



Australian Government

Records Authority 2012/00305243

Office of the Australian Information Commissioner

Awareness and Education Compliance Management Information Policy Review and Development International Relations Reviews and Investigations

As amended by 2015/00609396 for the Office of the Australian Information Commissioner

Change History

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

Introduction, application notes and authorisations are not part of this document and can be viewed in the respective Records Authority (as issued). Please contact the National Archives' Agency Service Centre for further information.

Date	Changes
	2015/00609396 amended 2012/00305243 as follows:
5 April 2016	 COMPLIANCE MANAGEMENT – Classes 61981, 61982 and 62029 replace class 61067 and 61068.
INFORMATION REVIEW POLICY AND DEVELOPMENT – Class and 61984 replace classes 61070 and 61071 respective	
	• REVIEW AND INVESTIGATION – Class 62030 replaces class 61075.
	 REVIEW AND INVESTIGATION – Classes 61985 and 61986 replace class 61076.
	• REVIEW AND INVESTIGATION – Class 61987 replaces class 61077.
	 REVIEW AND INVESTIGATION – new activity of receiving and handling data breach notifications has been added.
	Classes listed as replaced cannot be used after 5 April 2016 and have been removed from this consolidated records authority.



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CONTENTS

	5
AWARENESS AND EDUCATION	6
COMPLIANCE MANAGEMENT	
INFORMATION POLICY REVIEW AND DEVELOPMENT	11
INTERNATIONAL RELATIONS	14
REVIEWS AND INVESTIGATIONS	16

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

AWARENESS AND EDUCATION

The core business of promoting awareness and providing education relating to information access and privacyrelated laws, rights and responsibilities, and the promotion of a 'pro-disclosure culture' across government. Includes the delivery of speeches, the development and delivery of education programs, training presentations, as well as promotional campaigns and events, such as Privacy Awareness Week. Also includes the agency's promotion of and education in, privacy related laws to the private sector.

Specific activities supporting the awareness and education core business include:

- drafting and delivering addresses;
- establishing and managing agreements;
- establishing and managing awareness and education-related committees and working groups;
- developing, delivering and evaluating education programs including training presentations;
- planning and presenting promotional campaigns, events and conferences;
- developing and reviewing awareness and education policies, procedures and guidelines;
- media relations;
- administering the national network of Information Contact Officers (ICON);
- liaising and consulting with government and non-government stakeholders;
- contributions to external publications; and
- preparing and managing submissions to the Minister and external bodies.

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

 arranging training presentations, promotional events and conferences hosted by the agency, including venue and catering bookings.

For the development of procedures and guidelines to assist external stakeholders with the adoption of policies, use INFORMATION POLICY REVIEW AND DEVELOPMENT.

For the receipt and provision of advice, and the establishment and management of agreements with international stakeholders, use INTERNATIONAL RELATIONS.

For the agency's conduct of investigations, including agency-initiated/own-motion investigations, or those investigations conducted following the receipt of complaints lodged under relevant legislation, use REVIEWS AND INVESTIGATIONS.

For managing the activities of advisory bodies established to advise on strategies, plans, and associated core business activities, use ADVISORY BODIES.

For media interviews concerning freedom of information or privacy-related initiatives, or the development and release of related strategies and reports, handling public reaction to freedom of information or privacy-related functions or services, use AFDA/AFDA EXPRESS - COMMUNITY RELATIONS.

For the agency's participation in formal inquiries into Freedom of Information (FOI) or privacy-related services, and for the agency's annual reporting requirements use AFDA/AFDA EXPRESS - GOVERNMENT RELATIONS.

For the issue, receipt and assessment of tenders and the management of the performance of external service providers, such as consultants, trainers or researchers, use AFDA/AFDA EXPRESS - PROCUREMENT.

For the production and distribution of published strategies, plans or reports use AFDA/AFDA EXPRESS - PUBLICATION.

For arrangements relating to the management of the agency's databases, use AFDA/AFDA EXPRESS - TECHNOLOGY & TELECOMMUNICATIONS.

AWARENESS AND EDUCATION

Class no	Description of records	Disposal action
61062	 Records documenting : final versions of addresses (speeches) made by the Minister or senior Agency officers at major functions to promote information policy, FOI or privacy-related laws, reforms, rights or responsibilities; intergovernmental agreements for the provision of awareness and education services, including agreements with agencies of other governments and Memoranda of Understanding. Includes their negotiation, establishment, maintenance and review; high-level intergovernmental or inter-agency committees and working groups, and/or high-level internal committees supporting information policy, FOI or privacy functions where the agency is the lead agency, provides secretariat support or makes a significant contribution, e.g. Privacy Authorities Australia Committee. Includes documents establishing the committee, final versions of minutes, reports, recommendations and directions, briefing and discussion papers; development and review of policy supporting the awareness and education core business; master set of media releases; and submissions made to the Minister and external bodies on matters relating to information policy, FOI or privacy-related awareness and education. 	Retain as national archives
61063	 Records documenting: routine liaison and consultation with government and non-government stakeholders, which does not result in alliances or partnerships. Includes survey instruments; media arrangements, including issue of media releases, organising interviews, and provision of assistance to support the media coverage promoting the agency's initiatives, services, or information policies; administering the national network of Information Contact Officers (ICON) for information policy, FOI and privacy-related matters; delivering education programs and arranging training presentations for government and private sector stakeholders; arranging promotional events, conferences or other initiatives hosted by the agency; and developing and reviewing the agency's internal procedures and guidelines. 	Destroy 3 years after action completed
61064	 Records documenting: routine operational administrative tasks supporting the core business; and awareness and education activities other than those covered in class 61062 and 61063. 	Destroy 7 years after action completed

COMPLIANCE MANAGEMENT

The core business of monitoring and taking action to ensure compliance with statutory obligations under related legislation such as the Freedom of Information Act 1982 and the Privacy Act 1988, and in accordance with regulations and standards, administered by the agency. Includes the agency's monitoring of the Information Publication Scheme (IPS) established within Australian Government agencies.

Specific activities supporting the compliance management core business include:

- receipt and provision of advice;
- establishing and managing agreements;
- planning and conducting compliance audits;
- business privacy registration;
- managing committees and working groups;
- liaising with stakeholders;
- developing and implementing internal policies, procedures and associated guidelines;
- reviewing FOI compliance plans and programs; and
- monitoring and reporting on compliance.

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

- responding to general enquiries regarding the core business;
- undertaking general administrative arrangements, such as meeting room bookings and catering arrangements; and
- reporting on the operation of the agency's inquiry service.

For the provision of education in, and awareness of, freedom of information and privacy-related laws, rights, responsibilities or programs, use AWARENESS AND EDUCATION.

For the agency's conduct of investigations, including agency-initiated/ own-motion investigations including data breach notifications that cause own motion investigations, or those investigations conducted following the receipt of complaints lodged under relevant legislation, and for the conduct of merit reviews of Australian Government, use REVIEWS AND INVESTIGATIONS.

For developing and implementing whole of government policies, procedures and associated guidelines use INFORMATION POLICY REVIEW AND DEVELOPMENT.

For handling routine public enquiries, including written response to phone enquiries about the agency's services or programs, use AFDA/AFDA EXPRESS - COMMUNITY RELATIONS.

For the agency's participation in formal inquiries into FOI or privacy-related activities and submissions to Government, use AFDA/AFDA EXPRESS - GOVERNMENT RELATIONS.

For litigation and administrative review of the exercise of the agency's powers, use AFDA/AFDA EXPRESS - LEGAL SERVICES.

For the issue, receipt and assessment of tenders and the management of the performance of external service providers, such as consultants, use AFDA/AFDA EXPRESS - PROCUREMENT.

For the production and distribution of published reports or strategies, use AFDA/AFDA EXPRESS - PUBLICATION.

COMPLIANCE MANAGEMENT

Class no	Description of records	Disposal action
61065	Records documenting:the maintenance of a summary register of businesses that have opted	Retain as national archives
	 The maintenance of a summary register of businesses that have opted into coverage by the National Privacy Principles (i.e. for business privacy registration); 	
	 intergovernmental agreements for the provision of compliance audits, including agreements with agencies of other governments and Memoranda of Understanding. Includes their negotiation, establishment, maintenance and review; 	
	 conducting compliance audits, where significant corrective action is identified. Excludes audit planning records which are covered by class 61066; 	
	• compliance monitoring cases that result in controversy, significant community or political sensitivity, intense media interest, significant corrective action, or major changes to policy; includes data breach notifications that cause the initiation of an own motion investigation and final reports to the Minister;	
	 final versions of internal policies supporting the core business; 	
	 intergovernmental or inter-agency committees and working groups, where the agency is the lead agency, provides secretariat support or makes a significant contribution, supporting information policy, FOI or privacy functions. Includes records establishing the committee, final versions of minutes, reports, recommendations and directions, briefing and discussion papers; 	
	 master sets of agency manuals, handbooks, directives, and similar reference materials generated by the agency detailing procedures supporting the core business; and 	
	 long range reviews of compliance plans and programs such as the 5 yearly review of the IPS within Australian Government agencies. 	
61066	Records documenting:	Destroy 7 years
	 developing and establishing internal policy supporting the core business. Includes stakeholders' comments and drafts, but excludes final policies that are covered by class 61065; 	after superseded
61981	Records documenting:	Destroy 3 years
	 business privacy registration requests from small business operators to be treated as an organisation for the purposes of legislation (currently Privacy Act 1988) and the rescinding of such requests. Refer to class 61065 for the summary register; 	after action completed
	 liaising with stakeholders regarding operational compliance management matters; 	
	 monitoring agencies' compliance with the compilation of Personal Information Digests. Includes issuing of reminders to agencies and associated correspondence; 	
	 development of procedures and associated guidelines. Excludes master sets of procedures and associated guidelines which are covered by class 61065; 	
	• reports documenting operation of the inquiry service. Includes records	

COMPLIANCE MANAGEMENT

Class no	Description of records	Disposal action
	of numbers, classes and content of calls received and trends over time. Includes reports development; and	
	 general administrative arrangements, such as meeting room bookings and catering arrangements. 	
61982	Records documenting general enquiries relating to the core business.	Destroy 1 year after action completed
62029	Records documenting:	Destroy 7 years
	 routine operational administrative tasks supporting the core business; and 	after action completed
	• compliance management activities other than those covered in classes 61065, 61066, 61981 and 61982.	

INFORMATION POLICY REVIEW AND DEVELOPMENT

The core business of developing, reviewing, revising and distributing information policies for adoption across government, and where applicable, the private sector. Includes the analysis, interpretation and review of privacy and freedom of information-related legislation.

Information Policy Review and Development includes the following key activities:

- receipt and provision of advice;
- establishing and managing agreements;
- authorisation for policies and codes;
- establishing and managing committees and taskforces set up to discuss, manage and resolve policy issues;
- notifying and consulting with stakeholders;
- making, varying or revoking of legislative instruments;
- maintaining registers;
- developing and issuing policy-related guidelines;
- assessing the impact and risk of policies;
- participation in, and contribution to, inquiries and committees;
- legislative analysis and interpretation;
- producing draft and final policies;
- producing procedures or instructions supporting information policy review and development;
- developing proposals for the formulation of whole-of-government information policies;
- preparing submissions supporting policy development and/or review;
- conducting monitoring of the external environment to identify issues such as those which may have adverse effects on the proper handling of personal information or the public's right of access to documents; and
- reviewing and amending policies and relevant legislation administered by the agency.

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

- producing drafts of documentation;
- distributing policies and policy amendments;
- liaison with stakeholders;
- responding to general enquiries;
- producing plans or schedules; and
- administrative arrangements supporting agency activities.

For the provision of education in, and awareness of, freedom of information and privacy-related laws, rights, policies, responsibilities or programs, use AWARENESS AND EDUCATION.

For the receipt and provision of advice, and the establishment and management of agreements, with international stakeholders, use INTERNATIONAL RELATIONS.

For the agency's conduct of investigations, including agency-initiated 'own-motion' investigations, or those investigations conducted following the receipt of complaints lodged under relevant legislation, use REVIEWS AND INVESTIGATIONS.

For managing the activities of advisory bodies established to advise on policy development, use ADVISORY BODIES.

INFORMATION POLICY REVIEW AND DEVELOPMENT

For handling public reaction to the core business, and scheduling of media interviews concerning the development and/or release of policies, use AFDA/AFDA EXPRESS - COMMUNITY RELATIONS.

For the preparation and passage of legislation through Parliament, participating in government inquiries relating to the core business and the agency's annual reporting requirements, use AFDA/AFDA EXPRESS - GOVERNMENT RELATIONS.

For legal advice given and received on the interpretation of legislation, use AFDA/AFDA EXPRESS - LEGAL SERVICES.

For the production and distribution of published policies, use AFDA/AFDA EXPRESS - PUBLICATION.

For managing the acquisition of goods and services, and tendering and contracting arrangements to support the core business, use AFDA/AFDA EXPRESS - PROCUREMENT.

For the implementation of information management policies within the agency, use AFDA/AFDA EXPRESS – INFORMATION MANAGEMENT.

Class no	Description of records	Disposal action
61069	Records documenting:	Retain as
	 the receipt or provision of Ministerial, head of Agency, intergovernmental or private sector organisation advice. Also includes any legal or precedent-setting advice. Includes policy advice provided by the agency under a Memorandum of Understanding with other agencies; 	national archives
	 intergovernmental agreements, including agreements with agencies of other governments and Memoranda of Understanding. Includes their negotiation, establishment, maintenance and review; 	
	 agreements or Memoranda of Understanding with Commonwealth agencies to provide policy advice including their negotiation, establishment, maintenance and review; 	
	 stakeholder consultations, notifications, committee meetings and working groups, for whole of government, Ministerial, intergovernmental or national information policy development and review. Includes records establishing committees, minutes and other records documenting committee participation by members, results of committee meetings such as reports and recommendations, and supporting documents such as briefing, discussion and issues papers, major drafts and stakeholder comments; 	
	 making, varying or revoking of legislative instruments in accordance with legislation. Includes final instrument, submissions and briefing papers; 	
	 authorisation for policies and codes, including final reports, final decision papers, legal clearances and executive briefs; 	
	 registers such as the Public Interest Determinations register; 	
	 developing information policy-related guidelines for implementation within public sector agencies and private organisations. Includes executive briefs, legal analyses, final versions, major drafts of guidelines, stakeholders' comments, results of consultations, and reports. Excludes routine supporting documentation covered by classes 61070 and 61071; 	
	 impact and risk assessments developed for whole of government or national policy or associated with agreements including Memoranda of Understanding; 	

INFORMATION POLICY REVIEW AND DEVELOPMENT

Class no	Description of records	Disposal action
	 agency participation in, and contribution to, inquiries directly related to the agency's functions. Includes agency statements and submissions, transcripts of oral evidence, and responses to final reports. Excludes supporting documentation such as research papers, which are covered by class 61071; 	
	• legislative analysis and interpretation. Includes final versions of written analyses and interpretations of the application of relevant legislation to agencies, where legal precedents are set or which result in changes to legislation, or where legislative change is proposed or where internal procedure is amended from changed interpretation. Also includes major drafts and stakeholder comments;	
	 high-level reports, documenting new or significant amendments to existing information policy, such as those provided to the Minister. Excludes routine reports which are covered by class 61071; 	
	• agency submissions on information policy or related legislative development and/or review not associated with inquiries directly related to the agency's functions. Includes final versions of submissions (other than Cabinet submissions) and high-level working papers, including major drafts and stakeholder comments, documenting the development of submissions made to ministers and other bodies;	
	 whole-of-government policy proposals. Includes agency position papers, briefing papers and other supporting documentation, major drafts and stakeholder comments; 	
	 final versions of policies, includes major drafts and stakeholder comments; and 	
	• reviews of policies and legislation administered by the agency. Includes review requests, final review reports, major drafts and stakeholder comments, results of meetings and results of external consultation.	
61983	Records documenting general enquiries relating to the core business.	Destroy 1 year after action completed
61984	Records documenting:	Destroy 3 years
	 routine operational administrative tasks supporting the core business; and 	after action completed
	 information policy and review activities other than those covered in classes 61069 and 61983. 	

INTERNATIONAL RELATIONS

The core business of collaborating internationally on information policy, protection and access issues. Includes the business of maintaining and strengthening relationships and strategic alliances with key countries, regions and international agencies and the development of global and regional partnerships, strategies and institutions.

International Relations includes the following key activities:

- preparing and delivering addresses (presentations);
- receipt and provision of advice;
- negotiating and establishing agreements, including joint venture agreements and Memoranda of Understanding;
- managing committees and working groups;
- managing and participating in international conferences;
- liaising with stakeholders;
- managing meetings;
- developing and implementing internal policies and procedures;
- reporting;
- coordination of representatives;
- developing strategies for co-operation; and
- managing visits.

For the development, review and distribution of information policies for adoption in Australia that may have international ramifications, use INFORMATION POLICY REVIEW AND DEVELOPMENT.

For the agency's conduct of investigations, including agency-initiated/own motion investigations, or those investigations conducted following the receipt of complaints lodged under relevant legislation, use REVIEWS AND INVESTIGATIONS.

For handling public reaction to the core business and scheduling of media interviews concerning international relations matters, use AFDA/AFDA EXPRESS - COMMUNITY RELATIONS.

For the agency's planning and presenting of domestic conferences to promote awareness and educate in relation to information access and privacy, use AWARENESS AND EDUCATION.

For participating in government inquiries relating to the core business, use AFDA/AFDA EXPRESS - GOVERNMENT RELATIONS.

Class no	Description of records	Disposal action
61072	Records documenting:	Retain as national archives
	 final versions of addresses (presentations) made by the Minister or senior Agency officers to promote international relations at major public occasions; 	
	 final versions of international co-operation strategies, and receipt or provision of advice provided to Portfolio Ministers, government agencies, and international organisations or governments (including their agencies); 	
	agreements with international stakeholders. Includes:	
	memoranda of understanding;	
	bilateral agreements;	
	cooperative arrangements and other formal agreements; and	
	provision of input on drafting of international	

INTERNATIONAL RELATIONS

Class no	Description of records	Disposal action
	 conventions/agreements; intergovernmental or inter-agency committees and working groups supporting international relations, where the agency is the lead agency, Australian representative, Commonwealth's main representative, provides secretariat support, or makes a significant contribution. Includes records establishing committees, minutes and other records documenting committee participation by members, results of committee meetings such as reports and recommendations, and supporting documents such as briefing, discussion and issues papers; 	
	 high-level meetings held to support the core business of international relations (e.g. intergovernmental meetings, and/or meetings conducted with international organisations, such as those held to discuss information policy and related issues); 	
	 conference proceedings and official reports created for high-level international conferences arranged by the agency; and 	
	 final reports, including program and overseas visit reports, provided to the Minister, Agency Heads and key international relations partners or stakeholders. 	
61073	 Records documenting: development of internal policies and procedures; and administrative arrangements such as those made for international conferences, committees, meetings, etc. Includes venue and catering bookings. 	Destroy 3 years after action completed
61074	 Records documenting: routine operational administrative tasks supporting the core business; and 	Destroy 7 years after action completed
	 international relations activities other than those covered in classes 61072 and 61073. 	

REVIEWS AND INVESTIGATIONS

The core business of carrying out investigations into complaints or at the Commissioner's initiative, and managing enforcement actions in accordance with regulatory authority powers issued under relevant legislation such as the Freedom of Information Act 1982 (FOI Act) or the Privacy Act 1988 (Privacy Act). Includes the agency's review of decisions made by Australian Government agencies or ministers under relevant legislation such as the FOI Act, and the investigation of complaints by individuals about Australian and ACT Government agencies or private sector organisations made under relevant legislation such as the Privacy Act.

Specific activities supporting the Reviews and Investigations core business include:

- conducting merit reviews;
- receipt and provision of advice;
- establishing and managing agreements;
- managing the appeals process;
- authorising delegations of power;
- managing committees or working groups;
- receiving complaints and conducting investigations, including agency-initiated /own-motion investigations, under relevant legislation;
- receiving and handling data breach notifications;
- consulting with stakeholders and/or parties to a complaint or review;
- referring matters to other appropriate agencies, such as the Commonwealth Ombudsman; and
- making determinations and Commissioner's review decisions.

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

- undertaking general administrative arrangements, such as meeting room bookings and catering arrangements;
- receiving and responding to enquiries;
- routine liaison with agencies; and
- drafting and implementing internal procedures.

For the provision of education in, and awareness of, laws, rights and responsibilities, such as those relating to information policy, freedom of information and privacy, use AWARENESS AND EDUCATION.

For the monitoring of compliance under relevant legislation such as the Freedom of Information Act or the Privacy Act, use COMPLIANCE MANAGEMENT.

For the receipt and provision of advice, and the establishment and management of agreements, with international stakeholders, use INTERNATIONAL RELATIONS.

For the agency's participation in formal inquiries into its services, use AFDA/AFDA EXPRESS - GOVERNMENT RELATIONS.

For the design of forms used to lodge: complaints, Commissioner's reviews and enquiries, and extensions of time requests - use AFDA/AFDA EXPRESS - INFORMATION MANAGEMENT.

For the issue of public interest determinations, and temporary public interest determinations, made in accordance with legislation, such as the Privacy Act 1988; and policy development relating to reviews and investigations use INFORMATION POLICY REVIEW AND DEVELOPMENT.

For litigation and other court action, use AFDA/AFDA EXPRESS - LEGAL SERVICES.

For the issue, receipt and assessment of tenders and the management of the performance of external service providers, such as consultants, use AFDA/AFDA EXPRESS - PROCUREMENT.

For the distribution or production of published investigation reports subject to legal deposit requirements with the National Library of Australia, use AFDA/AFDA EXPRESS - PUBLICATION.

REVIEWS AND INVESTIGATIONS

Class no	Description of records	Disposal action
62030	Records documenting:	Retain as
	• advice relating to complaints investigation and/or enforcement matters received or provided to: a Minister, heads of Australian Government agencies and private sector organisations, and intergovernmental agencies. Also includes agency advice relating to:	national archives
	agreements with other governments; or	
	 initial or major improvements to implementation of the Information Publication Scheme or significant changes to an agency's existing IPS plan; any legal or precedent setting advice, and advice which may be used in corporate or government policy decisions; 	
	 agreements including Memoranda of Understanding for the handling of complaint investigations with external government agencies, including other governments. Includes their negotiation, establishment, maintenance and review. Excludes reporting specified in agreements; 	
	 appeals made against decisions relating to reviews and complaints investigations which are controversial, have significant community or political sensitivity, or where precedents are set. Includes appeals to higher authorities such as the Administrative Appeals Tribunal; and 	
	• intergovernmental or inter-agency committees and working groups where the agency is the lead agency or Commonwealth's main representative, or provides secretariat support, or makes a significant contribution, or internal committees that recommend decisions or approve actions such as major process or policy review, supporting the reviews and investigations core business. Includes records establishing committees, minutes and other records documenting committee participation by members, results of committee meetings such as reports and recommendations, and supporting documents such as briefing, discussion and issues papers.	
	Significant investigation case files, including final reports that are:	
	commissioned by a Minister; or	
	 agency-initiated / own motion investigations, or complaints that proceed to full investigation, and; 	
	• the findings identify serious offences, or demonstrate a widespread data-breach, or result in major changes to government policy, or recommend legislative change, or where court orders are issued that relate to the resolution of the complaint or a change in government practice.	
	Commissioner's Determinations, including enforceable Determinations and Commissioner's review decisions, delivered as a result of the agency's conduct of:	
	 merit reviews such as those of FOI decisions made by Australian Government agencies and ministers, and merit reviews of agencies' Privacy Plans; 	
	Privacy Act investigations.	
	Conducting merit reviews, such as those of FOI decisions made by Australian Government agencies and ministers, where the original FOI request was lodged on or after 1 November 2010, and merit reviews of Australian Government agencies' Privacy Plans, that include Federal Court	

Class no	Description of records	Disposal action
	of Australia orders directing an agency or Minister to comply with a decision made by the Commissioner as part of a review. Includes:	
	 submissions and papers provided by parties to a review; results of time extension applications; 	
	Commissioner's orders;	
	Federal Court of Australia orders.	
61985	Records documenting general enquiries relating to the core business.	Destroy 1 year after action completed
61986	All investigation, review and time extension case files not covered in class 61075.	Destroy 2 years after action completed
61987	 Records documenting: routine operational administrative tasks supporting the core business; and reviews and investigations activities other than those covered in classes 62030, 61985 and 61986. 	Destroy 3 years after action completed