



Australian Government



**NATIONAL
ARCHIVES
OF AUSTRALIA**

Records Authority

2017/00015859

**National Disability Insurance
Agency**

***Disability Insurance and Performance (Actuary);
Reviews, Complaints and Feedback; Working with
People with Disabilities and Working with Providers***

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2017



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INTRODUCTION

The National Disability Insurance Agency (NDIA) 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 Disability Insurance and Performance (Actuary), Reviews, Complaints and Feedback, Working with People with Disabilities and Working with Providers. It represents a significant commitment on behalf of NDIA to understand, create and manage the records of its activities.

This authority is based on the identification and analysis of the business of NDIA. It takes into account NDIA's legal and organisational information management requirements, and the interests of stakeholders, NDIA 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 NDIA 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 NDIA.

As changes in circumstances may affect future information 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 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 NDIA 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; and
 - Records that are identified as 'retain as national archives' (RNA) are to be transferred to the National Archives of Australia for preservation.
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;
 - General Records Authority 24 – Records Relating to Data Matching Exercises; and
 - General Records Authority 31 for source (including original) records that have been copied, converted or migrated.
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 Express. The National Archives recommends that agencies develop and implement a NAP 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. 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.
5. Records subject to a disposal freeze must not be destroyed until the freeze has been lifted. 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.
6. 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 NDIA 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.

7. In general, retention requirements indicate a minimum period for retention. The NDIA 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 NDIA 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.
8. 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*.
9. Records in the care of agencies must 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 NDIA's 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 'retain as national archives'.
11. Advice on how to use this authority is available from the NDIA information 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 information management matters, please contact National Archives' [Agency Service Centre](#).

AUTHORISATION

RECORDS AUTHORITY 2017/00015859

Person to whom notice of authorisation is given:

David Bowen
Chief Executive Officer
Level 1,
43-45 Brougham Street
Geelong Victoria

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 Disability Insurance and Performance (actuary); Reviews, Complaints and Feedback; Working With People With Disabilities; and Working With Providers.

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

Teressa Ward
Assistant Director-General
National Archives of Australia

Date of issue:

22 August 2017

DISABILITY INSURANCE AND PERFORMANCE (ACTUARY)

The core business of managing the financial sustainability of the National Disability Insurance Scheme (NDIS) is based on social insurance principles that promote choice and control, as well as equal and active participation of people with disability in the scheme. It is informed by actuarial analysis using mathematical and statistical methods to manage risks to the financial sustainability of the NDIS for the provision for individualised funding of supports and services.

The core activities include:

- developing, implementing and reviewing policies, strategies, plans and programs related to the NDIS;
- collecting, analysing and managing data;
- compliance, monitoring and investigating outcomes according to performance frameworks;
- financial and data analysis;
- projecting estimates of future costs and liabilities;
- providing internal and external information sessions about the development of disability insurance reference packages using actuarial insurance principles;
- developing reference packages to benchmark reasonable and necessary costs for participants with similar characteristics;
- defining and developing modelling schemes;
- analysis, quantifying and forecasting risk;
- monitoring and reporting to governments, the NDIS Board and Advisory Council about the progress and viability of the scheme, including the Sustainability Quarterly Report to the Council of Australian Governments Disability Reform Council; and
- testing the NDIS performance.

The performance of the core business is supported by **general activities** such as:

- giving and receiving advice;
- liaising with stakeholders;
- managing committees and meetings;
- planning;
- developing procedures;
- reviewing and evaluating; and
- making arrangements.

Cross references to other areas of this records authority

For feedback or complaints, use REVIEWS, COMPLAINTS AND FEEDBACK.

Cross references to AFDA Express records authority

For media releases and statements, use COMMUNITY RELATIONS.

For addresses by Portfolio Ministers, agency heads, the Scheme Actuary and releases by the Minister, use COMMUNITY RELATIONS or GOVERNMENT RELATIONS.

For input into the development of legislation and legislative instruments, use GOVERNMENT RELATIONS or STRATEGIC MANAGEMENT.

For payments related to the NDIS, use FINANCIAL MANAGEMENT.

For internal and external audits, use STRATEGIC MANAGEMENT.

Cross references to other records authorities

For the appointment of the Scheme Actuary, use GOVERNING BODIES.

DISABILITY INSURANCE AND PERFORMANCE (ACTUARY)

For reports and recommendations provided by the Scheme Actuary or Reviewing Actuary to the NDIS Board use GOVERNING BODIES.

| Class no | Description of records | Disposal action |
|----------|--|-----------------------------|
| 62260 | <p>Records documenting:</p> <ul style="list-style-type: none"> • advice, reports and briefings provided to governments and other bodies related to actuarial insurance assessment of future liabilities or recording a high level of public interest or controversy resulting in changes to service, supports and eligibility for the NDIS. Includes the Quarterly and Annual Reporting on the Sustainability of the NDIS and the scheme's strategic economic performance and future and supporting records; • developing and reviewing policies for significant disability support programs, support frameworks and strategies related to the financial sustainability of the NDIS, and implementation of the intergovernmental agreements with the States and Territories. Include final research and implementation reports; • finalised standards and benchmarks, including data dictionary, ontology and metadata definitions. Includes research, defining requirements and related terms and conditions for eligibility, such as disability type; • research datasets providing longitudinal statistical analysis capability to enable refinement of the Scheme's reference packages such as benchmarking costs for participants with similar characteristics and to assist with economic forecasts for people with a disability. Includes information about data fields such as data dictionaries; • final reference packages designed to enable monitoring of the financial viability of the scheme; • the development of reference packages. Includes research and statistical analysis using data modelling derived from specific datasets, reference calculators and estimator tools; • high-level internal committees such as the Sustainability Committee of the Board, Data Management Committee and external committees and working groups where the agency is the lead organisation, is the Commonwealth's main representative, provides the chair or secretariat or plays a leading role; • high-level reviews of the core business. Includes final review reports, significant drafts, recommendations, stakeholder consultations, submissions and supporting research; • master version of agency publications; • high-level advice and liaison provided to or received from major stakeholders. Includes final version of formal advice, submissions and supporting research and briefs; and • final versions of intergovernmental and other high-level agreements, such as bilateral agreements and memorandums of understanding with states, territories and financial institutions, including those establishing principles, processes and responsibilities. | Retain as national archives |

DISABILITY INSURANCE AND PERFORMANCE (ACTUARY)

| Class no | Description of records | Disposal action |
|----------|--|---|
| 62261 | <p>Records documenting:</p> <ul style="list-style-type: none"> • internal committees and meetings. Includes establishment documentation, agenda, final versions of minutes, reports, briefing notes and tabled papers; • briefings, minutes and reports provided to the Portfolio Minister and other stakeholders related to actuarial insurance assessment that do not lead to new or significant amendment to the NDIS; • high-level reports, including final version, drafts circulated for internal comment and stakeholder consultation and supporting research that are not accepted or implemented; • delegations, continual monitoring and reporting including desktop reviews of participant's files and interviews with staff; • drafts and development of modelling reference packages used by planners and staff analysing participants' support needs and objectives; and • internal policies, procedures and training packages related to processes for defining and using reference packages and data collection. | Destroy 10 years after action completed |
| 62262 | <p>Working papers and records documenting:</p> <ul style="list-style-type: none"> • draft reports, raw research data and advice provided internally to assist with reference packages and modelling requirements; • draft internal policies, programs, plans, frameworks and strategies that are circulated for comment but not accepted; • the extraction of data to enable the identification of gaps in the provision of support services; • the development of advice and working papers related to or provided to the NDIS Board. Includes draft reports, raw research data, advice, draft internal policies, programs, plans, frameworks and strategies that are not endorsed or accepted; and • preparation material of presentations to mainstream services, intergovernmental agencies, non-government organisations. Includes input into Ministerial addresses; and draft agendas for high-level internal and external committees. | Destroy 3 years after action completed |
| 62263 | <p>Records documenting:</p> <ul style="list-style-type: none"> • routine operational administrative tasks; and • Disability Insurance and Performance (Actuary) activities other than those covered in classes 62260 to 62262. | Destroy 7 years after action completed |

REVIEWS, COMPLAINTS AND FEEDBACK

The core business of receiving, handling, escalating and responding to requests for review of internal decisions, complaints and feedback. Includes managing reviews of decisions internally and facilitating, referring and responding to reviews of decisions such as those conducted by the Administrative Appeals Tribunal.

The core activities include:

- receiving and managing agency and partner complaints and feedback;
- developing, implementing, and reviewing policies and strategies;
- reviewing decisions related to plans and the registration of support providers;
- assessing, evaluating and reviewing outcomes of decisions and referrals to external bodies such as the Administrative Appeals Tribunal and Australian Human Rights Commission; and
- education and training for the review process.

The performance of the core business is supported by **general activities** such as:

- receiving and providing advice;
- managing and participating in internal and external committees and meetings;
- identifying, assessing and managing risks;
- delegating powers and authorising actions;
- developing reports and submissions;
- planning, conducting and facilitating audits; and
- managing public enquiries.

Cross references to AFDA Express records authority

For advice to the portfolio Ministers and ministerial and cabinet submissions, use GOVERNMENT RELATIONS

For development of new legislation and amendments to existing legislation, use GOVERNMENT RELATIONS or STRATEGIC MANAGEMENT

For training sessions and guidance for staff on how to manage complaints, use STAFF DEVELOPMENT

For data analysis that indicates overpayments and debt recovery, use FINANCIAL MANAGEMENT, LEGAL SERVICES, PERSONNEL and STRATEGIC MANAGEMENT

For internal and external legal advice, correspondence with lawyers, investigations that are protected under legal and professional privilege, use LEGAL SERVICES

For customer service complaints and responses related general enquiries, responding to general invitations to open events, use COMMUNITY RELATIONS

For Allegations of misconduct of a staff member, use PERSONNEL.

For significant agency-wide strategic management policies, corporate or business plans, agency performance plans, use STRATEGIC MANAGEMENT

REVIEWS, COMPLAINTS AND FEEDBACK

| Class no | Description of records | Disposal action |
|----------|--|---|
| 62264 | <p>Records documenting:</p> <ul style="list-style-type: none"> • developing, implementing, and reviewing policies and strategies related to complaints, appeals and reviews of decisions about plans for supports for people with disability. Includes major drafts, and research such as interviews and feedback from people with disability or their nominees, and providers of supports; • analysis and investigations related to precedent-setting reviews of decisions where the case is referred to an external body such as the Administrative Appeals Tribunal or the Australian Human Rights Commission, and results in a change in policy. Includes complaint, summary records, investigation records, interview records, participant's plan, medical records and assessments, emails and decisions by external bodies; • investigation of complaints or feedback from state governments, private sector providers or partners that result in a change or establishment of policy; and • reviews, analysis and investigation of cases that set a precedent where a registration of a provider of support is revoked. Includes complaint, summary records, investigation records, court notifications, interview records, and notice of revocation of registration. | Retain as national archives |
| 62265 | <p>Records documenting:</p> <ul style="list-style-type: none"> • analysis and internal investigation related to reviews of planning decisions for supports for people with disability, their nominees or carers that are not referred to an external body or do not set a precedent. Includes complaints, requests for review, summary records, investigation records, court notifications, interviews and outcome records; and • evaluation and investigation of substantiated allegations of misconduct made against the agency, or provider of supports. Includes complaint, summary records, investigation records, court notifications, interview records, penalties and outcome. | Destroy 25 years after action completed |
| 62266 | <p>Records documenting:</p> <ul style="list-style-type: none"> • evaluation and investigation of complaints where an allegation of misconduct made against a registered provider of supports is unproven. Includes complaint, summary records, investigation records, court notifications and interview records; and • evaluation and investigation of complaints where an allegation of misconduct made against the agency and is determined to be frivolous, vexatious or unproven. Includes complaint, summary records, investigation records, and interview records. | Destroy 7 years after action completed |

REVIEWS, COMPLAINTS AND FEEDBACK

| Class no | Description of records | Disposal action |
|-----------------|--|--|
| 62267 | Records documenting: <ul style="list-style-type: none">• guidelines, operational procedures, and training on managing complaints related to reviewable decisions. | Destroy 3 years after superseded |
| 62268 | Records documenting: <ul style="list-style-type: none">• routine operational administrative tasks; and• Reviews, Complaints and Feedback activities other than those covered in classes 62264 to 62267. | Destroy 7 years after action completed |

WORKING WITH PEOPLE WITH DISABILITIES

The core business of working with people with disability, their carers or nominees. Includes defining eligibility, developing plans for supports and funding throughout their lifetime, and linking with appropriate mainstream and community services regardless of eligibility for the NDIS.

The core activities include:

- developing, implementing and reviewing policies, strategies, plans, methodologies and frameworks for working with people with disabilities;
- establishing, evaluating, reviewing and reporting on programs, schemes and initiatives;
- establishing and maintaining participant registers and summary records
- developing, implementing and reviewing standards and benchmarks;
- developing, reviewing and providing advice and other information;
- developing and implementing products, tools and calculators;
- evaluating and reviewing of NDIS eligibility;
- development and production of agency publications
- building sector capacity in undertaking educational and marketing campaigns to promote initiatives, programs and services; and
- linking and referring people with disability to supports external to the NDIS.

The performance of the core business is supported by **general activities** such as:

- managing and participating in internal and external committees and meetings;
- undertaking educational and marketing campaigns to promote initiatives, programs and services;
- developing , implementing and reviewing processes, systems and procedures;
- liaising with stakeholders;
- developing educational programs and training;
- planning, conducting and facilitating audits;
- arranging and attending conferences, seminars, discussion forums and workshops;
- planning, conducting and facilitating reports;
- managing surveys;
- delegating powers and authorising actions; and
- identifying, assessing and managing risks.

Cross references to other areas of this records authority

For statistics and analysis on People with a Disability, use DISABILITY INSURANCE AND PERFORMANCE (ACTUARY).

For benchmark records or justification records for disability classification, use DISABILITY INSURANCE AND PERFORMANCE (ACTUARY).

For complaints related to reviews of decisions and referrals to the Administrative Appeals Tribunal, use FEEDBACK, COMPLAINTS AND REVIEWS.

For training packages for community linking provided by partners in the NDIS, use WORKING WITH PROVIDERS.

Cross references to AFDA Express records authority

For addresses by the Ministers, members of Government, senior agency officers or members of governing body, use COMMUNITY RELATIONS.

WORKING WITH PEOPLE WITH DISABILITIES

For customer service complaints and responses related general enquiries, use COMMUNITY RELATIONS.

For payments to people with disability, nominees or carers who self-manage their supports and services; or supports providers who manage people with disability plans, use FINANCIAL MANAGEMENT.

For documenting specific instances of fraud, use FINANCIAL MANAGEMENT.

For advice, briefs and submissions to the Minister, Cabinet submissions and the agency's participation in formal inquiries, use GOVERNMENT RELATIONS.

For joint venture agreements with State and Territory Governments, use GOVERNMENT RELATIONS.

For high level inter-government State and Territory inter-agency committees where NDIS is the secretariat, or pays a significant role, use GOVERNMENT RELATIONS.

For formal reports to the Government, States and Territories, related to working with people with disabilities and supporting working papers, use GOVERNMENT RELATIONS.

For the issue, receipt and assessment of tenders and management of external service providers, such as researchers and consultants related to procurement of goods and services including contracts and agreements, researching and contract management of Local Area Coordination, use PROCUREMENT.

For input into the development of legislation such as the National Disability Insurance Act 2013, and associated rules, including liaising with relevant stakeholders, use STRATEGIC MANAGEMENT.

For documenting the disclosure and investigation of fraud allegations made by or about the agency and the management of broad strategies to prevent fraud, use STRATEGIC MANAGEMENT.

For significant agency-wide strategic management policies, corporate or business plans, agency performance plans, use STRATEGIC MANAGEMENT.

Cross references to other records authorities

For records related to outsourcing services that are provided on behalf of the NDIS, such as local area coordinator roles, use General Disposal Authority 40.

For records relating to grants and funding arrangements related to research and development projects, use GRANT MANAGEMENT.

| Class no | Description of records | Disposal action |
|-----------------|---|-----------------------------|
| 62269 | <p>Records documenting:</p> <ul style="list-style-type: none"> developing, implementing and reviewing high-level policies, plans, methodologies, frameworks and strategies. Includes final versions of guides (such as identifying suitability requirements), major drafts, proposals, submissions, records of consultation and supporting research related to the design and establishment of contracting out of Local Area Coordination (LAC), Early Childhood Early Intervention (ECEI), Information, Linkages and Capacity Building (ILCB); establishing, evaluating, reviewing and reporting on the implementation of programs, schemes and initiatives such as the Local Area Coordinator (LAC) function; Early Childhood Early Intervention (ECEI) approach, linking people with disability to alternative mainstream and community supports, and Information, Linking and Capacity Building (ILCB) projects and grants. Includes final versions, significant drafts, stakeholder consultation, supporting research and high-level reports; master copies of standards and benchmarks. Includes research, defining requirements and related terms and conditions for eligibility, such as disability type; high level liaison and consultation in support of the core business undertaken with major stakeholders. Includes government | Retain as national archives |

WORKING WITH PEOPLE WITH DISABILITIES

| Class no | Description of records | Disposal action |
|----------|---|---------------------------------------|
| | <p>organisations, professional associations, private sector and community groups;</p> <ul style="list-style-type: none"> • de-identified participant registers and summary records supporting the core business; • developing and reviewing tools, products and calculators used to pre-assess eligibility provide access for people with disabilities; • development and review of major promotional, marketing and educational campaigns. Includes final version of marketing materials and products; and • high-level advice given to or received from major stakeholders. Includes final version of formal advice, major drafts, stakeholder consultation and supporting research and briefs; | |
| 62270 | <p>Records documenting:</p> <ul style="list-style-type: none"> • the assessment and case management of plans and support for individual participants to determine eligibility. Includes: <ul style="list-style-type: none"> • approval and notification of eligibility; access requests and consent for accessing records in external organisations; and associated proof of identity documents received from a person with disability, their guardian, nominee, carer, group home. Includes information received from or on behalf of an Indigenous person with disability such as letters from Aboriginal Elders or Kinsman to identify age and name, Adult Centrelink records, school records, and Indigenous Health Providers; • medical reports and assessments received from mainstream services such as health, education, and related supports. Includes correspondence and documents provided by participants or nominees, guardians and carers; • planner and NDIS notes of initial observations of primary and obvious disability where initial medical evidence is not available from birth or medical records. Includes evidence and liaison through or on behalf of an Indigenous person with disability, such as with the National Aboriginal Health Organisation; • case file information transferred from in-kind state and territory disability services. Includes data authentication such as proof of identity checks across government systems in Centrelink, and the Departments of Health and Education; and • operational forms, documents and data that map individual plan requirements including calculations using reference package. • reviews of plans and supports for participants. Includes annual medical and mainstream assessments; • referrals and linkage to alternative supports external to the NDIS; • summary reports related to the abuse of people with disability, carers, medical professionals and staff in-group homes; and • lawful interventions when there is a serious threat to life, health or safety. Includes complaint, NDIS reports on intervention and assistance, court notifications, interview records advice e.g. | Destroy 120 years after date of birth |

WORKING WITH PEOPLE WITH DISABILITIES

| Class no | Description of records | Disposal action |
|----------|--|--|
| | <p>provision of legal advice; internal and external correspondence relating to the matter; medical evidence of threat to life, health and safety; and penalties and outcome.</p> | |
| 62271 | <p>Records documenting people not eligible for the NDIS and links to alternative programs and supports by Local Area Coordination. Includes:</p> <ul style="list-style-type: none"> • access requests and evidential records such as proof of identity documents and birth certificates; • medical assessments, mainstream services reports and assessments such as school records, health, education, occupational therapy, speech pathology, mental health supports and medication requirements; • records and data related to in-kind supports provided by state and territory disability services, with current supports and services provided. Includes data authentication such as proof of identity checks across government systems such as Centrelink, Health and Education; • staff confidentiality agreements to access interagency systems; • referring and linking with community and mainstream services including indigenous health providers, family advocates, state and territory programs; and • liaison through or on behalf of an Indigenous person with disability, such as the national peak Aboriginal health body representing Aboriginal community. Records include contact, interpretation of issues related to indigenous disability and supports. | Destroy 25 years after last action |
| 62272 | <p>Records documenting: routine operational administrative tasks; and Working With People With Disabilities activities other than those covered in classes 62269 to 62271 and 62273, including:</p> <ul style="list-style-type: none"> • making appointments for new and existing participants to meet with planners and local area coordinators; • booking meeting rooms, on-site visits, vehicles and staff attending follow up appointments; • letters to confirm appointments and notify recipient of contact arrangements, and/or inability to contact by phone and alternative means; • education, training related to inclusion, linkage and capacity building within the State and Territory disability communities; • arranging and managing workshops; • brochures and invitations to workshops; • feedback from attendees and surveys; and • standard operating procedures related to accessing the NDIS through the portal using tool such as My Access Checker. | Destroy 7 years after action completed |

WORKING WITH PEOPLE WITH DISABILITIES

| Class no | Description of records | Disposal action |
|----------|---|---|
| 62273 | Diary entries and planner's notes of conversations with people with disability. <i>[For notes relating to NDIS Access Request Forms, use class 62270.]</i> | Destroy 1 month after added to approved business system |

WORKING WITH PROVIDERS

The core business of managing the registration of individual and organisational providers to deliver disability services and supports to participants of the NDIS.

The core activities include:

- establishing support pricing, and producing and distributing pricing catalogues;
- developing, implementing, and reviewing programs and projects;
- developing, implementing, and reviewing standards, policies, plans and strategies, related to the registration process for providers of supports;
- assessing and evaluating registration of Service Providers;
- compiling, maintaining and publishing registers of approved service providers and types of supports;
- monitoring and reporting on providers and market analysis in supports;
- revocation and appeals of registration of providers;
- developing, implementing, and reviewing tools and calculators;
- developing, reviewing and providing advice and other information;
- building sector capacity in undertaking educational and marketing campaigns to promote initiatives, programs and services; and
- developing, delivery and reviewing of training and training materials.

The performance of the core business is supported by **general activities** such as:

- developing, implementing and reviewing internal operating procedures, guidelines, processes and systems;
- liaising and consulting with internal and external stakeholders;
- development and review of guidelines and procedures;
- identifying, assessing and managing risks;
- planning, conducting and facilitating audits;
- managing and participating in internal and external committees or meetings;
- arranging and attending conferences, seminars, discussion forums and workshops;
- planning, conducting and facilitating reports;
- delegating powers and authorising actions and not delegating to a provider; and
- undertaking surveys and consumer enquiries.

Cross references to other areas of this records authority

For statistics and analysis on service providers and types of supports and services reference packages, use DISABILITY INSURANCE AND PERFORMANCE (ACTUARY).

For the collection of data on providers use DISABILITY INSURANCE AND PERFORMANCE (ACTUARY)

For complaints related to reviews of decisions and referrals to the Administrative Appeals Tribunal and Human Rights Commission, use FEEDBACK, COMPLAINTS AND REVIEWS.

For the development and review of Reference packages, use DISABILITY INSURANCE AND PERFORMANCE (ACTUARY)

Cross references to AFDA Express records authority

For high level internal external committees where the agency provides the secretariat, is the Commonwealth's main representative or plays a significant role, use GOVERNMENT RELATIONS.

For supporting the passage of the agency's legislation through Parliament, use GOVERNMENT RELATIONS.

For legal advice or issues related to support providers, use LEGAL SERVICES.

WORKING WITH PROVIDERS

For visits made by non-government organisations, the public, students and academics, use COMMUNITY RELATIONS.

For customer service complaints and responses related to service providers, use REVIEWS, COMPLAINTS AND FEEDBACK.

For the processing and payment of validated claims for the delivery of approved supports and the specific identification of fraud instances, use FINANCIAL MANAGEMENT.

For purchasing with payment cards and making payments by executing payment of validated claims use FINANCIAL MANAGEMENT.

For addresses made by the Minister, members of Government, senior agency staff, or members of governing bodies, use COMMUNITY RELATIONS.

For Cabinet and other submissions to Government, contributions to parliamentary inquiries, use GOVERNMENT RELATIONS.

For strategic management policies, corporate or business plans and agency performance plans use STRATEGIC MANAGEMENT.

For advice or submissions to government agencies relating to legislative proposals, use GOVERNMENT RELATIONS.

For master set of media releases and statements, use COMMUNITY RELATIONS.

For managing the acquisition of goods and services, including external consultants and service providers, use PROCUREMENT.

For managing service agreements between people with a disability and plan management providers or main stream providers, use PROCUREMENT.

Cross references to other records authorities

For records relating to grants and funding arrangements, use GRANT MANAGEMENT.

For records relating to the establishment of the board, use GOVERNING BODIES.

| Class no | Description of records | Disposal action |
|-----------------|---|-----------------------------|
| 62274 | <p>Records documenting:</p> <ul style="list-style-type: none"> • developing, implementing, and reviewing policies and strategies related to the design and establishment of the registration process for support and service providers. Includes the development and design of terms of business for provider registration of small and large businesses, plan management providers and mainstream services. Also includes related terms and conditions for registration, specifications, final versions of guidance documents such as identifying suitability requirements, working papers and research and feedback from providers; • developing, implementing, and reviewing policies and strategies related to provider funding, registration and outcomes for specific supports to be provided in a participant's plan such as specialised disability accommodation, assistive technology, and plan management; • master set of agency publications, educational and marketing program material includes consumer information brochures, fact sheets and consumer e-bulletin; • the compiling and maintaining of: <ul style="list-style-type: none"> • approved Service Providers Registers; and • registers of types of supports identified by states and territories; | Retain as national archives |

WORKING WITH PROVIDERS

| Class no | Description of records | Disposal action |
|----------|---|---|
| | and <ul style="list-style-type: none"> • establishing and reviewing maximum price parameters for specific types of participant support. | |
| 62275 | Records documenting: <ul style="list-style-type: none"> • monitoring and reporting of registered providers. | Destroy 60 years after last action |
| 62276 | Records documenting: <ul style="list-style-type: none"> • assessing, evaluating and reviewing applications to register providers of supports. Includes supporting documentation such as proof of identity, background checks, registration with regulatory and professional organisations, statutory declarations, the authorisation for eligibility for payments by the NDIS, determination, approval and notification of eligibility; and • assessing, evaluation, reviewing and rejection of eligibility as a provider of supports. Includes supporting documentation such as proof of identity, background checks, registration with regulatory and professional organisations, statutory declarations, determination, notification of applicants, reviews and appeals of decisions. | Destroy 25 years after last action |
| 62277 | Records documenting: routine operational administrative tasks; and Working With Providers activities, other than those covered in classes 62274 to 62277 and 62278, including: <ul style="list-style-type: none"> • evaluation, updating and dissemination of pricing catalogues to providers, such as updating and distribution of price lists; • education and training of providers for transitioning into NDIS and for access to the NDIS Provider Portal or equivalent; • development and review of guidelines and operational procedures; • letters of notification and notes of conversations with providers related to changes in costs for supports; and • monitoring and reporting on supports, and identifying gaps in the coverage and efficiency of current providers. Includes reports, surveys and notes of interviews. | Destroy 10 years after last action |
| 62278 | Diary entries and notes of conversations with providers of supports and services. | Destroy 1 month after added to approved business system |