



Australian Government

National Archives of Australia

Records Authority

2011/00001286

**Australian Learning and Teaching
Council Limited**

*Facilitate Learning & Teaching Initiatives
and
Funding Administration*

May 2011

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INTRODUCTION

The Australian Learning and Teaching Council Limited (ALTC) and the National Archives of Australia have developed this Records Authority to set out the requirements for keeping or destroying records for the two core business areas of Facilitate Learning & Teaching Initiatives and Funding Administration. It represents a significant commitment on behalf of Australian Learning and Teaching Council Limited to understand, create and manage the records of its activities.

This Authority is based on the identification and analysis of the business of Australian Learning and Teaching Council Limited. 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 Australian Learning and Teaching Council Limited 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 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.
2. 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.
3. The Normal Administrative Practice (NAP) provision of the *Archives Act 1983* 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 Records 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
4. 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 Australian Learning and Teaching Council Limited 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.
5. In general, retention requirements indicate a minimum period for retention. The Australian Learning and Teaching Council Limited 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 Australian Learning and Teaching Council Limited believes that its accountability will be substantially compromised because a retention period or periods are not adequate, it should contact the National Archives for review of the retention period.

6. 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
7. 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.
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 for public access including those records that remain in agency custody.
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 Australian Learning and Teaching Council Limited 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

Tel: (02) 6212 3610

Parkes ACT 2600

Fax: (02) 6212 3989

PO Box 7425

Email: recordkeeping@naa.gov.au

Canberra Mail Centre ACT 2610

Website: www.naa.gov.au

AUTHORISATION

RECORDS AUTHORITY 2011/00001286

Person to whom notice of authorisation is given:

Dr Carol Nicoll PSM
Chief Executive Officer
Australian Learning and Teaching Council Ltd
Level 14, Centennial Plaza Building C
300 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:

- Facilitate Learning and Teaching Initiatives
- Funding Administration

This authority 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



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

Date of issue:

2 May 2011

FACILITATE LEARNING AND TEACHING INITIATIVES

The core business of working with eligible higher institutions, discipline groups and individuals through collaboration, coordination and commissioning of projects, to address national learning and teaching priorities. Includes developing policies and policy advice on learning and teaching issues to inform the sector and government, defining and developing standards and benchmarks, developing and disseminating resources, creating development and networking opportunities and promoting and disseminating innovations. Also includes administering the engagement and management of discipline scholars. Excludes the deliberations of the Board and Standing Committees.

The core business includes such activities as:

- developing policies and policy advice;
- appointing and developing agreements with discipline scholars;
- developing agreements with national and peak bodies and other stakeholders;
- project planning;
- commissioning projects;
- managing steering groups, reference groups, sub committees and meetings;
- collaborating with the academic community and national and international partners;
- developing strategies to facilitate information exchange and networking;
- providing development and networking opportunities for academics and professional higher education staff (eg arranging forums, conferences and professional development programs);
- reporting, including progress and final reports;
- receiving final outcomes from discipline scholars;
- reviewing and evaluating projects; and
- promoting and disseminating information projects, standards and benchmarks.

For records of the ALTC Board and Standing Committees, use GOVERNING BODIES.

For managing award, fellowship and grant schemes, use FUNDING ADMINISTRATION.

For strategic planning of facilitated learning and teaching initiatives, use AFDA/AFDA EXPRESS - STRATEGIC MANAGEMENT.

For publishing ALTC publications, use AFDA/AFDA EXPRESS - PUBLICATION.

For developing and managing the ALTC website, use AFDA/AFDA EXPRESS - PUBLICATION.

For providing technical and administrative support for the website, use AFDA/AFDA EXPRESS - TECHNOLOGY & TELECOMMUNICATIONS.

For managing financial transactions supporting facilitated learning and teaching initiatives, use AFDA/AFDA EXPRESS - FINANCIAL MANAGEMENT.

| Class No | Description of records | Disposal action |
|-----------------|---|-----------------------------|
| 21941 | <p>The following significant records documenting national projects:</p> <ul style="list-style-type: none"> • learning and development policies and policy advice; • case files for commissioned projects including applications, agreements, assessments and management documentation; • project outcomes (includes reports on national projects including assessments, standards and benchmarking; literature reviews and reports on symposiums, forums and workshops); • major speeches of academics and higher education staff; and • final reports, reviews and evaluations of learning and development initiative projects. | Retain as national archives |

FACILITATE LEARNING AND TEACHING INITIATIVES

| Class No | Description of records | Disposal action |
|-----------------|---|--|
| 21942 | Records documenting: <ul style="list-style-type: none">• routine operational administrative tasks supporting the core business; and• routine core business activities, other than those covered in class 21941 | Destroy 7 years after action completed |

FUNDING ADMINISTRATION

The core business of providing funding to recognise and support outstanding teaching and learning practices in higher education through awards, fellowships, grants and to disseminate outcomes. Includes developing policies, procedures and guidelines for funding schemes and programs and managing nomination and application processes. Excludes the deliberations of the Board and Standing Committees.

The core business includes activities such as:

- developing funding policies and criteria;
- developing funding eligibility and assessment guidelines and procedures;
- providing advice on nomination and application processes;
- inviting and appointing suitably qualified assessors of nominations and applications;
- promotion, receipt and assessment of nominations to bestow awards and citations;
- promotion, receipt and assessment of nominations for fellowship funding;
- promotion, receipt and assessment of applications for grant allocations;
- promotion, receipt and assessment of applications to sponsor attendance at conferences;
- providing advice to the Board/Standing Committee on applications and nominations;
- notifying unsuccessful applicants and providing feedback to individuals and institutions;
- advising and managing successful applications and nominations, including receipt of final grant and fellowship outcomes and reports;
- entering into funding agreements;
- assessment reporting on completed projects and programs;
- managing conferring ceremonies;
- supporting presentations at conferences to disseminate outcomes of projects;
- fund acquittal and winding-up tasks;
- auditing; and
- evaluating and reviewing the core business, schemes and programs.

For activities of the ALTC Board, use GOVERNING BODIES.

For advice provided to the ALTC Board, use GOVERNING BODIES.

For activities of the ALTC Standing Committees established by the Board to oversee major schemes and programs, use AFDA/AFDA EXPRESS - STRATEGIC MANAGEMENT.

For the commissioning of projects on emerging issues of national importance outside the grant and fellowship schemes, use FACILITATE LEARNING AND TEACHING INITIATIVES.

For the payment of money for citations, awards, fellowships, grants and support to attend conferences and payment of honorarium payments to assessors, use AFDA/AFDA EXPRESS - FINANCIAL MANAGEMENT.

FUNDING ADMINISTRATION

| Class No | Description of records | Disposal action |
|----------|--|---|
| 21938 | <p>The following significant records documenting the core business:</p> <ul style="list-style-type: none"> • funding policies, criteria, procedures and guidelines; • summary records of all nominations, applications and funding decisions (both successful and unsuccessful); • programs and photographs of conferring ceremonies (one copy); • final fellowship and grant project reports, including copies of project outcomes; • assessment reports for completed projects and programs sent to the Minister, relevant government agencies and educational institutions; • major reviews and evaluations of the core business and its projects and programs. <p><i>[For records documenting transfers of funds and verifications of receipt of funds, use AFDA/AFDA EXPRESS - FINANCIAL MANAGEMENT</i></p> <p><i>For complete nomination and application documentation for successful candidates, use FUNDING ADMINISTRATION – Class 21940.</i></p> <p><i>For complete nomination and application documentation for unsuccessful candidates, use FUNDING ADMINISTRATION – Class 21939.</i></p> <p><i>For advice received and provided to the Minister on operations (ie other than assessment reports, but including quarterly reports) and policy matters, use AFDA/AFDA EXPRESS - GOVERNMENT RELATIONS.]</i></p> | Retain as national archives |
| 21939 | Unsuccessful applications and supporting documentation. | Destroy 2 years after last action |
| 21940 | <p>Records documenting:</p> <ul style="list-style-type: none"> • routine operational administrative tasks supporting the core business; and • routine core business activities, other than those covered in classes 21938 and 21939. | Destroy 7 years after end of financial year audit |