



Australian Government

National Archives of Australia

Records Authority
2011/00324802

INDIGENOUS FUNDING AND TRAINING

Indigenous Grant and Loan Funding
Indigenous Training

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June 2012

CHANGE HISTORY

Dates and Changes

Each entry in this table has been authorised under the *Archives Act 1983*.

Date	Changes
6 January 2016	The Authorisation page in Record Authority 2011/00324802 has the insertion of: 'and other institutions to whom the Archives subsequently issues this Authority'.

CONTENTS

CHANGE HISTORY	2
CONTENTS	3
INTRODUCTION	4
APPLICATION OF THIS AUTHORITY	4
CONTACT INFORMATION	5
AUTHORISATION	6
INDIGENOUS GRANT AND LOAN FUNDING	7
INDIGENOUS TRAINING	10

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INTRODUCTION

The National Archives of Australia has developed this Records Authority to set out the requirements for keeping or destroying records for core business areas of the agencies named on the authorisation page of this authority. The core business areas covered are Indigenous Grant and Loan Funding and Indigenous Training.

This Authority is based on the identification and analysis of the business of managing Indigenous specific business. It takes into account legal and organisational records management requirements, and the interests of stakeholders, agencies 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 those agencies to whom it is issued 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:

- Aboriginal and Torres Strait Islander Commission – Central Office RDA 509 (1991)
- Aboriginal Development Commission Central Office RDS 509 (1988)
- Aboriginal and Torres Strait Islander Commission State and Regional Offices RDA 1112 (1994)

The superseded RAs cannot be used to sentence records after the date of issue of this Authority.

This authority partially supersedes:

- Department of Aboriginal Affairs Central Office RDA 605 (1989)
- Aboriginal Torres Strait Islander Commission (ATSIC) Central Office RDA 690 (1990)
- Aboriginal and Torres Strait Islander Commission – Grants Administration State and Regional Offices RDA 729 (1991)

2. This Authority is issued to several agencies with a responsibility for managing records of Indigenous specific business. Other agencies which manage Indigenous specific business, including legacy records, can apply to the Archives to use the Authority.

3. This Authority is to be used to determine how long records must be kept. Records are matched to the relevant core business and records class in the Authority.

- Where the minimum retention period has expired and the records are not needed for agency business they should be destroyed as authorised in this Authority.
- Records that have not reached the minimum retention period must be kept until they do.
- Records that are identified as Retain as National Archives (RNA) are to be transferred to the National Archives of Australia for preservation.

4. 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;
- General Records Authority (31) For source (including original) records that have been copied, converted or migrated.

5. 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

6. Records that are reasonably likely to be needed as evidence in a current or future judicial proceeding or are subject to a request for access under the *Archives Act 1983*, the *Freedom of Information Act 1982* or any other relevant Act must not be destroyed until the action has been completed.
7. The application of this authority will be affected by disposal freezes that relate to records affecting the rights and entitlements of Aboriginal and Torres Strait Islander people. Further information about disposal freezes and whether they affect the application of this Authority is available from the National Archives website at www.naa.gov.au.
8. 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. Agencies 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.
9. In general, retention requirements indicate a minimum period for retention. Agencies 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 an agency 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.
10. Records coming within 'Retain as national archives' classes in this Authority have been determined to be part of the archival resources of the Commonwealth under section 3C of the *Archives Act 1983*. The determination of Commonwealth records as archival resources of the Commonwealth obliges agencies to transfer the records to the National Archives when they cease to be current and, in any event, within 15 years of the records coming into existence, under section 27 of the *Archives Act 1983*.
11. 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.
12. 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.
13. Advice on how to use this Authority is available from your agency's records manager. If there are problems with the application of the Authority that cannot be resolved, please contact the National Archives.

CONTACT INFORMATION

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

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

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Email: recordkeeping@naa.gov.au
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AUTHORISATION

RECORDS AUTHORITY 2011/00324802

Person to whom notice of authorisation is given:

Commonwealth agencies responsible for Indigenous specific funding and training:

Indigenous Business Australia

The Department of Families, Housing, Community Services and Indigenous Affairs

The Department of Education, Employment and Workplace Relations

Aboriginal Hostels

and other institutions to whom the Archives subsequently issues this authority.

Purpose:

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

Determines records classed as 'Retain as national archives' in this Records Authority to be part of the archival resources of the Commonwealth under section 3C of the *Archives Act 1983*.

Application:

All core business records relating to Indigenous Grant and Loan Funding, Indigenous Training.

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:

June 2012

David Fricker

Director-General

National Archives of Australia

INDIGENOUS GRANT AND LOAN FUNDING

The core business of managing and administering grant and loan funding programs to enable the delivery of Indigenous initiatives, programs and services. It includes developing frameworks, policies, plans, procedures and criteria; consulting with stakeholders; calling for and assessing applications; and administering grants and loans, including scholarships. It includes promoting and advertising the programs, developing guidelines for applicants, reporting on progress and final program performance evaluation and review. It also includes managing default loans and appeal processes. Excludes equity and investment management and the management of businesses operated directly by the agency as commercial entities, but includes grant and loan funding for programs and projects carried out by those businesses e.g. employment based training programs. Also excludes the acquisition of land but includes loans for land management activities.

The core tasks associated with managing grants include:

- receiving and acknowledging applications and nominations;
- processing and assessing applications and nominations;
- advising applicants of assessment outcomes;
- entering into grant agreements;
- monitoring performance;
- managing grant acquittal processes;
- managing debt recovery and fraud;
- reporting on individual grants; and
- managing appeals.

The core tasks associated with managing loans include:

- maintaining a register of names of people interested in taking out a loan;
- advising client when funding becomes available;
- receiving loan applications;
- assessing documentation for completeness;
- assessing applications against criteria;
- approving loans;
- receiving the signed loan contract and mortgage documents;
- receiving transfer of settlement documents;
- registering ownership at state/territories title office;
- arrangement of payment to vendor;
- managing loan repayments;
- managing default payments and foreclosure;
- approving or declining the write-off of a loan or the waiver of the recovery of an amount due under a loan
- following mortgage repayments, filing a certificate of release with the title office.

The performance of the core business is supported by routine administrative tasks such as:

- preparing and presenting addresses;
- providing and receiving advice;
- auditing;
- managing committees and meetings;
- delegating powers and authorising actions;
- developing procedures;

INDIGENOUS GRANT AND LOAN FUNDING

- planning and managing risks; and
- creating and managing summary records

For Boards who have responsibility for, or oversight of, grant and loan programs use, General Records Authority 27 GOVERNING BODIES.

For running workshops to assist people to explore and develop business ideas, use INDIGENOUS TRAINING.

For managing financial transactions relating to loans and grants, use AFDA/AFDA Express – FINANCIAL MANAGEMENT.

For the management of data, use AFDA/AFDA Express – INFORMATION MANAGEMENT

Class no	Description of records	Disposal action
34858	<p>The following significant records:</p> <ul style="list-style-type: none"> • framework and high level management records including grant and loan policies and strategic plans; • assessment criteria; • final versions of minutes and supporting documents tabled at meetings in which funding decisions are made; • reports on consultations with Indigenous communities; • major datasets relating to grant and loan management; • reviews, evaluations and reports of grant and loan programs; and • summary records and statistical reports of successful and unsuccessful grant and loan applications. • Case records for successful and unsuccessful grant and loan applications that document: <ul style="list-style-type: none"> • a significant amount of genealogical information about Indigenous applicants; • a significant amount of information on Indigenous communities; • business projects that have had a marked social or economic impact on Indigenous communities; and • appeals that influenced the development of policies and procedures. <p><i>[For other case records, use INDIGENOUS GRANT AND LOAN MANAGEMENT – Class 34867 and 35346.]</i></p>	Retain as national archives
34860	<p>Signed contracts and mortgages under seal prior to 15 November 2005 and supporting records: Western Australia.</p> <p><i>[For agreements not signed under seal, use INDIGENOUS GRANT AND LOAN FUNDING – Class 35346.]</i></p>	Destroy 21 years after completion or other termination of contract/mortgage
34863	<p>Signed contracts and mortgages under seal and supporting records: Victoria and South Australia.</p> <p><i>[For agreements not signed under seal, use INDIGENOUS GRANT AND LOAN FUNDING – Class 35346.]</i></p>	Destroy 15 years after completion or other termination of contract/mortgage
34864	<p>Signed contracts and mortgages under seal and supporting records; New South Wales, Western Australia (from 15 November 2005), Queensland, Australian Capital Territory, Northern Territory and Tasmania.</p> <p><i>[For agreements not signed under seal, use INDIGENOUS GRANT AND LOAN FUNDING – Class 35346.]</i></p>	Destroy 12 years after completion or other termination of contract/mortgage
34867	<p>Unsuccessful grant and loan applications not covered in class 34858.</p>	Destroy 1 year after action completed

INDIGENOUS GRANT AND LOAN FUNDING

Class no	Description of records	Disposal action
35346	Records documenting: <ul style="list-style-type: none"><li data-bbox="343 376 1268 409">• routine operational administrative tasks supporting the core business; and<li data-bbox="343 421 1268 472">• core business activities, other than those covered in classes 34858, 34860, 34863, 34864, and 34867.	Destroy 7 years after action completed

INDIGENOUS TRAINING

The core business of delivering training to Indigenous people through training programs designed to enhance skills and knowledge for Indigenous individuals, communities and organisations. Includes developing training policies and planning initiatives, consulting with community groups to ensure training is culturally appropriate in design and is meeting training needs. Also includes developing and delivering training sessions including workshops and seminars, on-the-job training, providing mentoring and coaching to individuals, monitoring performance and evaluating and reviewing training programs. Covers supporting the delivery of accredited courses i.e. competency courses recognised in the Australian Government Framework. Includes promotion and travel and accommodation arrangements for participants, and the delivery of non accredited courses on work site locations and off-site. The core business does not include the registration of an agency as a Registered Training Organisation (RTO), the procurement of RTO services, nor negotiating and managing partnership agreements with State and Territory governments for the delivery of training. Also excludes the training of staff of agencies delivering services to Indigenous communities.

The core tasks associated with developing Indigenous training frameworks include:

- developing framework or strategic training policies;
- developing curriculum for in-house courses and workshops;
- developing training material;
- translating training material (where English is a second language);
- developing communication strategies;
- testing and piloting training packages;
- strategic planning for course delivery;
- reviewing and evaluating agency training policies and programs; and
- assessing and reviewing national courses such as the Innovation and Business Skills Australia accredited courses.

The core tasks associated with delivering Indigenous training courses include:

- promoting courses and answering enquiries;
- receiving and managing registrations;
- arranging travel, accommodation, equipment hire and catering;
- seeking feedback and evaluations of courses;
- recording course participation and assessments;
- awarding certificates and statements of attainments; and
- reviewing, evaluating and reporting on courses (includes statistical summaries of attendance).

The performance of the core business is supported by routine administrative tasks such as:

- preparing and presenting addresses;
- organising and attending conferences and forums;
- managing committees and meetings;
- auditing;
- delegating powers and authorising actions;
- developing procedures; and
- planning and managing risks.

For negotiating and entering into partnership agreements to deliver training with State and Territory governments, use AFDA/AFDA Express–GOVERNMENT RELATIONS.

For submissions made to government on Indigenous training, use AFDA/AFDA Express – GOVERNMENT RELATIONS.

INDIGENOUS TRAINING

For the management of scholarship programs for Indigenous people, use INDIGENOUS GRANT AND LOAN FUNDING.

For training agency staff, use AFDA/AFDA Express– STAFF DEVELOPMENT.

For tendering and acquiring the services of contractors and consultants to develop and deliver training sessions e.g. Registered Training Organisations and Group Training Organisations, use AFDA/AFDA Express – PROCUREMENT.

For publishing training materials, use AFDA/AFDA Express – PUBLICATION.

For financial transactions supporting the core business, use AFDA/AFDA Express – FINANCIAL MANAGEMENT.

Class no	Description of records	Disposal action
35342	<p>The following significant records:</p> <ul style="list-style-type: none"> • framework records which guide and direct the overall management of the core business. Includes training policies, reviews and evaluations of training programs; • records documenting conferring special student awards or prizes; • final versions of training materials and translations for courses presented in Indigenous languages; • reports on consultations with Indigenous communities; and • reports on training programs with a high level of cultural or historical significance or training programs which had a marked impact on Indigenous disadvantage. Includes audio visual materials. <p><i>[For reviews and reports on individual courses, use INDIGENOUS TRAINING – Class 35345.]</i></p>	Retain as national archives
35343	Records of students completing nationally recognised (accredited) training.	Destroy 30 years after action completed
35344	<p>Records supporting the administration of courses:</p> <ul style="list-style-type: none"> • course or workshop registrations; • enquiries training courses; • travel and accommodation arrangements. 	Destroy 1 year after action completed
35345	<p>Records documenting:</p> <ul style="list-style-type: none"> • routine operational administrative tasks supporting the core business; and • core business activities, other than those covered in classes 35342, 35343 and 35344. 	Destroy 7 years after action completed