

Australian Capital Territory

# **Territory Records (Records Disposal Schedule – Procurement Records) Approval 2007 (No 1)**

**Notifiable instrument NI2007—312**

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 – Procurement Records) Approval 2007 (No 1)

## **2. Approval**

I approve the Records Disposal Schedule – Procurement Records.

## **3. Commencement**

This instrument commences on the day after notification.

## **4. Revocation**

I revoke Notifiable Instrument NI 2006–443 notified 13 December 2006.

David Wardle  
Director of Territory Records  
4 October 2007



*Records Disposal Schedule  
Procurement Records*

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## **INTRODUCTION**

The *Records Disposal Schedule - Procurement Records* is the official authority for the disposal of records relating to Procurement Records.

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 Procurement records created or maintained by ACT Government Agencies.

## **SCOPE**

This Records Disposal Schedule applies to records created or maintained by ACT Government Agencies. It applies to records in any format, including electronic records.

## **AUTHORITY**

The Director of Territory Records, in consultation with stakeholders and 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 signed off 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 - Procurement 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 Procurement 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 - Procurement Records:

- covers all Procurement 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;
- 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 is related to the records classes covered by this Records Disposal Schedule:

*Government Procurement Act 2001*

*Limitation Act 1985*

*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**

***PROCUREMENT 153***

The function of managing the entire procurement process by which all classes of resources (human, material, facilities and services) are obtained generally for a specific program or project. Includes the activities of planning, design, standards determination, developing specifications, drawing up, issuing and receiving tenders, establishing Service Level Agreements and Memoranda of Understanding. Also includes providing advice, conducting supplier's audits, reporting on the performance of external service providers and suppliers, providing contract and risk management services, conducting post implementation reviews.

***Advice 005***

The activities associated with offering opinions by or to the agency as to an action or judgement. Includes the process of advising. [TARDiS]

***Agreements 006***

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

***Audit 013***

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. [TARDiS]

***Authorisation 014***

The process of delegating power to authorise an action and the seeking and granting permission to undertake a requested action. [TARDiS]

***Committees 020***

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. [TARDiS]

***Construction 024***

The process of making or building something. [TARDiS]

### ***PROCUREMENT 153***

The function of managing the entire procurement process by which all classes of resources (human, material, facilities and services) are obtained generally for a specific program or project. Includes the activities of planning, design, standards determination, developing specifications, drawing up, issuing and receiving tenders, establishing Service Level Agreements and Memoranda of Understanding. Also includes providing advice, conducting supplier's audits, reporting on the performance of external service providers and suppliers, providing contract and risk management services, conducting post implementation reviews.

### ***Contract Services 322***

Contract management services including:

- the creation of a contract record;
- the electronic registration of the contract including the receipt and release of securities;
- publication of the contract;
- monitoring the currency of insurances and licences;
- approval and processing of contract variations;
- monitoring and managing contract performance;
- dispute resolution.

Tip. for all matters relating to the establishment of the contract see Tendering Services.

### ***Enquiries 040***

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

### ***Joint Ventures 062***

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. [TARDiS]

### ***Planning 079***

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

### ***PROCUREMENT 153***

The function of managing the entire procurement process by which all classes of resources (human, material, facilities and services) are obtained generally for a specific program or project. Includes the activities of planning, design, standards determination, developing specifications, drawing up, issuing and receiving tenders, establishing Service Level Agreements and Memoranda of Understanding. Also includes providing advice, conducting supplier's audits, reporting on the performance of external service providers and suppliers, providing contract and risk management services, conducting post implementation reviews.

### ***Policy 080***

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. [TARDiS]

### ***Prequalification 323***

Prequalification is the initial phase of procurement in what is normally a two stage process. The second stage is tendering.

Prequalification is the assessment of suppliers against a set of nationally agreed best practice benchmarks for supplier capacity and performance. It facilitates industry development as well as expediting the tender review process and minimising the cost of tendering to industry and government. It is a recognised risk management approach to sorting suppliers.

Use PROCUREMENT - Risk management for managing other risks

### ***Procedures 082***

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

### ***Reporting 088***

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. [TARDiS]

### ***Risk management 095***

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

***PROCUREMENT 153***

The function of managing the entire procurement process by which all classes of resources (human, material, facilities and services) are obtained generally for a specific program or project. Includes the activities of planning, design, standards determination, developing specifications, drawing up, issuing and receiving tenders, establishing Service Level Agreements and Memoranda of Understanding. Also includes providing advice, conducting supplier's audits, reporting on the performance of external service providers and suppliers, providing contract and risk management services, conducting post implementation reviews.

***Standards 100***

The process of implementing industry or agency specific benchmarks for services and processes to enhance the quality and efficiency of the agency. [TARDiS]

***Submissions 102***

The preparation and submission of a formal statement (e.g. 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. [TARDiS]

***Tendering services 324***

The activities involved in preparing tenders and procurement documentation up to contract establishment by either the full execution of formal contract, or by the transmission of a letter of acceptance.

***Works As Executed (WAE) 325***

Activities relating to the preparation of final records (e.g. paper, electronic, film, etc.) for a constructed asset, based upon the approved design drawings, as amended to reflect the actual constructed works.



## **RECORDS DISPOSAL SCHEDULE**

***PROCUREMENT 153***

The function of managing the entire procurement process by which all classes of resources (human, material, facilities and services) are obtained generally for a specific program or project. Includes the activities of planning, design, standards determination, developing specifications, drawing up, issuing and receiving tenders, establishing Service Level Agreements and Memoranda of Understanding. Also includes providing advice, conducting supplier's audits, reporting on the performance of external service providers and suppliers, providing contract and risk management services, conducting post implementation reviews.

***Advice 005***

The activities associated with offering opinions by or to the agency as to an action or judgement. Includes the process of advising. [TARDiS]

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
153.005.001 ■■■■■■■■■■■■■■■■■■■■	Advice, that resulted in major changes to the organisation or management of Procurement programs. Includes advice provided by consultants.	Retain as Territory Archives
153.005.002 ■■■■■■■■■■■■■■■■■■■■	Records documenting the receipt and provision of all other advice on Procurement. Includes advice provided by consultants.	Destroy 7 years after action completed
153.005.003 ■■■■■■■■■■■■■■■■■■■■	Working papers documenting the development of advice on Procurement.	Destroy 2 years after action completed

***PROCUREMENT 153***

The function of managing the entire procurement process by which all classes of resources (human, material, facilities and services) are obtained generally for a specific program or project. Includes the activities of planning, design, standards determination, developing specifications, drawing up, issuing and receiving tenders, establishing Service Level Agreements and Memoranda of Understanding. Also includes providing advice, conducting supplier's audits, reporting on the performance of external service providers and suppliers, providing contract and risk management services, conducting post implementation reviews.

***Agreements 006***

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

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





















**PROCUREMENT 153**

The function of managing the entire procurement process by which all classes of resources (human, material, facilities and services) are obtained generally for a specific program or project. Includes the activities of planning, design, standards determination, developing specifications, drawing up, issuing and receiving tenders, establishing Service Level Agreements and Memoranda of Understanding. Also includes providing advice, conducting supplier's audits, reporting on the performance of external service providers and suppliers, providing contract and risk management services, conducting post implementation reviews.

**Procedures 082**

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
153.082.001 ■■■■■■■■■■■■■■■■■■■■	Master set of agency manuals, handbooks, directives, etc. detailing procedures.	Retain as Territory Archives
153.082.002 ■■■■■■■■■■■■■■■■■■■■	Records documenting the development of agency procedures.	Destroy 2 years after action completed

**Reporting 088**

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. [TARDiS]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
153.088.001 ■■■■■■■■■■■■■■■■■■■■	Final version of internal formal reports and reports made to external agencies.	Destroy 5 years after action completed
153.088.002 ■■■■■■■■■■■■■■■■■■■■	Final versions of periodic internal reports on general administrative matters used to monitor and document recurring activities to support the procurement function. Includes the collection and reporting of statistical information.	Destroy 3 years after action completed
153.088.003 ■■■■■■■■■■■■■■■■■■■■	Responses to surveys.	Destroy 6 months after last action.









**RETAIN AS TERRITORY ARCHIVES**

***PROCUREMENT 153***

The function of managing the entire procurement process by which all classes of resources (human, material, facilities and services) are obtained generally for a specific program or project. Includes the activities of planning, design, standards determination, developing specifications, drawing up, issuing and receiving tenders, establishing Service Level Agreements and Memoranda of Understanding. Also includes providing advice, conducting supplier's audits, reporting on the performance of external service providers and suppliers, providing contract and risk management services, conducting post implementation reviews.

***Advice 005***

The activities associated with offering opinions by or to the agency as to an action or judgement. Includes the process of advising. [TARDiS]

<b><i>Entry No.</i></b>	<b><i>Description of Records</i></b>	<b><i>Disposal Action</i></b>
153.005.001 ■■■■■■■■■■■■■■■■■■■■	Advice, that resulted in major changes to the organisation or management of Procurement programs. Includes advice provided by consultants.	Retain as Territory Archives

***Agreements 006***

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

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

















***SCHEDULE OF AMENDMENTS – this information is provided for the assistance of users but does not form part of the Notifiable Instrument.***

Changes to NI2006-443

Dated

14/12/2006

**New Features (Insertions)**

<b>FUNCTION</b>	<b>ACTIVITY</b>	<b>Entry no.</b>	<b>Description</b>
Procurement 153	Audit 013	001-003	<b>New activity</b>

**Enhancements (Changes)**

<b>FUNCTION</b>	<b>ACTIVITY</b>	<b>Entry no.</b>	<b>Description</b>
All	All	All	All Records Disposal Schedule entry numbers are being systematically changed to reflect the adoption of a new unique number for record disposal schedules. The changes facilitate barcode technology that may be adopted in the future. This update applies the new numbering system.
Procurement 153	Advice 005	153.005.002	Replaces 1.1.2
Procurement 153	Authorisation 014	153.014.002	Replaces 1.3.2
Procurement 153	Committees 020	153.020.002	Replaces 1.4.2
Procurement 153	Procedures 082	153.082.002	Replaces 1.12.2
Procurement 153	Reporting 088	153.088.001	Replaces 1.13.1
Procurement 153	Reporting 088	153.088.002	Replaces 1.13.2

**Corrections (Deletions)**

<b>FUNCTION</b>	<b>ACTIVITY</b>	<b>Entry no.</b>	<b>Description</b>