

Australian Capital Territory

# **Territory Records (Records Disposal Schedule – Parenting Services Records) Approval 2006 (No 1)**

**Notifiable instrument NI2006—349**

made under the

**Territory Records Act 2002, s 19 (Approval of schedules for the disposal of records)**

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## **1. Name of Instrument**

This instrument is the Territory Records (Records Disposal Schedule – Parenting Services Records) Approval 2006 (No 1)

## **2. Approval**

I approve the Records Disposal Schedule – Parenting Services Records.

## **3. Commencement**

This instrument commences on the day after notification.

David Wardle  
Director of Territory Records  
21 September 2006



# *Records Disposal Schedule Parenting Services Records*

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## **INTRODUCTION**

The *Records Disposal Schedule – Parenting Services Records* is the official authority for the disposal of records relating to parenting services records in the ACT.

It is one of a series of Records Disposal Schedules authorised by the Director of Territory Records in accordance with the provisions of the *Territory Records Act 2002*. It is used in conjunction with the *Territory Administrative Records Disposal Schedule (TARDiS)*.

## **PURPOSE**

The purpose of this Records Disposal Schedule is to provide for the authorised disposal of Parenting Services records created or maintained by ACT Government agencies.

## **SCOPE**

This Records Disposal Schedule applies to all ACT Government agencies as defined in the *Territory Records Act 2002*.

It applies to records in any format, including electronic records.

## **AUTHORITY**

The Director of Territory Records, in consultation with the Territory Records Advisory Council, has approved this Records Disposal Schedule for use. The schedule does not take effect until it has been incorporated into an agency's Records Management Program that has been replaced by the Principal Officer of the agency.

Even so, officers using this Records Disposal Schedule should apply it with caution. They should be aware that the authorisations for disposal are given in terms of the *Territory Records Act 2002* only. Officers must not dispose of records in contravention of this Records Disposal Schedule or other requirements.

This Records Disposal Schedule will remain in force until a new schedule supersedes it or the Director of Territory Records withdraws it from use.

## **STRUCTURE AND RELATIONSHIP TO THE TERRITORY VERSION OF KEYWORD AAA**

A Records Disposal Schedule generally specifies retention periods. That is, how long records are to be retained by the agency before being destroyed or retained as Territory Archives.

Retention periods set down in this schedule are minimum periods only and an agency may keep records for a longer period if considered necessary for business requirements. Reasons for longer retention could include legal requirements, administrative need or agency directives. **An agency must not dispose of any records where it is aware of possible legal action for which the records may be required as evidence.**

The *Records Disposal Schedule – Parenting Services Records* has a hierarchical structure that reflects its arrangements according to functions and activities, rather than by subject, and this also reflects a close relationship to the Territory Version of Keyword AAA. The Records Disposal Schedule is designed to be applicable to all Parenting Services records regardless of titling conventions used, so that records, which have not been titled using the terminology represented by this Records Disposal Schedule, may still be sentenced with relative ease.

### ***Territory Version of Keyword AAA***

The Territory Version of Keyword AAA is the general administrative thesaurus produced by the Territory Records Office. The structure and terms used in this Records Disposal Schedule are closely related to those used in the Territory Version of Keyword AAA, which is based on functional analysis of business activity. This methodology (i.e., the analysis of business activity) produces a hierarchical model of an organisation's business activity. The hierarchical model also represents a classification scheme for the records that document functions, activities and transactions.

The disposal actions listed in this Records Disposal Schedule were determined through the process of appraisal in accordance with *Territory Records Office Standard for Records Management No.2 – Appraisal*. Appraisal is based upon the same type of analysis of business activity employed in the classification scheme used in the Territory Version of Keyword AAA. Essentially, appraisal involves attaching record retention periods and disposal decisions (and even records creation requirements and rules) to the same classification scheme.

## **GUIDELINES FOR USE**

### ***Coverage of authority***

The Records Disposal Schedule – Parenting Services Records:

- Covers all Parenting Services records;
- Is intended to be used in conjunction with TARDiS;
- Specifies the minimum period records should be kept (retention periods);
- Specifies whether, upon the expiry of the retention periods, the records may be destroyed or are required as Territory Archives; and
- Is applicable to records created and maintained in any format, including electronic or formats such as microfiche.

### *Layout of the schedule*

This Records Disposal Schedule begins with an introduction incorporating definitions and the business classification scheme. Then each of the functions and activity disposal sets or ‘disposal classes’ relating to the functions are described. These are followed by a composite list of classes designated ‘Retain as Territory Archives’. The functions and activity disposal sets show the following details:

#### **Function.**

This is the broad level business function and is displayed in bold capital letters at the top of each page. It is the highest level in the business classification scheme. It is followed by the scope note, which provides definitions of the function and a collective view of the business activities that make that function unique.

#### **Activity.**

Activities are the processes or operations that make up the business function. They are set in bold and italics below the function statement. This is the second level of the business classification scheme. The scope of the activity encompasses all of the transactions that take place in relation to the activity. Activities can relate to many functions with the scope notes covering all of these relationships (e.g., the activity ‘Policy’ is linked to all of the functions). However, each function and activity set represents a unique unit.

#### **Entry No.**

This is the disposal class number allocated based on the function and activity set and the class number of the record. The barcode is the same as the Entry No. and may be used in an automated recordkeeping system.

#### **Description of Records.**

This is the description of the records documenting the business function, activity and transactions. The descriptions can relate to one record such as a register or a group of records documenting a particular set of transactions.

#### **Disposal Action.**

This is the minimum period a record must be kept for and is the trigger event from which the disposal date can be calculated.

## **FORMAT OF RECORD**

This Records Disposal Schedule is applicable to any record that performs the function prescribed, irrespective of format. Records may include:

- Cards;
- Registers;
- Files;
- Microfilm;
- Microfiche;
- COM (computer output microfiche);
- Electronic records, including various electronic media, and
- Any other formats.

### *Electronic records*

Refers to records created, communicated and maintained by means of electronic equipment. Information could be maintained/stored in a number of ways – on the database (the main database, or a special archives database); on magnetic media; on optical disks; or on separate hardcopy (paper, COM).

Electronic records must be readily accessible for the length of the specified retention period. Routine treatment (such as wiping, updating, alterations or re-recording) does not constitute disposal.

## **DESTRUCTION OF RECORDS**

When the approved disposal date for the destruction of records has been reached, appropriate arrangements for their destruction should be made. It is the responsibility of each agency to ensure that its records are destroyed in a secure and appropriate manner as indicated in the agency Records Management Program.

## **UPDATING THE RECORDS DISPOSAL SCHEDULE**

Records Disposal Schedules are reviewed and updated from time to time. For suggested amendments or alterations to this schedule please contact the Director of Territory Records.

## **ASSISTANCE IN USING THE RECORDS DISPOSAL SCHEDULE**

Agencies requiring any assistance in the interpretation or implementation of any Records Disposal Schedule are encouraged to contact the Director of Territory Records.



## **RELATED LEGISLATION**

The following legislation and codes of practice are related to the records classes covered by this Records Disposal Schedule:

*Children and Young People Act 1999*  
*Community Advocate Act 1991*  
*Community and Health Services Complaints Act 1993*  
*Disability Discrimination Act 1992 (Commonwealth)*  
*Disability Services Act 1991*  
*Domestic Relationships Act 1994*  
*Domestic Violence Agencies Act 1986*  
*Domestic Violence and Protection Orders Act 2001*  
*Evidence (Miscellaneous Provisions) Act 1991*  
*Evidence Act 1971*  
*Executive Documents Release Act 2001*  
*Financial Management Act 1996*  
*Freedom of Information Act 1989*  
*Government Procurement Act 2001*  
*Health Act 1993*  
*Health Promotion Act 1995*  
*Health Records (Privacy and Access) Act 1997*  
*Occupational Health and Safety Act 1989*  
*Privacy Act 1998 (Commonwealth)*  
*Public Sector Management Act 1994*  
*Territory Records Act 2002*

## **DEFINITIONS**

### ***Agency***

The Executive, an ACT Court, the Legislative Assembly Secretariat, an administrative unit, a Board of Inquiry, a Judicial or Royal Commission, any other prescribed authority, or an entity declared under the regulations of the *Territory Records Act 2002* to be an agency.

### ***Appraisal***

The process of evaluating business activities to:

- Determine which records need to be captured;
- Determine how long the records need to be kept to meet business needs; and
- Meet the requirements of organisational accountability and community expectations.

### ***Business Classification Scheme***

A hierarchical scheme for identifying and defining the functions, activities and transactions an agency performs in the conduct of its business, and the relationships between them.

### ***Principal Officer***

The Chief Executive of an administrative unit, or its equivalent in other types of agencies.

### ***Records***

Information created, received, and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transition of business. This recorded information must be maintained or managed by the agency to provide evidence of their business activities. Records can be in written, electronic or any other form.

### ***Records of an Agency***

Records, in writing, electronic or any other form, under the control of an agency or to which it is entitled to control, kept as a record of its activities, whether it was created or received by the agency.

### ***Records Disposal Schedule***

A document approved by the Director of Territory Records, which sets out the types of records an agency must make and how long they must be kept.

### ***Records Management Program***

A document that complies with Section 16 of the *Territory Records Act 2002* by setting out the means by which an agency will manage its records, and is approved by the agency's Principal Officer.

***Recordkeeping Systems***

Information systems that capture, maintain and provide access to records over time. While the term is often associated with computer software, Recordkeeping Systems also encompass policies, procedures, practices and resources that are applied within an agency to ensure that full and accurate records of business activity are made and kept.

***Scope Note***

An explanation of terms used in describing the records and the context in which they were made and used.

***Sentencing***

The process of applying appraisal decisions to individual records by determining the part of a Records Disposal Schedule that applies to the record and assigning a retention period consistent with that part.

***Territory Archives***

Records preserved for the benefit of present and future generations.

## **BUSINESS CLASSIFICATION SCHEME**

## ***PARENTING SERVICES***

The function of providing a range of universal and targeted parenting information and support services, including specialist support services, early intervention, and assistance for families.

### *Agreements*

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

### *Arrangements*

The activities involved in arranging for a journey or trip. Includes preparing travel itineraries, authorisations, entitlements etc Also includes arrangements made for the delivery of equipment or goods and the usage made of facilities, vehicles, equipment and space.

### *Audit*

The activities associated with officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of the agency in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

### *Cases*

This Activity descriptor should be used where there is a need to keep a number of activities together on one file, for legislative or operational reasons. Case files relate to incidents, persons, organisations or clients.

### *Committees*

The activities involved in arranging or attending conferences held either by the agency or by other agencies. Includes registrations, publicity, and reports of participants, etc.

### *Conferences*

The activities associated with the intelligence relating to successful and unsuccessful detection and collection of contraband items including illegal drugs.

### *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.

### *Evaluation*

The activities 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.

### *Exhibitions*

The activities associated with using agency material in mounted displays for the purpose of informing or educating the viewer, or promoting the activities, services, projects or programs of the agency.

*Grant funding*

The activities associated with the application for and receipt of grants.

*Implementation*

The activities associated with carrying out or putting into action, plans, policies, procedures or instructions, all of which could be internally or externally driven. Includes manual or automated databases, applications or systems, but excludes installation of equipment. Also includes monitoring to ensure the implementation goes according to schedule and that standards are met.

*Joint Ventures*

The activities involved in managing joint operations between departments, either within the agency or with other agencies, 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 agencies.

*Liaison*

The activities associated with maintaining regular general contact between the agency and professional associations, professionals in related fields, other private sector organisations and community groups. Includes sharing informal advice and discussions, membership of professional associations and collaborating on projects that are not joint ventures.

*Planning*

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

*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 agency's operating procedures are determined.

*Procedures*

Standard methods of operating laid down by the agency according to formulated policy.

*Public Reaction*

The process of handling public reaction to an organisation's policies or services. Includes anonymous letters, letters of complaint and letters of congratulations or appreciation received from the public.

*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.

***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 agency in general. Includes following up enquiries relating to agency programs, projects, working papers, literature searches etc.

***Reviewing***

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

***Submissions***

The preparation and submission of a formal statement (report, statistics etc) supporting a case or opinion held by the agency which is submitted to another agency, or within the agency, for the purpose of either gain or support.

***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.

## **RECORDS DISPOSAL SCHEDULE**







***PARENTING SERVICES***

The function of providing a range of universal and targeted parenting information and support services, including specialist support services, early intervention, and assistance for families.


***Agreements***

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

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
1.1.1 	Final version of significant agreements with government bodies or private organisations with implications for major liabilities or obligations.	Retain as Territory Archives
1.1.2 	Negotiations, establishment, maintenance and review of significant agreements.	Retain as Territory Archives
1.1.3 	Final version of other agreements.	Destroy 7 years after completion or other termination of agreement or contract.
1.1.4 	Negotiations, establishment, maintenance and review of other agreements.	Destroy 7 years after signing of agreement.

***Arrangements***

The activities involved in arranging for a journey or trip. Includes preparing travel itineraries, authorisations, entitlements etc Also includes arrangements made for the delivery of equipment or goods and the usage made of facilities, vehicles, equipment and space.




<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
1.2.1 	Travel and accommodation arrangements.	Destroy 1 year after last action

***PARENTING SERVICES***

The function of providing a range of universal and targeted parenting information and support services, including specialist support services, early intervention, and assistance for families.

***Audit***

The activities associated with officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of the agency in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.


<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
1.3.1 	Final report of an external audit (e.g. conducted by an external authority such as the ACT Auditor General's Office) where: <ul style="list-style-type: none"><li>• The audit report is qualified by the Auditor-General</li><li>• There are major or significant changes to practices.</li></ul>	Retain as Territory Archives
1.3.2 	Final report of an internal or external audit of where: <ul style="list-style-type: none"><li>• The audit report has been accepted by the Auditor-General</li><li>• There are no changes or only minor or routine changes to practices.</li></ul> Includes recommendations and implementation plans.	Destroy 10 years after last action
1.3.3 	Planning and conduct of internal and external audits.	Destroy 7 years after last action

***PARENTING SERVICES***

The function of providing a range of universal and targeted parenting information and support services, including specialist support services, early intervention, and assistance for families.

***Cases***

This activity descriptor should be used where there is a need to keep a number of activities together on one file, for legislative or operational reasons. Case files relate to incidents, persons, organisations or clients.




<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
1.4.1 	Client files including: <ul style="list-style-type: none"><li>• Intake referral information</li><li>• Case notes</li><li>• Case plans</li><li>• Referrals</li><li>• Reports</li><li>• Correspondence</li><li>• Case closures</li></ul>	Destroy 30 years after last action

***PARENTING SERVICES***

The function of providing a range of universal and targeted parenting information and support services, including specialist support services, early intervention, and assistance for families.

***Committees***

The activities associated with the management of committees and task forces. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agendas etc. Use STRATEGIC MANAGEMENT – Committees for audit committees.







<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
1.5.1 	External committees formed to manage or advise. Includes final version of documents: <ul style="list-style-type: none"><li>• Establishing the committee;</li><li>• Terms of reference;</li><li>• Appointment of members;</li><li>• Minutes;</li><li>• Reports;</li><li>• Recommendations; and</li><li>• Supporting documents such as briefing and discussion papers.</li></ul>	Retain as Territory Archives
1.5.2 	Internal committees formed to manage or advise. Includes final version of documents: <ul style="list-style-type: none"><li>• Establishing the committee</li><li>• Terms of reference</li><li>• Appointment of members</li><li>• Minutes</li><li>• Reports</li><li>• Recommendations</li><li>• Supporting documents such as briefing papers and discussion papers</li></ul>	Destroy 7 years after last action
1.5.3 	Working papers and administration of committees. Includes: <ul style="list-style-type: none"><li>• Agenda</li><li>• Notice of meetings</li><li>• Draft minutes</li><li>• Room bookings</li></ul>	Destroy 6 months after last action

**PARENTING SERVICES**

The function of providing a range of universal and targeted parenting information and support services, including specialist support services, early intervention, and assistance for families.


**Conferences**

The activities involved in arranging or attending conferences held either by the agency or by other agencies. Includes registrations, publicity, and reports of participants etc.

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
1.6.1 	Unpublished papers delivered at conferences arranged by the agency.	Retain as Territory Archives
1.6.2 	Conferences arranged by the agency. Includes: <ul style="list-style-type: none"> <li>• Program development;</li> <li>• Invitations to speakers;</li> <li>• Promotion activities;</li> <li>• Registrations;</li> <li>• Venue bookings.</li> </ul>	Destroy 3 years after last action
1.6.3 	Reports commenting on and assessing conferences.	Destroy 3 years after last action
1.6.4 	Master copy of unpublished proceedings and reports, speeches and papers from conferences.	Destroy 3 years after last action
1.6.5 	Published proceedings from conferences.	Destroy 2 years after last action
1.6.6 	Attendance of staff at conferences arranged by other organisations. Includes conference promotion material, programs and registration forms.  <i>[For travel and accommodation arrangements made for staff to attend conferences, use Parenting Services - Arrangements.]</i>	Destroy 2 years after last action

**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.




<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
1.7.1 	Contract management. Includes: <ul style="list-style-type: none"> <li>• Minutes of meetings</li> <li>• Performance and evaluation reports</li> </ul>	Destroy 7 years after completion or other termination of the contract

***PARENTING SERVICES***

The function of providing a range of universal and targeted parenting information and support services, including specialist support services, early intervention, and assistance for families.


***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.

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
1.8.1 	External and internal reports.	Retain as Territory Archives
1.8.2 	Other records documenting evaluation and ongoing monitoring.	Destroy 3 years after last action
1.8.3 	Working papers supporting external or internal reports.	Destroy 6 months after last action

***Exhibitions***

The activities associated with using agency material in mounted displays for the purpose of informing or educating the viewer, or promoting the activities, services, projects or programs of the agency.







<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
1.9.1 	Documenting the mounting of displays. Includes exhibition brief and design, and arrangements for setting up a display.	Destroy 3 years after last action

***PARENTING SERVICES***

The function of providing a range of universal and targeted parenting information and support services, including specialist support services, early intervention, and assistance for families.

***Grant funding***

The activities and actions associated with the application for and receipt of grants.


<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
1.10.1 	Records documenting successful applications made by the agency for grant funding from a non-government source.	Destroy 7 years after last action
1.10.2 	Records documenting successful grant funding applications made by external organisations and individuals to implement agency programs and services that relate to the parenting Services function. Includes: <ul style="list-style-type: none"><li>• Funding proposals</li><li>• Funding submissions</li><li>• Acknowledgement letters</li><li>• Funding criteria</li><li>• Funding agreements</li><li>• Performance reports</li><li>• Breaches of conditions</li><li>• Funding acquittals</li></ul>	Destroy 7 years after last action
1.10.3 	Records documenting the administration of grant funds received.	Destroy 7 years after grant acquitted
1.10.4 	Records documenting the development of strategies for managing processes associated with the agency applying for grants.	Destroy 7 years after strategies are superseded
1.10.5 	Records documenting unsuccessful application made by the agency for grant funding from a non-government source.	Destroy 2 years after last action
1.10.6 	Records documenting unsuccessful grant funding applications made by external organisations and individuals to implement agency programs and services. Includes: <ul style="list-style-type: none"><li>• Funding proposals</li><li>• Funding submissions</li><li>• Funding criteria</li><li>• Acknowledgement letters</li></ul>	Destroy 2 years after action completed

***PARENTING SERVICES***

The function of providing a range of universal and targeted parenting information and support services, including specialist support services, early intervention, and assistance for families.





***Implementation***

The activities associated with carrying out or putting into action, plans, policies, procedures or instructions, all of which could be internally or externally driven. Includes manual or automated databases, applications or systems, but excludes installation of equipment. Also includes monitoring to ensure the implementation goes according to schedule and that standards are met.

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
1.11.1 	Implementation of developed plans, policies and procedures.	Destroy 7 years after last action

***Joint Ventures***

The activities involved in managing joint operations between departments, either within the agency or with other agencies, 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 agencies.

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
1.12.1 	Final signed versions of major joint venture agreements or contracts. Includes those with implications for major liabilities or obligations.	Retain as Territory Archives
1.12.2 	Working papers relating to the establishment negotiations and management of major joint venture agreements.	Retain as Territory Archives
1.12.3 	Final versions of other joint venture agreements or contracts.	Destroy 7 years after completion or other termination of agreement or contract
1.12.4 	Working papers relating to the establishment, negotiations and management of other joint venture agreements or contracts.	Destroy 7 years after signing of agreement or contract




***PARENTING SERVICES***

The function of providing a range of universal and targeted parenting information and support services, including specialist support services, early intervention, and assistance for families.




***Liaison***

The activities associated with maintaining regular general contact between the agency and professional associations, professionals in related fields, other private sector organisations and community groups. Includes sharing informal advice and discussions, membership of professional associations and collaborating on projects that are not joint ventures.

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
1.13.1 	Liaison activities undertaken with professional associations, private sector organisations and community groups. Includes collaboration on projects, exchange of information and all the activities of a member of an organisation.	Destroy 3 years after last action

***Planning***

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





<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
1.14.1 	Final versions of plans for major projects that support key government initiatives or impact on cross-portfolio administration and/or have far reaching social and economic implications.	Retain as Territory Archives
1.14.2 	Final version of plans for other projects that support government initiatives that have no impact on cross-portfolio administration and/or have no far-reaching social and economic implications.	Destroy 5 years after last action
1.14.3 	Working papers used to develop plans for projects. Includes draft plans, reports analysing issues, and comments on draft plans.	Destroy 1 year after adoption of the final plan

***PARENTING SERVICES***

The function of providing a range of universal and targeted parenting information and support services, including specialist support services, early intervention, and assistance for families.

***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 agency's operating procedures are determined.



<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
1.15.1 	Final version of policies.	Retain as Territory Archives
1.15.2 	Development and establishment of agency's policies. Includes: <ul style="list-style-type: none"><li>• Policy proposals</li><li>• Results of consultations</li><li>• Supporting reports</li><li>• Major drafts</li></ul>	Destroy 5 years after policy is superseded
1.15.3 	Comments made on the development of policies.	Destroy 3 years after the promulgation of the new policy
1.15.4 	Working papers documenting the development of policies.	Destroy 3 years after the promulgation of the new policy

***PARENTING SERVICES***

The function of providing a range of universal and targeted parenting information and support services, including specialist support services, early intervention, and assistance for families.



***Procedures***

Standard methods of operating laid down by the agency according to formulated policy.

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
1.16.1 	Master set of agency manuals, handbooks and directives etc. detailing procedures.	Retain as Territory Archives
1.16.2 	Records documenting the development of procedures.	Destroy 2 years after procedures are superseded

***Public Reaction***

The process of handling public reaction to an organisation's policies or services. Includes anonymous letters, letters of complaint and letters of congratulations or appreciation received from the public.





<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
1.17.1 	Public reaction and agency responses resulting in significant change to policies, procedures or programs.	Retain as Territory Archives
1.17.2 	Public reaction and agency responses that are routine or do not cause significant changes to policies, procedures or programs.	Destroy 6 years after action completed

***PARENTING SERVICES***

The function of providing a range of universal and targeted parenting information and support services, including specialist support services, early intervention, and assistance for families.

***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.

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
1.18.1 	Final version of ad-hoc internal formal reports and reports made to external agencies.	Retain as Territory Archives
1.18.2 	Final versions of periodic internal reports used to monitor and document recurring activities to support Parenting Services. Includes the collection and reporting of statistical information.	Destroy 7 years after last action
1.18.3 	Responses to surveys.	Destroy 3 years after last action
1.18.4 	Working papers documenting the development of all reports. Includes drafts and comments received.	Destroy 6 months after last action

***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 agency in general. Includes following up enquiries relating to agency programs, projects, working papers, literature searches etc.




<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
1.19.1 	Detailed research.	Retain as Territory Archives
1.19.2 	Routine research.	Destroy 6 months after last action

***PARENTING SERVICES***

The function of providing a range of universal and targeted parenting information and support services, including specialist support services, early intervention, and assistance for families.





***Reviewing***

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

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
1.20.1 	Final report of review of agency programs and operations.	Retain as Territory Archives
1.20.2 	Other records documenting a review of agency programs and operations. Includes documents establishing the review, action plan, etc.	Destroy 3 years after last action
1.20.3 	Working papers documenting a review of agency programs and operations.	Destroy 1 year after last action

***Submissions***

The preparation and submission of a formal statement (report, statistics etc) supporting a case or opinion held by the agency which is submitted to another agency, or within the agency, for the purpose of either gain or support.









<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
1.21.1 	Final version of submissions on controversial issues including working papers.	Retain as Territory Archives
1.21.2 	Final version of successful agency submissions.	Retain as Territory Archives
1.21.3 	Final version of unsuccessful agency submissions.	Retain as Territory Archives
1.21.4 	Working papers documenting the development of submissions. Includes draft submissions.	Destroy 6 months after last action

**PARENTING SERVICES**

The function of providing a range of universal and targeted parenting information and support services, including specialist support services, early intervention, and assistance for families.

**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.

<b>Entry No.</b>	<b>Description of Records</b>	<b>Disposal Action</b>
1.22.1 	Signed contracts under seal resulting from tenders.	Destroy 12 years after completion or other termination of contract
1.22.2 	Development and issue of tender documentation. Includes Statement of Requirements, Request for Proposals, Expression of Interest, Request for Tender (RFT) and draft contract.	Destroy 7 years after tender process completed
1.22.3 	Evaluation of tenders relating to parenting services received against selection criteria. Includes records documenting arrangement for carrying out the evaluation process, evaluation report, recommendations, final report and public notices.	Destroy 7 years after tender process completed
1.22.4 	Post-offer negotiations and due diligence checks for tenders.	Destroy 7 years after tender process completed.
1.22.5 	Tender register.	Destroy 7 years after last entry.
1.22.6 	Signed simple contracts and agreements	Destroy 7 years after completion or other termination of agreement or contract
1.22.7 	Contract register.	Destroy 7 years after last entry.
1.22.8 	Unsuccessful tenders or a tender process where there is no suitable bidder, or where the tender process has been discontinued. Includes submissions, notification of outcome and reports on debriefing sessions.	Destroy 2 years after tender process completed or decision made not to continue with the tender

## **CLASSES FOR RETENTION AS TERRITORY ARCHIVES**



***Classes for Retention as Territory Archives***

***PARENTING SERVICES***

The function of providing a range of universal and targeted parenting information and support services, including specialist support services, early intervention, and assistance for families.


***Agreements***

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

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
1.1.1 	Final version of significant agreements with government bodies or private organisations with implications for major liabilities or obligations.	Retain as Territory Archives
1.1.2 	Negotiations, establishment, maintenance and review of significant agreements.	Retain as Territory Archives

***Audit***

The activities associated with officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of the agency in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
1.3.1 	Final report of an external audit (e.g. conducted by an external authority such as the ACT Auditor General's Office) where: <ul style="list-style-type: none"><li>• The audit report is qualified by the Auditor-General</li><li>• There are major or significant changes to practices.</li></ul>	Retain as Territory Archives




*Classes for Retention as Territory Archives*

**PARENTING SERVICES**

The function of providing a range of universal and targeted parenting information and support services, including specialist support services, early intervention, and assistance for families.

*Committees*

The activities associated with the management of committees and task forces. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agendas etc. Use STRATEGIC MANAGEMENT – Committees for audit committees.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.5.1 	External committees formed to manage or advise. Includes final version of documents: <ul style="list-style-type: none"><li>• Establishing the committee;</li><li>• Terms of reference;</li><li>• Appointment of members;</li><li>• Minutes;</li><li>• Reports;</li><li>• Recommendations; and</li><li>• Supporting documents such as briefing and discussion papers.</li></ul>	Retain as Territory Archives


***Classes for Retention as Territory Archives***

***PARENTING SERVICES***

The function of providing a range of universal and targeted parenting information and support services, including specialist support services, early intervention, and assistance for families.


***Conferences***

The activities involved in arranging or attending conferences held either by the agency or by other agencies. Includes registrations, publicity, and reports of participants etc.

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
1.6.1 	Unpublished papers delivered at conferences arranged by agency.	Retain as Territory Archives



***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.

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
1.8.1 	External and internal reports.	Retain as Territory Archives

***Joint Ventures***

The activities involved in managing joint operations between departments, either within the agency or with other agencies, 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 agencies.

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
1.12.1 	Final signed version of major joint venture agreements or contracts. Includes those with implications for major liabilities or obligations.	Retain as Territory Archives
1.12.2 	Working papers relating to the establishment and negotiations and management of major joint venture agreements.	Retain as Territory Archives


***Classes for Retention as Territory Archives***

***PARENTING SERVICES***

The function of providing a range of universal and targeted parenting information and support services, including specialist support services, early intervention, and assistance for families.

***Planning***

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

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
1.14.1 	Final versions of plans for major projects that support key government initiatives or impact on cross-portfolio administration and/or have far reaching social and economic implications.	Retain as Territory Archives


***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 agency's operating procedures are determined.

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
1.15.1 	Final version of policies.	Retain as Territory Archives


***Procedures***

Standard methods of operating laid down by the agency according to formulated policy.

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
1.16.1 	Master set of agency manuals, handbooks and directives etc. detailing procedures.	Retain as Territory Archives

***Public Reaction***

The process of handling public reaction to an organisation's policies or services. Includes anonymous letters, letters of complaint and letters of congratulations or appreciation received from the public.

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
1.17.1 	Public reaction and agency responses resulting in significant change to policies, procedures or programs.	Retain as Territory Archives


***Classes for Retention as Territory Archives***

***PARENTING SERVICES***

The function of providing a range of universal and targeted parenting information and support services, including specialist support services, early intervention, and assistance for families.

***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.

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
1.18.1 	Final version of internal formal reports and reports made to external agencies.	Retain as Territory Archives


***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 agency in general. Includes following up enquiries relating to agency programs, projects, working papers, literature searches etc.

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
1.19.1 	Detailed research.	Retain as Territory Archives



***Reviewing***

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

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
1.20.1 	Final report of review of agency programs and operations.	Retain as Territory Archives

***Submissions***

The activities associated with liaising with victims.

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
1.21.1 	Final version of submissions on controversial issues including working papers.	Retain as Territory Archives
1.21.2 	Final version of successful agency submissions.	Retain as Territory Archives

***Records Disposal Schedule – Parenting Services Records September 2006***

***Classes for Retention as Territory Archives***

1.21.3	Final version of unsuccessful agency submissions.	Retain as Territory Archives
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