisation Funding, Events Management, and Grants Administration and Assessment. It represents a significant commitment on behalf of the Australia Council to understand, create and manage the records of its activities.

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

The Authority sets out those records that need to be retained as national archives and specifies the minimum length of time that temporary records need to be kept. This Authority gives the Australia Council permission under the *Archives Act 1983*, for the destruction of the temporary records described after the minimum retention period has expired. 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 supersedes Records Authority 779 (1991). The superseded Records Authority can no longer be used by the Australia Council to sentence records after the date of issue of this Authority.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; and
  - 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. 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 applied, providing the records document the same core business. The information must be accessible for the period of time prescribed in this Authority. The Australia Council will need to maintain continuing access to the information, including digital information, for the periods prescribed in this records authority or until the information is transferred into the custody of the

National Archives.

6. In general, retention requirements indicate a minimum period for retention. The Australia Council 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 Australia Council 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 which relate to any current or pending legal action, or are subject to a request for access under the *Archives Act 1983* or any other relevant Act must not be destroyed until the action has been completed.

9. 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 for public access including those records that remain in agency custody.

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 Australia Council 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 records management 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 2010/00638753

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

Kathy Keele  
Chief Executive Officer  
Australia Council  
372 Elizabeth Street  
Surry Hills  
NSW 2010

**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:  
Arts Bodies Administration  
Arts Funding Program Development and Review  
Arts Industry Capacity Building  
Arts Industry Leadership  
Arts Organisation Funding  
Events Management  
Grants Administration and Assessment

This authority gives permission for the destruction, retention or transfer to the National Archives of Australia of the records described. This authority will apply only with the consent of the agency currently responsible for the business documented in the records described.

**Authorising Officer**

**Date of issue:**



25/5/2011

Margaret Chalker  
Assistant Director-General  
Government Information Management  
National Archives of Australia

## ARTS BODIES ADMINISTRATION

The core business of establishing the membership and administration of arts bodies such as boards, currently known as artform boards, and related committees. Boards are appointed by the Minister and include people who practice or have practiced the arts or are otherwise associated with the arts, as well as community interest representatives. The boards are the Australia Council's major source of advice on the development of arts policy and grant programs and are responsible for arts funding assessment decisions. They also develop their own policies within the framework of policies and priorities determined by the Council. Committees are appointed by the Council to assist a board or for related activities. The core business includes delegations from the Council to boards to determine arts funding decisions, to endorse new funding programs, initiatives and policies and to engage expert peers to help assess funding proposals and to provide advice to arts bodies. Includes:

- authorisations and delegations;
- meetings;
- membership of arts bodies, including nominations, appointments, disclosures of interest, remuneration, separations, visits and other administrative arrangements;
- policies;
- recruitment and management of expert peers; and
- reporting.

*For records documenting advice provided by arts bodies and the funding assessment policies that an arts body approves, use the relevant core business.*

*For minutes and other records relating to the assessment of applications for grants, awards, residencies, and fellowships by assessment bodies, use GRANTS ADMINISTRATION AND ASSESSMENT.*

*For the assessment of proposals for improving market access for Australian arts, use ARTS INDUSTRY CAPACITY BUILDING.*

*For the assessment of proposals to improve the skills, business acumen, networking capacity etc of the arts sector, use ARTS INDUSTRY CAPACITY BUILDING.*

*For the funding decisions in relation to arts organisation to support their base funding, use ARTS ORGANISATION FUNDING.*

*For the development, research and planning of new funding programs and the review of existing arts funding programs, use ARTS FUNDING PROGRAM DEVELOPMENT AND REVIEW.*

*For statutory and non-statutory bodies established to provide independent advice to the Minister, government and to support the Australia Council, use ADVISORY BODIES.*

*For records relating to the administration of the governing body of the agency, including delegations to the agency governing body from the Minister, use GOVERNING BODIES.*

*For records documenting delegations of power to committees for the consideration of assessment of body membership nominations, use GOVERNING BODIES.*

*For compensation claims made by members of assessment bodies and peers use AFDA/AFDA Express – COMPENSATION.*

<b>Class No</b>	<b>Description of records</b>	<b>Disposal action</b>
21820	<p>The following significant records:</p> <ul style="list-style-type: none"> <li>• records documenting <u>sources of authority</u> and delegated powers for arts bodies that are boards (or similar bodies). Records include notices published in the Commonwealth Gazette; <p><i>[For sources of authority/delegations for committees, use class 21821.]</i></p> <li>• records documenting the management of arts body membership of <u>boards</u> (or similar bodies). Includes the appointment, termination and resignation of candidates, board</li> </li></ul>	Retain as national archives

## ARTS BODIES ADMINISTRATION

Class No (cont)	Description of records	Disposal action
	<p>member contracts, contact details and the disclosure of members' interests. Includes any gazettal of these processes; <i>[For peer appointments who are not art board members, use class 21824.]</i></p> <ul style="list-style-type: none"> <li>• <u>meeting</u> agendas, minutes and supporting papers for the arts board's (or similar bodies') consideration. Includes endorsement of new funding programs and initiatives;</li> <li>• <u>charter, constitution, policy guidelines, code of conduct</u> of arts board members, peers or sub-committees. Includes supporting information; and</li> <li>• <u>reports</u> made to the Minister, management and governing body of the agency on matters relating to this core business; <i>[For reporting to government on the overall strategic direction of the agency, use ARTS INDUSTRY LEADERSHIP, class 21825.</i> <i>For reports on specific programs run by the agency, use the relevant core business.]</i></li> </ul>	
21821	<p>Records documenting <u>sources of authority</u> and delegation of powers for arts bodies that are <u>committees</u> or similar. Includes power to recommend appointments to arts boards (or similar bodies), powers to review assessment decisions by arts boards (or similar bodies), powers to grant requests by arts boards (or similar bodies) for additional funds. Examples include the Appeals Committee, Decisions Review Committee, Reserves Funds Committee, Nominations and Governance Committee. <i>[For decisions of these bodies refer to the relevant core business, for example for decisions of committees set up to review grants applicant appeals or formal internal requests to review grant funding decisions, use GRANTS ADMINISTRATION AND ASSESSMENT.</i> <i>For sources of authority/delegations for boards, use class 21820.]</i></p>	Destroy 10 years after last action
21822	<p>Records documenting <u>visits</u> by arts bodies members and peers to other government and non-government organisations both within Australia and overseas. Records include invitations, itineraries and programs, reports on the visit, letters of thanks.</p>	Destroy 6 years after last action
21823	<p>Records documenting <u>arrangements</u> for arts bodies' members and peers, including arrangements to undertake <u>travel</u> as required by the agency for the conduct of agency business. Includes approvals, itineraries, bookings, schedules, enquiries and related correspondence. Also includes notices to members of changes in meeting schedules etc.</p>	Destroy 2 years after last action
21824	<p>Records documenting routine operational tasks supporting the core business; and Arts Bodies Administration activities other than those covered in classes 21820 to 21823 including:</p> <ul style="list-style-type: none"> <li>• the <u>induction and training of board members</u>. This training includes introduction to other members, information about the functions and powers of the arts body, the functions of organisation as a whole, awareness of obligations such as code of conduct, privacy requirements;</li> <li>• records documenting the short-listing and <u>engagement of arts experts</u> to provide advice and assistance in the process of grant</li> </ul>	Destroy 7 years after last action

## ARTS BODIES ADMINISTRATION

Class No (cont)	Description of records	Disposal action
	<p>assessments. Records include; registration of peers; advertising for peers; invitations issued to individuals; inductions of peers; peer contracts; disclosures of interests; resignation and termination of peers;</p> <ul style="list-style-type: none"><li>• records documenting <u>nominations for membership</u> of arts bodies. Records include nominations, supporting documentation such as curriculum vitae, assessment of nominations and decisions on nominations; and</li><li>• records documenting the <u>payment of remuneration</u> to members of assessment bodies, peers and decision review bodies. Records include pay histories, tax declarations, group certificates, superannuation, records relating to recovery of overpayments. Also include Act of grace (ex gratia) payments and non-monetary remuneration.</li></ul> <p><i>[For policy and guidelines governing assessment body members' and peers' conduct, use class 21820. For records associated with the payment process use AFDA/AFDA Express – FINANCIAL MANAGEMENT – payments.]</i></p>	



## ARTS FUNDING PROGRAM DEVELOPMENT AND REVIEW

The core business of developing and reviewing arts funding programs, including a range of structured funding administered as grants such as grants, awards, fellowships, residencies, scholarships, loans and base funding of arts organisations. Includes development and review of program funding that involves joint ventures and partnerships. Includes the development of policy and procedures governing artistic funding such as the official procedures manual and the agency's conflict of interest code. Core business tasks include:

- advice provided and received;
- assessment of risks affecting the management of programs, including fraud control;
- audits and reviews of programs;
- liaison and consultation;
- planning and design for programs including grants rounds; and
- reporting to relevant authorities, including departmental and portfolio reports (such as performance and budget reports), reports to boards, reports to the governing body of the Agency.

*For the processing and assessment of applications and submissions for funding provided to either organisations or individuals to undertake artistic projects, use GRANTS ADMINISTRATION AND ASSESSMENT.*

*For administration and monitoring of funding arrangements with organisations that is not project based or funded under a grant, use ARTS ORGANISATION FUNDING.*

*For policies governing the administration of arts funding assessment bodies such as art form boards, use ARTS BODIES ADMINISTRATION.*

*For the development of standards in the arts governing matters of public arts policy such as the depiction of children in the arts or dealings affecting Aboriginal and Torres Strait Islander art, use ARTS INDUSTRY LEADERSHIP.*

*For the records relating to the engagement of external auditors and consultants use AFDA/AFDA Express – PROCUREMENT.*

*For joint ventures and partnerships with both government and non-government organisations aimed at developing market opportunities for Australian arts and skills and capacity building in the arts sector, use ARTS INDUSTRY CAPACITY BUILDING.*

*For joint ventures and partnerships where the program is managed by an external entity use ARTS INDUSTRY CAPACITY BUILDING.*

<b>Class No</b>	<b>Description of records</b>	<b>Disposal action</b>
21833	<p>The following significant records:</p> <ul style="list-style-type: none"> <li>• program <u>planning</u> and <u>design</u>, including joint ventures and partnerships and the creation of new categories. Includes: final programs; the development of proposals/business cases for new program categories; research to support the business case; consultation with industry stakeholders; the identification of risk assessments and risk strategies in relation to the program; planning for the funding and implementation of the programs; program approval by the relevant arts body; and business and strategic plans for the future development of programs;</li> <li>• master set and major drafts of <u>policies</u> and <u>procedures</u> establishing decisions, directions and precedents for arts funding to aid in future decision making. Includes Australia Council's Conflict of Interest Code;</li> <li>• formal <u>reporting</u> to Government on the development of funding programs;</li> <li>• <u>audits</u> and <u>reviews</u> and <u>quality management</u> of individual arts funding programs that are precedent setting, controversial or lead to major changes. Includes those outsourced to external consultants or government audit authorities; and</li> </ul>	Retain as national archives

## ARTS FUNDING PROGRAM DEVELOPMENT AND REVIEW

Class No (cont)	Description of records	Disposal action
21834	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>• records documenting <u>funding approval</u> for each program by Council.</li> </ul> <ul style="list-style-type: none"> <li>• <u>reports</u> to the governing body of the agency, management and arts funding assessment bodies on newly developed grants, fellowships, initiatives, awards, organisational funding, for information and support. Records include background research, draft versions of reports containing significant changes/alterations or formally circulated for comment, and final, approved versions of reports; <i>[For formal reporting to Government, use class 21833.]</i></li> <li>• <u>advice</u> on the development of arts funding programs. Includes advice provided by the agency to the governing body, agency management and arts funding assessment bodies as well as advice received by the agency. Includes briefing papers, source documents, etc; <i>[For advice given in response to enquiries/complaints from members of the public or to applicants for funding about arts programs, use GRANTS ADMINISTRATION AND ASSESSMENT.]</i></li> <li>• <u>audits</u> and <u>reviews</u> and <u>quality management</u> of individual arts funding programs that are not controversial, do not have major impact and are not precedent setting. Includes those outsourced to external consultants or government audit authorities. Records include documents establishing a review, planning for the review and final review reports etc.</li> </ul>	Destroy 10 years after last action
21835	<p>Records documenting routine operational tasks supporting the core business; and Arts Funding Program Development and Review activities other than those covered in classes 21833 to 21834 including:</p> <ul style="list-style-type: none"> <li>• records documenting <u>liaison and consultation</u> for the development of funding programs that the agency undertakes with stakeholders. Includes meetings with external agencies, bodies or individuals for routine information sharing and consultation purposes. Includes meetings with stakeholders, industry groups and focus groups held for the purpose of information gathering. Records include arrangements for the meeting, agenda, and outcomes; <i>[For stakeholder consultation as part of the planning and design of arts funding programs, use class 21833.]</i></li> <li>• records documenting the development and review of <u>pro-forma guidelines</u>, including <u>templates</u> for funding agreements; and</li> <li>• records documenting the development of policies and guidelines governing new and existing funding programs. Records include working papers, drafts, stakeholder consultation notes, comments, etc. <i>[For the final versions of policies and procedures, use class 21833.]</i></li> </ul>	Destroy 7 years after last action

## ARTS INDUSTRY CAPACITY BUILDING

The core business of developing Australian art, markets and artists through encouraging collaboration amongst stakeholders and between the artists and communities and supporting skills development and business acumen. Includes managing projects based on targeted funds such as a specific art form or demographic group which are not application based and therefore, fall outside the grant process. Also includes projects where the funding is by application and applications are assessed under the grant process but the projects are not part of a designated grants program. Includes promoting philanthropic support for the arts, as well as projects to target new or innovative art forms or ways of doing art that do not yet justify setting up a funding program. Also includes identification, development and resourcing of potential markets for arts both domestically and internationally to promote participation in, appreciation and consumption of the arts by the Australian community. Includes:

- advertising and promotion;
- advocacy;
- committees;
- donations;
- evaluation of proposals;
- joint ventures, partnerships and agreements;
- liaison and consultation;
- planning and strategy;
- policies and procedures;
- project management;
- research and reporting;
- sponsorship; and
- visits.

*For the administration of funding provided to either organisations or individuals to undertake individual arts projects, usually on an application basis, use GRANTS ADMINISTRATION AND ASSESSMENT.*

*For the planning, design and review of application based arts funding programs such as grants, awards, fellowships and residencies, and the policies, procedures and guidelines governing them, use ARTS FUNDING PROGRAM DEVELOPMENT AND REVIEW.*

*For the processes involved in maintaining and developing relationships with arts organisations where the agency supports the organisations through ongoing base funding, as well as advice and proactive assistance supporting their governance and financial administration, use ARTS ORGANISATION FUNDING.*

*For processes involving State arts industry funding and support agencies and dealing with broad policy and planning issues in the arts sector, use ARTS INDUSTRY LEADERSHIP.*

*For industry plans and objectives that the agency uses to guide the work of each arts industry section use ARTS INDUSTRY LEADERSHIP.*

*For production and marketing of core business publications, use AFDA/AFDA Express – PUBLICATION.*

*For conferences, seminars, ceremonies, presentations, exhibitions, award presentations, and events organised to promote arts sponsorship and arts donations, use EVENTS MANAGEMENT.*

*For the contracting out of core business activities use AFDA/AFDA Express – PROCUREMENT.*

<b>Class No</b>	<b>Description of records</b>	<b>Disposal action</b>
21815	<p>The following significant records:</p> <ul style="list-style-type: none"> <li>• records documenting <u>joint ventures</u> or <u>partnerships</u> including projects, entered into with public, community and private sector organisations to develop the arts sector in Australia and joint ventures with industry organisations representing artists, publishers etc. Includes joint venture agreements for jointly funded grants programs where the Australia Council does NOT administer the program;</li> </ul>	Retain as national archives

## ARTS INDUSTRY CAPACITY BUILDING

Class No (cont)	Description of records <i>[For collaboration with organisations apart from joint ventures, partnerships and projects, use class 21819.]</i>	Disposal action
	<ul style="list-style-type: none"> <li data-bbox="363 347 1149 728">• agency <u>projects</u> which make a significant contribution to the development of some aspect of the arts industry or arts administration. Examples include projects to develop skills in new areas (such as the first multi-media projects) or innovative ways of skills development or transfer, or that target groups such as Aboriginal and Torres Strait Islander communities or people living in remote areas. Also may include projects that promote new ways of collaboration such as using new technologies and methodologies. Includes related skills such as fundraising, networking, community partnerships. Includes a master copy of the published products of the project; <i>[For routine projects use class 21816.]</i></li> <li data-bbox="363 750 1149 985">• final <u>reports</u> of detailed original <u>research</u> undertaken by the agency to support the development of significant art and cultural programs etc. Includes research on arts in particular communities or the interaction between the arts industry and other areas of society and the economy, research on philanthropic support for the arts, community partnerships etc. Includes master versions of any published products of the research;</li> <li data-bbox="363 1008 1149 1108">• <u>reports</u> to Government and other external stakeholders on initiatives and other matters relating to arts industry capacity building and arts market development;</li> <li data-bbox="363 1131 1149 1243">• <u>agreements</u> with industry stakeholders and government agencies for the purpose of facilitating cooperation on issues of common concern. Includes data sharing agreements between government arts agencies;</li> <li data-bbox="363 1265 1149 1512">• high level internal and external <u>committees</u> formed to determine policy and strategic management matters in relation to arts industry capacity building where the agency fulfils a secretariat role or is the Commonwealth's main representative; <i>[For records documenting external committees where the agency does not form the secretariat or is not the Commonwealth's main representative and internal committees that do not determine policy and strategy, use class 21818.]</i></li> <li data-bbox="363 1534 1149 1736">• final <u>planning and strategy</u> documents for promoting and developing Australian arts both within Australia and internationally. Includes international, external and individual art form strategies; <i>[For the development of core business planning and strategy use class 21816.]</i></li> <li data-bbox="363 1758 1149 1881">• final <u>policies and procedures</u> governing arts industry capacity building, arts market projects, joint ventures and partnerships; <i>[For the development of core business policy and procedures use class 21819.]</i></li> <li data-bbox="363 1904 1149 2060">• records documenting major <u>donations</u> or bequests of money, items, artefacts or property (trusts) that are managed by the Australia Council and provide ongoing support for the arts; <i>[For minor donations and bequests that provide limited or short term support, use class 21817.]</i></li> </ul>	

## ARTS INDUSTRY CAPACITY BUILDING

Class No	Description of records	Disposal action
21816	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>• <u>projects</u> that the agency undertakes for the purpose of building arts sector capacity that are of a routine nature and that do not make a significant contribution to the development of some aspect of the arts industry. Includes projects aimed at arts skills development, enhancing audience or market development in Australian and overseas markets, the development of arts administration and related skills such as fundraising, facilitation of networking both within and outside the arts sector, community partnerships between artists and local communities or representatives of communities such as Aboriginal and Torres Strait Islander organisations or ethnic community organisations. Records include project planning, agreements, meetings and committees, correspondence, acquittals, reporting etc. Includes any master versions of published products of the project; <i>[For project initiatives that the Australia Council undertakes for building arts sector capacity where the project makes a significant contribution to the development of the arts industry, use class 21815.]</i></li> <li>• <u>internal reports</u> on new initiatives, grant rounds, joint ventures, and partnerships. This includes proposals for support and implementation by the Australia Council independently or jointly with other government or private organisations. Includes outcomes of existing projects managed by affiliated arts organisations; <i>[For final reporting to industry stakeholders use class 21815.]</i></li> <li>• <u>research</u> development undertaken to assist the agency in providing support and advice on the development of the arts sector, including skills development, art market development (national and international), networking and community collaborating. Includes outsourced research projects (tenders). Records include research proposals, working papers, drafts, comments, surveys, questionnaires, focus group discussion guides etc; <i>[For final reports of research use class 21815.]</i></li> <li>• <u>research data sets</u> created by the organisation obtained via surveys or other sources or research data received externally that is either custom ordered (e.g. from the Australian Bureau of Statistics) or to which the agency adds value through analysis and categorisation;</li> <li>• the <u>evaluation</u> of proposals for developing various aspect of arts industry capacity. Includes proposals for developing audience access to various art forms and the reach of Australian artists in both domestic and international markets. Also includes proposals for skills development, networking, community liaison, projects to investigate, new art forms and ways of doing art etc. Records include: Submissions/proposals; assessments of proposals; recommendations and the final decision advice to the maker of the proposal on its acceptance; <i>[For proposals that become projects use class 21815 for joint venture and significant projects and this class (21816) for routine projects. For proposals that become funding programs use ARTS</i></li> </ul>	Destroy 10 years after last action

## ARTS INDUSTRY CAPACITY BUILDING

Class No (cont)	Description of records	Disposal action
	<p><i>FUNDING PROGRAM DEVELOPMENT AND REVIEW.]</i></p> <ul style="list-style-type: none"> <li>the development of planning and strategies for <u>promoting</u> and developing Australian arts both in Australia and in external markets. Includes both international marketing and individual art form strategies. Includes the results of consultations with stakeholders. Excludes final versions;</li> </ul> <p><i>[For records documenting industry plans and objectives that the Australia Council uses to guide work for each arts industry sector, use ARTS INDUSTRY LEADERSHIP, class 21826.</i></p> <p><i>For records relating to organising consultation with industry stakeholders and experts use class 21819].</i></p> <ul style="list-style-type: none"> <li><u>sponsorship arrangements</u> that support and promote agency projects. Records include approaches to organisations to sponsor agency projects such as representation at international arts events like the Venice Biennale, assessments of existing and potential arrangements and sponsors, correspondence relating to the establishment and management of sponsorship arrangements including appreciation letters, agreements with sponsors. Includes enquiries about sponsorship. Includes both financial support and in-kind support such as loans of artwork or facilities.</li> </ul> <p><i>[For activities aimed at encouraging sponsorship of the artists and arts, use class 21819.]</i></p>	
21817	<ul style="list-style-type: none"> <li>Records documenting <u>minor donations</u> or minor bequests that provide limited or short term support. Includes money, items, artefacts, or property (trusts) that the agency manages for the purpose of distribution to the arts sector. Includes donations to the Australia Council's Donations Fund. Also includes managing unsolicited donations and the administration of the program under which the donations are provided.</li> </ul> <p><i>[For major donations or bequests providing ongoing support use class 21815.</i></p> <p><i>For records of the Donations Committee, use class 21815.</i></p> <p><i>For records of financial transactions, use AFDA/AFDA Express – FINANCIAL MANAGEMENT – Accounting.</i></p> <p><i>For sponsorship arrangements such as an external organisation providing funding or in-kind support to a project in return for a reciprocal benefit, use class 21816.</i></p> <p><i>For events organised by the agency to promote sponsorship and donations in the arts, use EVENTS MANAGEMENT, class 21838.]</i></p>	Destroy 7 years after donation is received and finalised, or until terms of the donation have been fulfilled, whichever is the later
21818	<ul style="list-style-type: none"> <li>Records documenting external <u>committees</u> where the agency does not provide the secretariat and is not the Commonwealth's main representative and internal committees that do not determine policy and strategic management matters in relation to arts industry capacity building. Records include minutes, supporting documents such as briefing and discussion papers;</li> </ul> <p><i>[For records of external committees where the agency is the secretariat or the Commonwealth's main representative and internal committees for policy and strategic management use class 21815.]</i></p> <ul style="list-style-type: none"> <li>Records documenting <u>arrangement for visits</u> by staff to other</li> </ul>	Destroy 5 years after last action

## ARTS INDUSTRY CAPACITY BUILDING

Class No (cont)	Description of records organisations and by outside persons to the agency for the purpose of promoting the capacity, networking opportunities, skills and business acumen etc of the arts industry.	Disposal action
21819	<p>Records documenting routine operational tasks supporting the core business; and Arts Industry Capacity Building activities other than those covered in classes 21815 to 21818 including:</p> <ul style="list-style-type: none"> <li>• <u>advocacy</u> that the agency undertakes for the benefit of the arts sector except for advocacy to Government. Includes advocacy to both business and the community, including support for philanthropic initiatives. Records include meetings with community and private sector organisations, industry bodies and contributions to publications; <i>[For advocacy that the agency undertakes on behalf of the arts sector to government, use ARTS INDUSTRY LEADERSHIP, class 21825.]</i></li> <li>• <u>liaison and consultation</u> that the agency undertakes with stakeholders. Includes meetings with external agencies, bodies or individuals for routine information sharing and consultation purposes. Includes meetings with stakeholders, industry groups and focus groups held for the purpose of information gathering. Records include arrangements for the meeting, agenda, and outcomes; <i>[For liaison in support of a specific project, use class 21815 for significant projects and class 21816 for routine projects.</i> <i>For formal meetings/committees where the agency has a secretariat role or is the Commonwealth's main representative or where an internal formal meeting/committee concerns policy and strategic management matters in relation to the core business, use class 21815.</i> <i>For formal meetings/committees not covered by class 21815, use class 21818].</i></li> <li>• the development of <u>policies and procedures</u> governing arts industry capacity building and arts market development projects, joint ventures and the proposals leading up to them. Includes guidelines, standards and templates. Excludes final versions; <i>[For final policy and procedures documents, use class 21815.]</i></li> <li>• records documenting the advertising and <u>promotion</u> of Australian arts. Records include publicity records regarding campaigns/advertising, promotional photographs and negatives used in campaigns/advertising. <i>[For the promotion of funding programs to communities, use GRANTS ADMINISTRATION AND ASSESSMENT, class 21814.</i> <i>For seminars run by the agency to provide information to corporations on philanthropy in the arts, use EVENTS MANAGEMENT, class 21838.</i> <i>For marketing plans, use class 21816.</i> <i>For market research undertaken or commissioned by the agency, use class 21816].</i></li> </ul>	Destroy 7 years after last action

## ARTS INDUSTRY LEADERSHIP

The core business of providing leadership and endorsing best practice to the arts industry. Includes:

- advice to government on issues related to the arts sector and the agency's programs;
- advocating on behalf of the arts sector to government;
- consultation with arts sector, government partners and members of the general community;
- monitoring arts industry developments;
- promoting the development and adoption of standards in dealings between artists, arts organisations, the private sector and the general community;
- protocols, policies, strategies and industry sector plans and their implementation;
- research and briefings to government;
- reporting and research in relation to policy development; and
- working parties formed for the development of strategies, protocols, policies and frameworks.

*For the development and amendment of the legislation that the agency administers use AFDA/AFDA Express – STRATEGIC MANAGEMENT.*

*For research undertaken to improve market access for artists in Australia or overseas use ARTS INDUSTRY CAPACITY BUILDING.*

*For consultations and submissions relating to Government, use AFDA/AFDA Express – GOVERNMENT RELATIONS.*

*For records of media releases, organising information and assistance to support media coverage in providing the agency's services, use AFDA/AFDA Express – COMMUNITY RELATIONS.*

Class No	Description of records	Disposal action
21825	<p>The following significant records:</p> <ul style="list-style-type: none"> <li>• records documenting <u>advice</u> provided by the agency to the portfolio Minister, other government agencies, or advice to the agency executive and governing body, relating to any arts industry matters which may impact on policy, procedures, set precedents, etc. Includes advice relating to broad arts industry strategy and frameworks under which the agency operates as well as economic, social and political influences on the arts that impact on policy, procedures, set precedents, etc. Also includes advice that is received by the agency;</li> </ul> <p><i>[For advice given in response to enquiries or complaints from members of the public or to applicants for funding about arts programs, use GRANTS ADMINISTRATION AND ASSESSMENT.]</i></p> <ul style="list-style-type: none"> <li>• records documenting <u>advocacy</u> that the agency undertakes on behalf of the industry to government;</li> <li>• records documenting high level internal and external <u>committees</u> established by the agency or its governing body to consider strategic arts industry policy matters, where the agency provides Secretariat, is the Commonwealth's main representative, or plays a significant role. Includes establishment and operation of the committee; such as, membership records, agenda, minutes, reports and supporting papers;</li> <li>• records documenting the development of <u>policy framework objectives</u> designed to address particular issues in the arts sector, including community involvement, responsiveness to particular groups such as youth or Aboriginal and Torres Strait Islander people. Includes the outcomes of consultation with stakeholders such as arts sector organisations, government partners and members of the general community;</li> </ul> <p><i>[For the development of funding programs in line with the policy</i></p>	Retain as national archives



## ARTS INDUSTRY LEADERSHIP

Class No (cont)	Description of records <i>framework objectives, use ARTS FUNDING PROGRAM DEVELOPMENT AND REVIEW.]</i>	Disposal action
	<ul style="list-style-type: none"> <li>• records documenting the development of <u>industry standards</u> and <u>protocols</u>. Includes Children in Arts Protocols, and the Aboriginal and Torres Strait Islander Protocols and Art Commercial Code of Conduct. Includes research, briefings to Government, meetings with stakeholders, and final approved protocols/standards;</li> <li>• records documenting the development of arts industry <u>policies</u>. Includes policies leading to the development of or facilitating the implementation of broad frameworks and strategies, agency responses to events that affect the arts sector, such as changes in government priorities or events that attract public and media discussion and comment, issues that arise from discussions with stakeholders including state and territory government agencies, arts organisation, community organisations, and art industry bodies. Also includes policy developed in response to other agency's legislative and regulatory proposals that impact upon the agency's interests or the interests of the arts industry generally;</li> <li>• <u>reports and briefings</u> to government, management and the governing body on the development and implementation of strategies, arts protocols, policies and frameworks of the organisation;</li> <li>• records documenting the development of <u>strategies</u> to support the development of the arts, such as the Visual Arts and Crafts Strategy. Includes plans, research, policies, agreements, strategy governance arrangements, and meetings with industry, community and state and territory government stakeholders; and</li> <li>• legacy master set of press clippings and media monitorings up until collection ceased in February 2003.</li> </ul>	
21826	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>• <u>liaison</u> and <u>consultation</u> of a general nature that the agency undertakes with the portfolio Minister, other government agencies, or consultation with agency executive and governing body. The communication may relate to broad arts industry strategy and frameworks under which the agency operates as well as economic, social and political influences on the arts that do not impact on policy, procedures, or set precedents, etc. Also includes communication that is received by the agency; <i>[For liaison in support of a specific project, use ARTS INDUSTRY CAPACITY BUILDING class 21815 for significant projects and class 21816 for routine projects.]</i></li> <li>• industry <u>planning</u> undertaken by the agency. Records include background research, draft versions of plans containing significant changes/alterations or formally circulated for comment, notes of meetings or reports analysing issues and the outcomes of consultation with industry stakeholders etc; <i>[For planning devoted to improving market access for Australian arts and artists both nationally and internationally, use ARTS INDUSTRY CAPACITY BUILDING class 21816.]</i></li> </ul>	Destroy 10 years after last action

## ARTS INDUSTRY LEADERSHIP

Class No (cont)	Description of records	Disposal action
	<ul style="list-style-type: none"><li>inter-agency or external <u>committees</u> where the organisation does not provide the secretariat. Records include agenda and minutes, advice and briefing papers, submissions and reports, recommendations and resolutions, correspondence arising from business discussed or resolutions passed; <i>[For committees established to support industry collaboration for the purpose of developing the arts industry in areas such as capacity building, market development and funding programs, use the relevant core business].</i></li></ul>	
21827	Records documenting <u>monitoring</u> of arts industry trends and events. Includes press clips.	Destroy 5 years after last action
21828	Records documenting routine operational tasks supporting the core business; and Arts Industry Leadership activities other than those covered in classes 21825 to 21827.	Destroy 7 years after last action

## ARTS ORGANISATION FUNDING

The activities relating to the provision of ongoing support and base funding to arts organisations via a grants administration process including statutory reporting, and where the agency usually maintains a long-term administrative and financial relationship with the recipient organisation. Includes proactive advice and support that the agency provides to these organisations.

NOTE: Funding is base funding rather than project funding so that agreements for funding are medium to long term that is reviewed periodically or on completion of contract (generally three years), after which the organisation may be invited to apply for further funding but there is no guarantee that base funding support will be granted. This type of funding is intended to provide a basis on which to build and expand activities. One of the key outcomes of such funding is leveraging significant resources for expansion and development. Includes:

- advertising and promotion;
- assessment for funding;
- enquiries;
- funding agreements;
- joint ventures and partnerships;
- liaison and consultation;
- meetings;
- performance monitoring;
- planning;
- reporting, reviewing and audits
- research; and
- training and other support provided to funded organisations.

*For summary records of all grant applications including those for arts organisations, use GRANT ADMINISTRATION AND ASSESSMENT, class 21810.*

*For the administration of funding provided to either organisations or individuals to undertake individual projects, use GRANTS ADMINISTRATION AND ASSESSMENT.*

*For the promotion of Australian arts and artists both in Australian and overseas markets and for skills development for the arts industry, use ARTS INDUSTRY CAPACITY BUILDING.*

*For joint ventures and partnerships with both government and non-government organisations aimed at developing market opportunities for Australian arts and skills and capacity in the arts sector, use ARTS INDUSTRY CAPACITY BUILDING.*

*For marketing and production of core business publications, use AFDA/AFDA Express – PUBLICATION.*

*For agreements relating to projects for initiatives to improve market access, skill development, develop new arts forms where a formal ongoing funding program is not established, use ARTS INDUSTRY CAPACITY BUILDING.*

*For industry sector plans, use ARTS INDUSTRY LEADERSHIP.*

*For the development and review of arts funding programs, use ARTS FUNDING PROGRAM DEVELOPMENT AND REVIEW.*

*For records documenting the audit, review and quality management of grants administration and assessment processes (including those related to Arts Organisation Funding) use GRANTS ADMINISTRATION AND ASSESSMENT.*

*For records documenting the audit, review and quality management of individual arts funding programs, use ARTS FUNDING PROGRAM DEVELOPMENT AND REVIEW.*

*For ministerial representations use AFDA/AFDA Express – GOVERNMENT RELATIONS.*

<b>Class No</b>	<b>Description of records</b>	<b>Disposal action</b>
21829	The following significant records: <ul style="list-style-type: none"> <li>• records documenting the process of determining <u>funding</u> for arts organisations. Includes funding decision assessment</li> </ul>	Retain as national archives

## ARTS ORGANISATION FUNDING

Class No (cont)	Description of records	Disposal action
	<p>criteria, applications, submissions and, advice and assistance provided to organisations about their submissions, the analysis of the artistic and business performance of the organisations, meetings with applicant organisations, recommendations made to assessment bodies (including art form boards), final decision reports issued by assessment bodies or assessors, and requests to the governing body or its sub-committees for additional grants or loans for funded organisations. Includes rejected applications;</p> <ul style="list-style-type: none"> <li>• records documenting <u>joint ventures</u> and <u>partnerships</u> to support arts industry funding. Includes joint venture agreements, contracts etc., and records relating to the establishment, maintenance and review of agreements and contracts, meetings with joint venture parties. Includes tripartite agreements with state and territory governments;</li> <li>• <u>reports</u> to arts funding assessment bodies, the governing body of the agency and to government;</li> <li>• final <u>research reports</u> used for making a determination of arts organisations to support;</li> <li>• <u>reviews</u> of funding arrangements. Includes guidelines for the review, documents establishing the review, research, significant drafts, and final reports, project or action plans;</li> <li>• <u>funding agreements</u> with arts organisations. Includes negotiations and the final agreement; and</li> <li>• arts organisation funding <u>cases</u>, appeals and requests for reviews of grant decisions which set a precedent, lead to a change of policy and/or are the subject of public controversy.</li> </ul>	
21830	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>• <u>liaison</u> and <u>consultation</u> with industry stakeholders about arts funding issues. Includes liaison with industry organisations, (such as the Symphony Orchestral Musicians Organisation – SOMA and the Australian Major Performing Arts Groups – AMAG) that are not party to the funding arrangements but nevertheless have a key interest in them;</li> <li>• the processes involved in <u>evaluating</u> and ongoing monitoring of the performance of supported organisations against agreed funding criteria. Records include business plans and reports submitted to the agency by funded organisations, correspondence and meetings with funded organisations, reports by staff on attendance at performances and exhibitions;</li> <li>• <u>planning</u> to support the funding of key organisations in accordance with the overall strategies and frameworks of the agency. Includes planning on ways in which strategic objectives will be achieved for arts organisations that the agency proposes to fund. Includes planning on the distribution of funds amongst stakeholders;</li> <li>• <u>research</u> undertaken to provide information on developments in industry sectors and organisations. Records include research data including literature searches, questionnaires, statistics, surveys, other raw data, and draft reports;</li> <li>• the development of training materials for funded organisations to assist them in business planning;</li> </ul> <p><i>[For training sessions for funded organisations, use EVENTS</i></p>	Destroy 10 years after last action

## ARTS ORGANISATION FUNDING

Class No (cont)	Description of records <i>MANAGEMENT.]</i>	Disposal action
	<ul style="list-style-type: none"> <li>• <u>appeals</u> and requests for reviews of grant decisions on eligibility and application assessment grounds, including appeals relating to the grants process made to the Federal Court, the Commonwealth Ombudsman and to the Agency's internal Decisions Review Committee. Excludes appeals and requests for reviews that are controversial, set precedent or lead to change of agency policy. Records include; notice of appeal; grounds of appeal; Appeal Brief; agenda and minutes of review; acknowledgement to appellant; appeal decision; notice to appellant of decision;</li> </ul> <p><i>[For legal proceedings, use AFDA/AFDA Express – LEGAL SERVICES.</i></p> <p><i>For appeals and reviews of grant decisions that are controversial, set precedent, or lead to change of policy, use class 21829.]</i></p>	
21831	<p>Records documenting <u>meetings</u> with stakeholders. Records include meeting agendas, meeting papers, outcomes and actions arising.</p> <p><i>[For informal meetings with stakeholders, use other classes in the core business to which the meeting relates.]</i></p>	Destroy 5 years after last action
21832	<p>Records documenting routine operational tasks supporting the core business; and Arts Organisation Funding activities other than those covered in classes 21829 to 21831 including:</p> <ul style="list-style-type: none"> <li>• records documenting the handling of enquiries from the organisations relating to funding arrangements and opportunities; and</li> <li>• records documenting the development and issue of organisational funding program information to current and prospective applicants. Includes advertisements developed for the purpose of publicising opportunities that are available; and presentations made to organisations.</li> </ul>	Destroy 7 years after last action

## EVENTS MANAGEMENT

The core business of organising and managing functions or events by the agency to support and promote the arts sector such as the presentation of awards bestowed in recognition of outstanding achievement in areas relating to arts and cultural activities. Also includes the holding of exhibitions. Includes:

- advertising and promotion;
- ceremonies, exhibitions, conferences, seminars, presentations and papers Policies and procedures;
- enquiries;
- joint ventures and partnerships;
- reporting; and
- sponsorship.

*For records of media releases, organising information and assistance to support media coverage in providing the agency's services, use AFDA/AFDA Express – COMMUNITY RELATIONS.*

*For marketing and production of core business publications, use AFDA/AFDA Express – PUBLICATION.*

*For the contracting out of core business activities use AFDA/AFDA Express – PROCUREMENT.*

*For records of donations received at fund raising events, use AFDA/AFDA Express – FINANCIAL MANAGEMENT.*

*For records relating to visits made to, or from, other organisations for the purpose of providing information and education relating to services provided by the agency, use AFDA/AFDA Express – COMMUNITY RELATIONS.*

*For visits to or from other government agencies, international and inter-state visits, use AFDA/AFDA Express – GOVERNMENT RELATIONS.*

*For financial consideration to speakers and presenters at events, use AFDA/AFDA Express – FINANCIAL MANAGEMENT.*

*For arrangements undertaken to allow employees to attend external events including travel and accommodation, use AFDA/AFDA Express – PERSONNEL.*

*For external training courses that staff attend, use AFDA/AFDA Express – STAFF DEVELOPMENT.*

<b>Class No</b>	<b>Description of records</b>	<b>Disposal action</b>
21837	<p>The following significant records:</p> <ul style="list-style-type: none"> <li>• <u>ceremonies</u> conducted by the agency. Includes ceremonies for the issue of official awards, the launch of exhibitions etc. Includes meetings, planning, selected official photographs and event reports; and</li> <li>• final <u>reporting</u> on events programs or key major events such as international exhibitions provided to the government, the governing body of the agency and the agency's executive management. Includes: reports of evaluations of the agency's events programs; formal reports on conferences, seminars, exhibitions, joint ventures and partnership events.</li> </ul> <p><i>[For post event analysis reports related to an event, including event performance statistics such as attendance at the event, use the class relevant to the type of event (eg, for ceremonies use this class, for conferences, seminars and exhibitions use class 21838 etc.)]</i></p>	Retain as national archives
21838	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>• <u>conferences</u>, seminar programs and discussion panels organised by the agency. Includes addresses, publicity, registration, participant feedback, program plans and guides, papers presented, invited speakers, agreements with speakers,</li> </ul>	Destroy 10 years after last action

## EVENTS MANAGEMENT

Class No	Description of records	Disposal action
	<p>post event evaluations. Includes meetings, planning, and organisation of the event;</p> <ul style="list-style-type: none"> <li>exhibitions organised by the agency. Records include planning for the exhibition, publicity, merchandising, installation of the exhibit, and the documentation of items created for display, and research undertaken to develop the exhibition, feedback from participants, post event evaluations;</li> </ul> <p><i>[For formal reports on conferences, seminars and exhibitions arranged by the agency and made to government, the governing body and agency executive, use class 21837.]</i></p> <ul style="list-style-type: none"> <li><u>joint ventures</u> and <u>partnerships</u> with other organisations to hold or manage events. Records include joint venture agreements, event promotions, merchandising, addresses, invitations to speakers, papers presented, displays, agreements with presenters and hosting organisations, participant feedback. Includes meeting, planning and organising with joint venture partners;</li> </ul> <p><i>[For formal reports on joint ventures and partnerships made to government, the governing body and agency executive, use class 21837.]</i></p> <ul style="list-style-type: none"> <li><u>presentations</u> and papers delivered by the agency at events, which are either organised by other organisations or outside of formal events organised by the agency;</li> </ul> <p><i>[For papers and presentations made at events organised by the agency, use the class relevant to the type of event (e.g. for ceremonies, use class 21837).]</i></p> <ul style="list-style-type: none"> <li>Records relating to <u>sponsorship arrangements</u> to support and promote agency events. Records include approaches to organisations to sponsor agency events such as New Australian Stories, assessments of existing and potential arrangements and sponsors, correspondence relating to the establishment and management of sponsorship arrangements including appreciation letters, agreements with sponsors. Includes both financial support and in-kind support such as loans of artwork or facilities.</li> </ul> <p><i>[For enquiries about sponsorship opportunities made to the agency by external organisations, use class 21841.</i></p> <p><i>For sponsorship provided by the agency under a grant, use GRANTS ADMINISTRATION AND ASSESSMENT.</i></p> <p><i>For activities aimed at encouraging sponsorship of the artists and arts use ARTS INDUSTRY CAPACITY BUILDING, class 21819.</i></p> <p><i>For sponsorship of marketing and capacity building projects, including events not organised by the agency use class 21838.]</i></p>	
21839	Records documenting <u>policies, procedures and guidelines</u> for the planning and management of events organised by the agency.	Destroy 10 years after superseded
21840	<p>Records documenting:</p> <ul style="list-style-type: none"> <li><u>events</u> organised by the agency other than ceremonies, conferences and seminars and exhibitions. For example, talks delivered by experts on developments the arts industry in particular or sectors or in particular communities such as the disability community or Aboriginal and Torres Strait Islander communities. Includes festivities and celebrations. Records</li> </ul>	Destroy 5 years after last action

## EVENTS MANAGEMENT

Class No (cont)	Description of records	Disposal action
	<p>includes addresses, merchandising, event promotions, invitations to speakers, participant feedback, papers presented, displays, agreements with presenters and hosting organisations, post event evaluations. Includes meetings, planning, and organisation of the event;</p> <ul style="list-style-type: none"> <li>• the <u>advertising and promotion</u> of the organisation's events program to the public and to stakeholders. Records include marketing plans, publicity records such as media releases regarding campaigns/advertising, promotional photographs and negatives used in campaigns/advertising, market research; <i>[For marketing specific to an event use the class relevant to the type of event (e.g. for ceremonies use class 21837, for a conference, seminar or exhibition use class 21838)].</i></li> <li>• draft <u>reports</u> on events programs or key major events such as international exhibitions provided to the government, the governing body of the agency and the agency executive management. Records include background research, e.g. surveys of clients, statistics, and draft versions of reports containing significant changes/alterations or formally circulated for comment. <i>[For formal reports on events arranged by the agency made to government, the governing body and agency executive, use class 21837].</i></li> </ul>	
21841	Records documenting <u>enquiries</u> concerning events organised or sponsored by the agency.	Destroy 2 years after last action
21842	<p>Records documenting routine operational tasks supporting the core business; and Events Management activities other than those covered in classes 21837 to 21841 including:</p> <ul style="list-style-type: none"> <li>• records documenting administrative arrangements for all celebrations, ceremonies and functions, including arrangements for exhibition launches and the giving of addresses. Records include:., registration of participants and presenters, invitations and acceptances, catering arrangements, venue bookings, organisation of entertainment, accommodation and transport arrangements, related correspondence.</li> </ul>	Destroy 7 years after last action



## GRANTS ADMINISTRATION AND ASSESSMENT

The core business of providing funding via a grants administration process to practising artists or arts organisations. This funding is usually on a non-recurrent basis to support specific projects directed at achieving goals and objectives consistent with government policy. Funding of this type may include grants, initiatives, awards, residencies, fellowships, scholarships and loans. Business tasks include:

- advertising and promotion of grants;
- applications receipt and processing, including determination of eligibility for each category;
- assessment of applications including the rescinding of an assessment decision;
- correspondence, including enquiries and complaints relating to the grants process and notification and feedback about assessment decisions;
- development of funding guidelines and administrative forms;
- funding agreements management including monitoring progress of grant projects;
- management of applicant appeals and reviews including those against eligibility, assessment decisions and the grants process;
- policies and procedures; and
- reporting, reviews and audits on grants assessment processes.

*For the preparation of meeting papers to approve matters such as policy, procedures and budget governing the administration of grants management, use ARTS BODIES ADMINISTRATION.*

*For the administration, membership and governance of arts bodies use ARTS BODIES ADMINISTRATION.*

*For recurrent funding provided to arts organisations/institutions not linked to specific programs or projects, use ARTS ORGANISATION FUNDING.*

*For the contracting out of core business activities use AFDA/AFDA Express – PROCUREMENT.*

*For marketing and production of core business publications, use AFDA/AFDA Express – PUBLICATION.*

*For the development of policies, procedures and guidelines governing the submission, handling and assessment of arts funding applications, use ARTS FUNDING PROGRAM DEVELOPMENT AND REVIEW.*

*For the design, planning and review of programs for grants, awards, scholarships and residencies use ARTS FUNDING PROGRAM DEVELOPMENT AND REVIEW.*

*For reports on the development of new and existing funding programs, including strategic direction of funding support by the organisation, use ARTS FUNDING PROGRAM DEVELOPMENT AND REVIEW.*

*For records including reports documenting the audit, review and quality management of individual funding programs, use ARTS FUNDING PROGRAM DEVELOPMENT AND REVIEW.*

*For the issue of tax invoices and for the payment of grant monies, use AFDA/AFDA Express – FINANCIAL MANAGEMENT.*

*For ministerial representations use AFDA/AFDA Express – GOVERNMENT RELATIONS.*

*For litigation, use AFDA/AFDA Express – LEGAL SERVICES.*

Excludes artistic material submitted in support of the initial grant application.

*For non-artistic application support material, such as curriculum vitae, use the relevant application class.*

*For artistic support material submitted as part of the grant acquittal process, use the class relating to approved grants.*

## GRANTS ADMINISTRATION AND ASSESSMENT

Class No	Description of records	Disposal action
21810	<p>The following significant records:</p> <ul style="list-style-type: none"> <li>• summary records of all <u>grant applications</u> and decisions;</li> <li>• <u>assessments</u> of submissions and applications for funding to support artistic projects, including assessments by arts bodies and final signed decision reports;</li> <li>• <u>approved applications</u> for funding that have been acquitted. Also includes legacy arts funding case files such as those for the Commonwealth Literary Fund; <i>[For approved grants projects that are not completed, use class 21811.</i> <i>For applications that are not approved, use class 21812.</i> <i>For applications deemed ineligible or withdrawn, use class 21813.]</i></li> <li>• final and major draft <u>policies and procedures</u> that establish directions and precedents for grants management to aid in future decision making and the standard operating methods that result from them; <i>[For minor drafts of the development of policies and procedures, use class 21814.]</i></li> <li>• final <u>reports</u> generated by the agency regarding grants administration and assessment; <i>[For working documents for the development of final reports that are retained as evidence of actions and decisions, use class 21811.]</i></li> <li>• arts funding <u>cases</u>, appeals and requests for reviews of grant decisions which set a precedent, lead to a change of policy and/or are the subject of public controversy;</li> <li>• internal requests to <u>rescind grant decisions</u> which set a precedent, lead to a change of policy and/or are the subject of public controversy;</li> <li>• <u>audit, review and quality management</u> of grant administration and assessment processes that are precedent setting, or controversial or lead to major changes. <i>[For routine and periodic audit, review and quality management that are not precedent setting, nor controversial and do not lead to major changes, use class 21811.]</i></li> </ul>	Retain as national archives
21811	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>• <u>appeals</u> and <u>reviews</u> of grant decisions on eligibility and application assessment grounds, including appeals relating to the grants process made to the Federal Court, the Commonwealth Ombudsman and to the agency's Internal Decisions Review Committee. Excludes appeals that are controversial, set precedent or lead to change of agency policy. Records include; notice of appeal; grounds of appeal; Appeal Brief; agenda and minutes of review; acknowledgement to appellant; appeal decision; notice to appellant of decision; <i>[For appeals and requests for reviews of grant decisions that are controversial, set precedent, or lead to change of policy, use class 21810.]</i></li> <li>• records documenting any <u>cases</u> where after the approval of the project the funding recipients are not able to finalise the project. Records include; applications and application support material</li> </ul>	Destroy 10 years after last action

## GRANTS ADMINISTRATION AND ASSESSMENT

Class No (cont)	Description of records	Disposal action
	<p>such as curriculum vitae, references and testimonials, artistic proposals; assessments of applicants' eligibility and notifications and feedback to applicants; contracts signed with successful applicants; project audits, acquittal reports and acquittal support material; financial reports, budgets, program and budget revisions and risk plans; records of un-acquitted monies requested and paid;</p> <ul style="list-style-type: none"> <li>• drafts of <u>reports</u> generated by the agency regarding grants administration and assessment matters, including statutory reporting, reports on expenditure on grants and grant commitments, statistical reports and reports on program performance;</li> <li>• records documenting the <u>audit, review and quality management</u> of grants administration and assessment processes that are not precedent setting, nor controversial, and do not lead to major changes. Records include establishment of review, review planning and final review reports; <i>[For audits, reviews and quality management that are precedent setting, or controversial or lead to major changes, use class 21810.]</i></li> <li>• records documenting <u>internal requests</u> by senior staff concerned in a grant decision, members of the Governing Body, and members of arts bodies or peers. These requests are to rescind a decision to approve a grant where the project outcomes might not comply with all applicable laws or could reasonably be deemed to bring the agency into disrepute. Records include initial request and any supporting documentation, consideration of the request by Governing Body or its delegate, final decision on the request. <i>[For requests to rescind grant decisions that are controversial, set precedent, or lead to change of policy, use class 21810.]</i></li> </ul>	
21812	<p>Records documenting:</p> <ul style="list-style-type: none"> <li>• <u>unsuccessful applications</u> for grants funding. Includes; applications; artistic proposals; applicant curriculum vitae; testimonials/references; financial information; risk plans; assessments of applicant eligibility; registration decisions; notifications and feedback to the applicant;</li> <li>• <u>assessment</u> of requests to submit applications outside published closing dates on exceptional grounds such as terminal or debilitating illnesses or where the application is for funding significant international activities. Records include; request to submit an out-of-time application; application; supporting documentation; application decision; notification and feedback to applicant; <i>[For requests to submit a grant application out of time that results in approved and acquitted applications for funding, use class 21810.]</i></li> </ul>	Destroy 3 years after last action
21813	<p>Records documenting <u>grant applications</u> that are deemed ineligible or are <u>withdrawn</u> by the applicant. Records include; application; support material such as curriculum vitae, references and testimonials, artistic proposals; assessment of applicant eligibility; notice to the applicant of their ineligibility; advice to applicants providing feedback; basis of withdrawal.</p>	Destroy 1 year after last action

## GRANTS ADMINISTRATION AND ASSESSMENT

Class No	Description of records	Disposal action
21814	<p>Records documenting routine operational tasks supporting the core business; and Grant Administration and Assessment activities other than those covered in classes 21810 to 21813 including:</p> <ul style="list-style-type: none"><li>• <u>complaints</u> by members of the public and applicants about the process of administering grants funding programs, including grant applications for payments, loans, awards, residencies and scholarships; <i>[For matters that proceed to a formal appeal, use class 21811].</i></li><li>• <u>the development and issue of grant program information</u> to current and prospective applicants. Includes: advertisements developed for the purpose of inviting applications; the organisation and holding of information sessions to publicise arts funding programs; advertising campaigns for the purpose of soliciting expressions of interest from arts organisation in hosting or supporting government programs (e.g. for hosting artist in residence programs); presentations made to existing and prospective applicants e.g. closing dates; public briefings focus groups, marketing, and media liaison; <i>[For records documenting the advertising of the Australia Council as a whole, use AFDA/AFDA Express – COMMUNITY RELATIONS.]</i></li><li>• the handling of <u>enquiries</u> and requests for information from the public or government organisations relating to arts funding services, including grants, loans, awards, residencies and scholarships; and</li><li>• the <u>development, review of proforma, guidelines, and policies</u>, including templates for matters such as funding agreements <i>[For final or major drafts documenting the development and establishment of administrative grant management policies, procedures, guidelines and code of conduct, use class 21810.]</i></li></ul>	Destroy 7 years after last action