



Australian Government

National Archives of Australia

Records Authority

2021/00323088

**RECORDS INTELLECTUAL CONTROL
(Amended)**

**RECORDS PRESERVATION
MANAGEMENT (Amended)**

National Archives of Australia (NAA)

2021



© Commonwealth of Australia (National Archives of Australia) 2021

Copyright

This product, excluding the National Archives of Australia logo, Commonwealth Coat of Arms or registered trademark, has been licensed under a Creative Commons Attribution-Non-Commercial (CC-BY-NC) Version 4.0 International Licence. You may share, copy, redistribute, remix, transform and build upon this work for non-commercial purposes only. However, you must attribute the National Archives of Australia as the copyright holder of the original work, include the attribution as set out below and indicate if changes were made. The full terms and conditions of this licence are available at <http://www.creativecommons.org>.

Attribution

This records authority is licenced by the Commonwealth of Australia (National Archives of Australia) under a Creative Commons Attribution-Non-Commercial (CC-BY-NC) Version 4.0 International Licence. The original version can be found [on our website](#).

Accessibility

This is an accurate reproduction of the authorised records authority content, created for accessibility purposes.

Contact Us

Enquiries relating to copyright or accessibility should be made through the [Agency Service Centre](#).

Contents

Contents	3
Introduction	4
Application of this Authority	4
Contact Information	5
Authorisation	6
RECORDS INTELLECTUAL CONTROL	7
RECORDS PRESERVATION MANAGEMENT	7

Introduction

This records authority amends the core business functions of RECORDS INTELLECTUAL CONTROL and RECORDS PRESERVATION MANAGEMENT in RA 2007/00576124.

The authority sets out those records that need to be retained as national archives and specifies the minimum length of time that temporary records need to be kept. This authority gives the National Archives of Australia (NAA) 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 on the basis of information provided by the relevant area.

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 supersedes classes 19018 and 19067 in RA 2007/00576124. The superseded classes cannot be used by NAA to sentence records after the date of issue of this authority.
2. 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 NAA 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' are to be transferred to the National Archives for preservation.
3. This authority should be used in conjunction with general records authorities such as:
 - the Administrative Functions Disposal Authority (AFDA) Express Version 2 issued by the National Archives to cover business processes and records common to Australian Government agencies; and
 - General Records Authority (31) - Destruction of source or original records after digitisation, conversion or migration (2015).
4. 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 Version 2. 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 a NAP policy is available from the National Archives' website at www.naa.gov.au.
5. 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.

6. 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.
7. Where the method of recording information changes (for example from an analogue system to a digital 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 NAA 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.
8. In general, retention requirements indicate a minimum period for retention. The NAA may extend minimum retention periods if it considers that there is an administrative need to do so, without further reference to the National Archives. Where the NAA 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.
9. Records coming within 'retain as national archives' class 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*.
10. 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.
11. 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. Records created digitally after 1 January 2016 can be transferred in digital formats only.
12. Advice on how to use this authority is available from the NAA 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 2021/00323088

Notice of authorisation

Person to whom notice of authorisation is given:

Mr David Fricker
Director-General
National Archives of Australia
Kings Avenue, Parkes ACT 2600

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

Core business records relating to RECORDS INTELLECTUAL CONTROL and RECORDS PRESERVATION MANAGEMENT.

Authority

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.

This document has been authorised through a digital workflow (R1070382021).

Authorising Officer

Tatiana Antsoupova
Director, Government Records Assurance
National Archives of Australia

Date of issue

23 December 2021

RECORDS INTELLECTUAL CONTROL

The following must be read in conjunction with the scope notes and classes in the National Archives of Australia's records authority RA 2007/00576124

The function of controlling records and documenting their provenance through registration, arrangement and description. Includes monitoring administrative change to maintain the accuracy of the intellectual control framework. Also includes developing, maintaining and reviewing the Commonwealth Record Series (CRS) system used by the Archives.

Arrangement and Description

The activities associated with identifying, registering, amending or updating information about records, record series and their creators to facilitate control and access. Includes the process of identifying and updating provenance details and links between descriptive entities, examining records and placing them in order according to archival principles, and providing a description of the series and/or items. Also includes the process of indexing.

For activities associated with obtaining physical control of records in Archives' custody, use RECORDS CUSTODY & STORAGE – Records Transfer.

Class

Class no	Description of records	Disposal action
62877	Records documenting the arrangement and description of archival records. Includes recording descriptive information about the record creators (e.g. agencies), series and items. Includes consignment lists. <i>[For annotated consignment lists documenting sentencing activities, use class 19004 in RA 2007/00576124]</i>	Retain as national archives

RECORDS PRESERVATION MANAGEMENT

The following must be read in conjunction with the scope notes and classes in the National Archives of Australia's records authority RA 2007/00576124

The function of devising strategies and implementing techniques to preserve the ongoing integrity and useability of records in any format. Includes the application of conservation measures to treat records under threat, or prevent further deterioration. Also includes providing advice on preservation matters, developing strategies and policy to guide the application of preservation processes, undertaking preservation techniques such as copying and conversion, managing preservation processes relating to the loan of archival records, undertaking research and development of new preservation techniques and approaches, surveying records, and setting standards to support preservation processes.

Preservation Copying and Conversion

The activities associated with the copying or conversion of Commonwealth records in the care of the Archives as a preservation technique to ensure their integrity and longevity. Includes preservation-quality copying or conversion for paper, photographic, digital, audio and moving image formats. Also includes the assessment of suitability of records for particular strategies, and the conversion of records from damaged or obsolete media to another format.

Class

Class no	Description of records	Disposal action
62878	Preservation copies of records in the care of the Archives <i>Note: Preservation copies may be superseded with more technically advanced copies. Ensure the copy is functionally equivalent to the original record.</i>	Destroy when original record withdrawn from the care of the National Archives or when a new preservation copy is created and meets National Archives' preservation copying standards