

PUBLICATION

The function of having works, irrespective of format, issued for sale or distribution internally or to the public. Includes drafting, manual or electronic production (design, layout, typesetting, printing etc.), marketing and supply of publications by the organisation. Includes external publications (such as technical papers, issues papers, articles for professional journals and reports) and leaflets which aim to promote the services and public image of the organisation; and internal publications (such as newsletters, circulars, procedure manuals etc.), which are not produced for public relations reasons. Also includes multi media publications, CD-ROM and on-line information services.

Advice

The activities associated with offering opinions by or to the organisation as to an action or judgement. Includes the process of advising.

Class No	Description of records	Disposal action
1887 ■■■■■■■■	Records documenting the receipt and provision of advice provided on the publication function.	Destroy 3 years after action completed

Agreements

The processes associated with the establishment, maintenance, review and negotiation of agreements.

For contracts and agreements entered into for publishing joint ventures, use PUBLICATION - Joint Venture.

For contracts concluded through carrying out a tendering process, use PROCUREMENT - Tendering.

Class No	Description of records	Disposal action
1888 ■■■■■■■■	Final version of agreements made to support the agency's publication function.	Destroy 7 years after expiry or completion or termination of agreement
1889 ■■■■■■■■	Records documenting negotiations, establishment, maintenance and review of agreements.	Destroy 7 years after expiry or completion or termination of agreement
1890 ■■■■■■■■	Records documenting agreements made when an agency vests Crown copyright in another author or person/organisation.	Destroy 50 years after date of agreement or after the expiry date as specified in the agreement

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Committees

The activities associated with the managing of committees and task forces. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agenda etc.

Class No	Description of records	Disposal action
1891 ■■■■■■■■	Records of internal and external committees formed to consider matters relating to the publication function. Includes: <ul style="list-style-type: none"> • documents establishing the committee; • final versions of minutes; • reports; • recommendations; and • supporting documents such as briefing papers and discussion papers. <p>Includes both internal and external committees.</p>	Destroy 3 years after action completed
1892 ■■■■■■■■	Working papers documenting the conduct and administration of committees which consider matters relating to the publication function. Includes: <ul style="list-style-type: none"> • agenda; • notices of minutes; and • draft minutes. 	Destroy when reference ceases

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Compliance

The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements to which the organisation is subject. Includes compliance with legislation and with national and international standards, such as the ISO 9000 series.

Other activities within this function may also be relevant to the Compliance activity.

Class No	Description of records	Disposal action
1893 ■■■■■■■■	Records documenting agency compliance with mandatory or optional standards or with statutory requirements for the publication function. Includes: <ul style="list-style-type: none"> • lodgements of agency publications under the Commonwealth Library Deposit and Free Issues Scheme and Section 201 of the Copyright Act 1968; • allocation of ISBN, ISSN, barcodes and URL addresses; • the attachment of privacy statements to websites to support the Information Privacy Principles (IPP) specified in Section 14 of the Privacy Act 1988; • notification to lead agency (currently AusInfo) of new titles; • use of official symbols; and • Internet domain names. 	Destroy 7 years after action completed

Contracting-out

The activities involved in managing the performance of work or the provision of goods and services by an external contractor, vendor or consultant, or by using external bureau services. Includes outsourcing.

For information on records issues relating to outsourcing and contracting-out see General Disposal Authority 25.

Class No	Description of Records	Disposal Action
N/A	<i>[For records documenting contract management relating to the publication function, use PROCUREMENT – Contracting-out.]</i>	N/A

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Corporate Style

The activity of compiling and administering guidelines on the consistency in written style, graphic design etc within the organisation's documents. Includes designing logos, letterhead, stationery, publications etc that incorporate the corporate image of the organisation.

Class No	Description of records	Disposal action
1895 ■■■■■■■■	Agency style manuals.	Destroy when style manual is superseded
1896 ■■■■■■■■	Records documenting the development and approval of designs for agency logos, letterhead, stationery and publications incorporating the corporate image of the organisation.	Destroy when style superseded
	<i>[For records documenting the production process, use PUBLICATION - Production.</i>	
	<i>[For records documenting forms design, use INFORMATION MANAGEMENT - Control.]</i>	
1897 ■■■■■■■■	Records documenting rejected designs.	Destroy when reference ceases
1898 ■■■■■■■■	Records documenting the implementation and administration of the approved corporate style for agency documents, stationery and publications.	Destroy when style superseded

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Disposal

The process of disposing of property no longer required by the organisation, by sale, transfer, termination of lease, auction, donation or destruction. Includes destruction or transfer to archives, and the program of activities to facilitate the orderly transfer of semi-active and inactive records from current office space into storage.

For records relating to disposal of non-agency publications, use INFORMATION MANAGEMENT - Disposal.

Class No	Description of records	Disposal action
1899 ■■■■■■■■	Duplicate agency publications produced before 1968 (ie before the commencement of legal deposit under the Copyright Act 1968). Undertake disposal action in accordance with Purchasing Australia's Guidelines for Surplus Asset Disposal, Canberra, Australian Government Publishing Service, 1996.	Destroy when reference ceases
1900 ■■■■■■■■	Duplicate agency publications produced after 1968.	Destroy when reference ceases

Distribution

The activities associated with disseminating items, correspondence, or publications through sales, deliveries, or other customer services.

Class No	Description of records	Disposal action
1901 ■■■■■■■■	Records documenting the distribution activity for agency publications. Includes address lists.	Destroy when reference ceases

[For accounting records supporting the sale of publications, use FINANCIAL MANAGEMENT - Accounting.]

Drafting

The activities associated with preparing preliminary drafts or outlines of addresses, reports, articles, plans, sketches, etc prior to production.

Class No	Description of records	Disposal action
1902 ■■■■■■■■	Records documenting the drafting process of agency publications (including annual reports).	Destroy when reference ceases

[For final electronic/paper drafts, use PUBLICATION - Production.]

[For the drafting of legislation, use STRATEGIC MANAGEMENT - Legislation.]

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Enquiries

The activities associated with handling requests for information about the organisation and its services by the general public, agency employees or another organisation.

Class No	Description of records	Disposal action
1903 ■■■■■■■■	Enquiries received from the public or another government agency seeking information about the agency's publications.	Destroy after action completed

Evaluation

The process of determining the suitability of potential or existing programs, items of equipment, systems or services in relation to meeting the needs of the given situation. Includes systems analysis and ongoing monitoring.

For the evaluation of equipment, goods and services being considered for procurement in support of the publication function, use PROCUREMENT – Evaluation.

Class No	Description of records	Disposal action
1904 ■■■■■■■■	Records documenting the evaluation of publication programs and products (eg websites and publications).	Destroy 5 years after evaluation completed
1905 ■■■■■■■■	Records documenting the evaluation of manuscripts against the agency's publication plan and selection criteria.	Destroy 2 years after evaluation completed

[For manuscripts chosen for publication, use PUBLICATION - Production.]

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Intellectual Property

The activities involved in managing the agency's intellectual property, both published and unpublished, and the use of material held by the agency in which another party owns the intellectual property. Includes the management of copyright, design, patents and trademarks, royalties and matters of confidentiality such as trade secrets which are not available to the public under Freedom of Information (FOI) legislation.

For handling infringements of an organisation's intellectual property, use LEGAL SERVICES - Infringements.

For the establishment and general management of intellectual property, use LEGAL SERVICES - Intellectual Property.

For the payment and receipt of royalties, use FINANCIAL MANAGEMENT - Accounting and/or FINANCIAL MANAGEMENT - Payments.

Class No	Description of records	Disposal action
1906 ■■■■■■■■	Requests from the public and other agencies for permission to reproduce either published or unpublished material in which the agency retains copyright. Includes liaison with the lead agency (currently AusInfo).	Destroy 7 years after action completed
1907 ■■■■■■■■	Applications made by the agency to reproduce published material held under copyright by another agency, organisation or individual.	Destroy 7 years after action completed

[For agreements undertaken to vest Crown copyright in another author or person/organisation, use PUBLICATION - Agreements.]

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Joint Ventures

The activities involved in managing joint operations between departments, either within the organisation or with other organisations, or with the government, where there is a contract, joint contribution of funds and/or time. Also includes private sector ventures with public sector organisations, and co-research or collaboration between inter-departmental units, departments or organisations.

Class No	Description of records	Disposal action
1908 ■■■■■■■■	Records documenting the management of publishing joint ventures. Includes records relating to the establishment, maintenance and review of joint venture agreements and contracts.	Destroy 7 years after action completed
21002 ■■■■■■■■	Signed joint venture contracts under seal prior to 15 November 2005 and supporting records: Western Australia.	Destroy 21 years after completion or other termination of contract
1910 ■■■■■■■■	Signed joint venture contracts under seal and supporting records: Victoria and South Australia.	Destroy 15 years after completion or other termination of contract
21003 ■■■■■■■■	Signed joint venture contracts under seal and supporting records: New South Wales, Western Australia (from 15 November 2005), Queensland, Australian Capital Territory and Tasmania.	Destroy 12 years after completion or other termination of contract
1912 ■■■■■■■■	Signed simple joint venture contracts and agreements and supporting records.	Destroy 7 years after completion or other termination of contract

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Marketing

The process of analysing, creating and selling products and services. Includes market research, sales forecasting, advertising, media releases, promotion, pricing and product evaluation.

Class No	Description of records	Disposal action
1913 ■■■■■■■■	Records documenting the marketing of publications. Includes research and assessment of products against market trends, sale forecasting, pricing and liaison with retailers.	Destroy 5 years after action completed
	<i>[For the development of a marketing plan, use PUBLICATION - Planning.]</i>	
1914 ■■■■■■■■	Records documenting the promotion of agency publications. Includes arranging advertising, product launches, displays at appropriate venues and photographs taken.	Destroy 3 years after action completed
1915 ■■■■■■■■	Records documenting the sale of an agency's publications. Includes the receipt and processing of orders.	Destroy 1 year after sale
	<i>[For managing financial transactions supporting the sale of the agency's publications, use FINANCIAL MANAGEMENT - Accounting.]</i>	

Meetings

The activities associated with ad hoc gatherings held to formulate, discuss, update or resolve issues and matters pertaining to the management of the section, department, or organisation as a whole. Includes arrangements, agenda, taking of minutes etc. Excludes committee meetings.

Class No	Description of records	Disposal action
1916 ■■■■■■■■	Final version of minutes and supporting documents tabled at meetings held to support the publication function. Includes meetings with external agencies.	Destroy 3 years after action completed
1917 ■■■■■■■■	Working papers documenting the conduct and administration of meetings held to support the publication function. Includes agenda, notices of meetings and draft minutes.	Destroy when reference ceases

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Planning

The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.

Class No	Description of records	Disposal action
1918 ■■■■■■■■	Final version of agency-wide publication plans.	Destroy 3 years after plan is superseded
1919 ■■■■■■■■	Final version of a section or business unit's publication plans, including state, regional or overseas office.	Destroy 3 years after plan is superseded
1920 ■■■■■■■■	Final version of publication project plan for the production of a specific product or publication.	Destroy 1 year after production of publication
1921 ■■■■■■■■	Final version of marketing plans for a specific product or publication.	Destroy 3 years after action completed
1922 ■■■■■■■■	Working papers used to develop all publication plans. Includes draft plans, reports analysing issues, and comments received and input made by other areas of the agency.	Destroy 1 year after adoption of the final plan
1923 ■■■■■■■■	Copies of all publication plans.	Destroy when reference ceases

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Policy

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the organisation's operating procedures are determined.

Class No	Description of records	Disposal action
1924 ■■■■■■■■	Records documenting the development and establishment of the agency's publication policies. Includes: <ul style="list-style-type: none"> • policy proposals; • research papers; • results of consultations; • supporting reports; • major drafts; and • final policy documents. 	Destroy 5 years after policy is superseded
1925 ■■■■■■■■	Records documenting comments made on the development of government-wide publication policies.	Destroy 2 years after promulgation of new policy
1926 ■■■■■■■■	Working papers documenting the development of all publication policies.	Destroy 2 years after promulgation of new policy
1927 ■■■■■■■■	Copies of policy documents and supporting papers.	Destroy when reference ceases

Procedures

Standard methods of operating laid down by an organisation according to formulated policy.

Class No	Description of records	Disposal action
1928 ■■■■■■■■	Master set of agency manuals, handbooks, directives etc detailing procedures supporting the publication function.	Destroy when procedures are superseded
1929 ■■■■■■■■	Records documenting the development of agency procedures supporting the publication function.	Destroy 1 year after production of procedures
1930 ■■■■■■■■	Copies of manuals, handbooks, directives etc.	Destroy when reference ceases

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Production

The process involved in producing material into an end result or output, eg a product or publication. Includes design, layout, typesetting, desktop publishing, printing, binding etc.

Class No	Description of records	Disposal action
1931 ■■■■■■■■■■	Master set of agency publications produced before 1968 (ie before the commencement of legal deposit under the Copyright Act 1968). <i>[For the disposal of duplicate agency publications produced before 1968, use PUBLICATIONS - Disposal.]</i>	Retain as national archives
1932 ■■■■■■■■■■	Agency publications produced after 1968 (ie after commencement of legal deposit with the National Library of Australia under the Copyright Act, 1968 which was extended to include the Commonwealth Library Deposit and Free Issues Scheme in 1970). Includes all publications on CD-ROMs, disks, videos, audio tapes produced for the public using Commonwealth funding and covers: <ul style="list-style-type: none"> • books; • booklets; • brochures; • conference proceedings; • pamphlets; • programs; • newsletters; • published reports (eg annual reports); • published training material; • maps; • plans; • charts; • posters; • greeting cards; • calendars; and • reprints of journal articles. <i>[For the disposal of duplicate agency publications produced after 1968, use PUBLICATIONS - Disposal.]</i>	(1) Lodge with NLA according to legal deposit requirements and adhere to the Commonwealth Library Deposit and Free Issues Scheme and (2) place master set with agency's Library and retain according to 4.1 of ALIA Guidelines for Aust. Special Libraries.
21188 ■■■■■■■■■■	Publications produced only in an electronic format on an agency's public website.	Retain as national archives

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Production - Continued

Class No	Description of records	Disposal action
1934 ■■■■■■■■	Master copy of agency-produced films.	Retain as national archives
1935 ■■■■■■■■	Snapshot of agency's public website taken in accordance with National Archives policy on archiving websites.	Retain as national archives
	<p><i>[For carrying out a risk analysis to determine the timing of taking a snapshot of an agency's website, use PUBLICATIONS - Risk Management.</i></p> <p><i>For system logs recording changes to websites and intranet site, use TECHNOLOGY & TELECOMMUNICATIONS - Control.]</i></p>	
1936 ■■■■■■■■	Snapshot of agency's intranet site, extranet sites and websites hosted on behalf of other organisations taken in accordance with National Archives policy on archiving websites.	Destroy when reference ceases
21189 ■■■■■■■■	Agency publications other than those paper publications lodged with the National Library of Australia (NLA) under legal deposit or electronic publications selected for preservation by the NLA's Pandora project (eg procedures, manuals and circulars).	Destroy according to disposal action directed under a relevant function in this Authority or an agency's RDA

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Production - Continued

Class No	Description of records	Disposal action
1938	Records documenting the production process.	Destroy 3 years after production
■■■■■■■■■■	<p>For paper-based publications includes:</p> <ul style="list-style-type: none"> • graphic design; • indexing; • final drafts of publications (electronic/paper version); • proof-reading; and • printing/binding. <p>For electronic publications includes:</p> <ul style="list-style-type: none"> • graphic design; • preparation of source files; • marking-up of document, including applying metadata; • quality assurance and testing of final HTML files; • creation of master version; • production of electronic media products (eg CD-ROMs, diskettes); and • updating and maintaining information and websites. <p>For films and videos:</p> <ul style="list-style-type: none"> • production script; • selection of a production company; and • liaison with production company. <p><i>[For the activities associated with the preparation of drafts prior to publication, use PUBLICATION - Drafting.</i></p> <p><i>For documenting the assignment of identifiers (eg URL, ISSN and ISBN), use PUBLICATION - Compliance.</i></p> <p><i>For planning the production of a specific product or publication, use PUBLICATION - Planning.]</i></p>	

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Reporting

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and to provide formal statements or findings of the results of the examination or investigation. Includes agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.

Class No	Description of records	Disposal action
1939 ■■■■■■■■	Final version of formal internal reports and reports made to external agencies relating to the publication function.	Destroy 5 years after action completed
1940 ■■■■■■■■	Final version of periodic internal reports on general administrative matters used to monitor and document recurring activities to support the publication function. Includes work progress reports, production reports, reports against work plans and reports on statistical and other surveys.	Destroy 3 years after action completed
1941 ■■■■■■■■	Working papers documenting the development of all reports. Includes drafts and comments received.	Destroy 1 year after action completed
1942 ■■■■■■■■	Copies of publication reports.	Destroy when reference ceases

Research

The activities involved in investigating or enquiring into a subject or area of interest in order to discover facts, principles etc used to support development of projects, standards, guidelines etc and the business activities of the organisation in general. Includes following up enquiries relating to organisational programs, projects, working papers, literature searches etc.

Class No	Description of records	Disposal action
1943 ■■■■■■■■	Records documenting research undertaken to support major publications of the agency.	Destroy 6 years after publication
1944 ■■■■■■■■	Records documenting routine research undertaken to support other publications of the agency.	Destroy 1 year after publication

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Reviewing

The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.

Class No	Description of records	Disposal action
1945 ■■■■■■■■	Records documenting a review of agency programs and operations supporting the publication function. Includes documents establishing the review, final report and action plan.	Destroy 5 years after action completed
1946 ■■■■■■■■	Working papers documenting a review of agency programs and operations supporting the publication function.	Destroy 2 years after action completed

Risk Management

The process involving identification of risks, likelihood and consequences of those risks and implementation of appropriate practice and procedures to treat the risks.

Class No	Description of records	Disposal action
1947 ■■■■■■■■	Records documenting risk management relating to the publication function (eg risk analysis to determine timing for a snapshot to be taken of the agency's web/intranet site). Includes records covering each stage of the process.	Destroy 7 years after last snapshot of website was taken
1948 ■■■■■■■■	Records documenting other risk management analysis undertaken to support the publication function. Includes records covering each stage of the process, treatment schedules and action plans.	Destroy 7 years after next risk assessment
1949 ■■■■■■■■	Publications risk register.	Destroy 7 years after last risk assessment

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Stocktake

The activities associated with the examination, counting and valuing of goods in the organisation with the view to reassessing the need for replacing those goods, and to identify missing items and determine the condition of the existing items.

Class No	Description of records	Disposal action
1950 ■■■■■■■■■■	Records documenting stocktakes of agency's publications (eg stocktake lists). Includes recommendations for the reprint/reproduction of a publication.	Destroy 2 years after action completed

Tendering

The activities involved in receiving and assessing tenders, of making offers and finalising contract arrangements for the supply, sale or purchase of goods and services.

Class No	Description of Records	Disposal Action
N/A	<i>[For the acquisition of goods and services required to support the publication function via a tender process, use PROCUREMENT - Tendering.]</i>	N/A