

General Records Authority

2025/xxxxxxxx

**Grant Management**

2025



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INTRODUCTION

The National Archives of Australia have developed this records authority to set out the requirements for keeping or destroying records for the core business of Grant Management.

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

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 agencies 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.

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 General Records Authority (GRA) 28 (2010) Grant Management. The superseded records authority cannot be used to sentence records after the date of issue of this authority.
2. This authority partially supersedes Records Authority 2011/00324802 (2012) Indigenous Grant and Loan Funding. Classes 34858, 34860, 34863, 34864, 34867 and 35346 cannot be used to sentence Grant Funding records after the date of issue of this 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’ are to be transferred to the National Archives for preservation.
4. This authority provides coverage for grant management that should be suitable for all Commonwealth agencies and will therefore dispense with the need for agencies to include grant management in their agency specific records authority. It does not supersede existing agency specific coverage for grant management in current issued records authorities and does not exclude coverage in future records authorities where an agency and the National Archives agree to the need for exceptions coverage.
5. This authority should be used in conjunction with general records authorities such as:
	* [*Administrative Functions Disposal Authority (AFDA) Express Version 2*](https://www.naa.gov.au/information-management/records-authorities/types-records-authorities/afda-express-version-2-functions) 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*](https://www.naa.gov.au/information-management/records-authorities/types-records-authorities/general-records-authority-31) (2015).
6. 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](https://www.naa.gov.au/).
7. 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.
8. 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](https://www.naa.gov.au/).
9. 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. 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.
10. 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 agencies 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.
11. Records identified as ‘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*.
12. 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.
13. 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.
14. Advice on how to use this authority is available from the agency’s 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](https://www.naa.gov.au/information-management/agency-service-centre).

# AUTHORISATION

Records Authority xxxx/xxxxxxxx

## Notice of authorisation

Person to whom notice of authorisation is given:

Heads of Commonwealth Institutions under the *Archives Act 1983* responsible for Grant Management records

## 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 records relating to Grant 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 (RXXXXXXXXX).

|  |  |
| --- | --- |
| **Authorising Officer** | **Date of issue** |
| Josephine Secis Assistant Director-General, Collection Management National Archives of Australia | 2025 |

Grant Management

The business of providing and administering grant funding to achieve aims and objectives of government policy and legislation, and to guide grant providers where recipients of their grants are required to act in accordance with specified terms or conditions for the funding received. Consistency in providing and administering grant funding is achieved through rules such as the Commonwealth Grants Rules and Principles.

The funding can be for grant programs and projects including fellowships and scholarships. Includes designing and planning activities; calling for applications and assessing them; obtaining approvals; monitoring progress and reviewing and evaluating.

Excludes Commonwealth payments to State, Territory or Local Governments, funding of activities relating to the provision of goods and services directly to a government agency, payments and entitlements, investments or loans of public money, compensation and any other exclusions in relevant financial management legislation.

The **core activities** include:

Designing and developing the grant program and project:

* establishing the need for and the purpose and objectives of each program and project;
* developing and approving program and project policies, guidelines and procedures;
* developing assessment criteria including performance measures and assessment processes;
* meeting criteria for the use of one-off ad hoc grants;
* managing stakeholder consultations;
* managing risk including conflicts of interest;
* financial planning and analysis;
* seeking approvals for grant program and project financial allocations;
* authorising and delegating powers; and
* developing communication strategies, information packs, promoting the program and project and responding to enquiries.

Assessing applications and nominations:

* receiving and acknowledging applications and nominations;
* establishing assessment panels (where applicable);
* processing and assessing applications and nominations;
* seeking approvals from grant approvers including briefing ministers who are approvers of grants;
* advising applicants of assessment outcomes;
* completing the required reporting of grant outcomes, for example on [GrantConnect](https://www.grants.gov.au/);
* meeting additional reporting requirements when ministers are approvers of grants;
* meeting governance and probity requirements for third parties, including parliamentarians involved in grants processes; and
* managing complaints and formal appeals.

Managing grant progress:

* establishing and varying funding agreements;
* performance monitoring;
* financial monitoring, fund acquittal; and
* managing debt recovery and fraud.

Winding up and assessing the grant program and project:

* reporting; and
* auditing, evaluating and reviewing.

Providing Grant Management services on behalf of Australian Government agencies,

* hosting grant management platforms
* Services include developing and administering grants under Memoranda of Understanding (MOUs) in line with the **Commonwealth Grants Rules and Principles**
* Publishing expected grant opportunities, grant opportunities and grant outcomes in line with reporting requirements.

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

* providing and receiving advice;
* preparing and presenting addresses;
* auditing;
* managing committees and meetings;
* delegating powers and authorising actions;
* developing procedures;
* planning and managing risks; and
* creating and managing summary records.

Cross references to AFDA Express Version 2

For the agency’s Grant Management strategic policies use STRATEGIC MANAGEMENT – Policy. Class 62602 RNA final versions of agency-wide strategic management policies. Includes final versions, national policy statements, policy proposals, major drafts, reports, stakeholder consultation, and supporting research.

*For the payment of grant money and managing the financial transactions to support the Grant Management business, use FINANCIAL MANAGEMENT. Class 62386 Destroy 7 years after action completed.*

*For the procurement of goods and services to support the operations of the Grant Management business use PROCUREMENT. Class 62544 Destroy 7 years after action completed*

*For the agency’s own applications for and receipt of grants use EXTERNAL RELATIONS.* *Class 62661 Destroy 7 years after action completed.*

| **Class no** | **Description of records** | **Disposal action** |
| --- | --- | --- |
| RNA (1) | Records documenting* designing and developing grant programs and projects: final versions of planning, policies, assessment criteria, reports, audits, evaluations, and reviews and their major supporting documents including results of consultations;
* summary datasets or registers of grant programs from Whole of Government and multiple agencies grant management platforms and hubs. Includes expected grant opportunities, actual grant opportunities and grant outcomes; and
* detailed datasets or case files (and where applicable, the grant outcome e.g. a film, report, research paper), of the following types of grant programs:
	+ grant programs that support the core business of an agency;
	+ Indigenous grant programs;
	+ academic research grant programs;
	+ medical research grant programs;
	+ environmental grant programs;
	+ grant programs with economic impact;
	+ grant programs with social impact; and
	+ grant programs with cultural and community importance.

These records include:* + summary records of successful and unsuccessful grant applications.
	+ final version of promotional material; and
	+ agreements, including signed agreements under seal, grant agreements and memoranda of understanding.

*[For developing and executing contracts under seal or deeds, including signed joint venture contracts under seal, where these are not retained as national archives as part of the case file, under class 1 use CONTRACTS UNDER SEAL/DEEDS].*Note: *For the agency’s Grant Management strategic policies use STRATEGIC MANAGEMENT. Class 62602 RNA; developing and establishing agency-wide strategic management policies. Includes final versions, national policy statements, policy proposals, major drafts, reports, stakeholder consultation, and supporting research* | Retain as national archives |
| For reference | *[For developing and executing contracts under seal or deeds, including signed joint venture contracts under seal, where the case files are not retained as national archives, use CONTRACTS UNDER SEAL/DEEDS]* | *Longest retention period is - Destroy 21 years after discharge or expiration of all obligations under the contract/deed – (Class 62547) – Agencies may also apply the specific usually (shorter) retention periods in classes 62547, 62548 and 62549* |
| xxxx2 | Records documenting:* grant management services provided on behalf of Australian Government client agencies, under Memoranda of Understanding (MOUs). Services include developing and administering grants in line with whole of Government requirements, for example the Commonwealth Grants Rules and Guidelines.
 | Destroy 10 years after action completed |
| Xxxx3 | Records documenting:* case files and records relating to unsuccessful grant applicants not covered in class 1.
 | Destroy 2 years after action completed |
| Xxxx4 | Records documenting:* routine operational administrative tasks supporting the core business; and
* records of grant management activities other than those covered in classes 1 to 3. Includes case files of successful grant applicants not covered in class 1.

*NOTES:* *For the payment of grant money and managing the financial transactions to support the Grant Management business, use FINANCIAL MANAGEMENT. Class 62386 Destroy 7 years after action completed.* *For the procurement of goods and services to support the operations of the Grant Management business use PROCUREMENT. Class 62544 Destroy 7 years after action completed**For the agency’s own applications for and receipt of grants use EXTERNAL RELATIONS.* *Class 62661 Destroy 7 years after action completed.*  | Destroy 7 years after action completed |