# Territory Records (Records Disposal Schedule – Territory Administrative Records Disposal Schedules – Information Management Records) Approval 2009 (No 1)

Notifiable instrument NI2009—442

made under the

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

#### 1. Name of Instrument

This instrument is the Territory Records (Records Disposal Schedule – Territory Administrative Records Disposal Schedules - Information Management Records) Approval 2009 (No 1)

#### 2. Approval

I approve the Records Disposal Schedule – Territory Administrative Records Disposal Schedules - Information Management Records.

#### 3. Commencement

This instrument commences on the day after notification.

#### 4. Revocation

I revoke Notifiable Instrument NI2003-262 notified 3 July 2003.

David Wardle Director of Territory Records 8 September 2009



# **TARDiS**

# Territory Administrative Records Disposal Schedules

**Information Management Records** 

Disposal schedules for records of common administrative functions linked to the Territory Version of Keyword AAA.

The Territory Records Office wishes to thank for their assistance, and acknowledge the permission of the National Archives of Australia in adapting the Commonwealth Administrative Functions Disposal Authority to create this document. The terms in the business classification scheme, taken from the *Territory Version of Keyword AAA* are produced under a licence agreement between the Territory Records Office and the State Records Authority of New South Wales.

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#### **Background**

The Territory Administrative Records Disposal Schedules (TARDiS) authorise the disposal of records, in whatever format, relating to common administrative functions carried out by most Territory agencies. The Schedules are issued in accordance with Section 19 of the *Territory Records Act 2002*. The Schedules have been developed using the methodologies of the Australian Standard AS ISO 15489, *Records Management*, and their functional structure is based on the business classification scheme *Keyword AAA: A Thesaurus of General Terms* produced by the State Records Authority of NSW. In 2001 the Territory Records Office purchased a whole-of-government licence for the Thesaurus for free distribution to all Territory agencies. The relationship between the Thesaurus and the Schedules is explained in this introduction.

In compliance with the requirements of the *Territory Records Act 2002*, the TARDiS was reviewed in 2008/2009 and modified to reflect the results of the review and to support the whole-of-government paradigm. Modifications were made to the business classification scheme, to better suit the Territory environment, by adding or removing functions and/or activities and varying scope notes of some activities and functions. The updated business classification scheme is presented at the end of this introduction.

#### **Best Practice in Territory Recordkeeping**

The Australian Standard on Records Management AS ISO 15489 has been adopted as the model for best practice recordkeeping. It promotes consistent management of records and sets out strategies, procedures and practices to ensure that records which provide evidence of business, legal and fiscal activities are captured and managed in an efficient and accountable manner. The Territory Records Office has produced guidelines and standards based on AS ISO 15489 to assist agencies to implement these recordkeeping strategies. While AS ISO 15489 provides a strategic direction in Territory recordkeeping, the *Territory Records Act 2002*, and other key pieces of legislation, provides a legal framework for consistent and accountable recordkeeping practices.

#### Territory records and the law

The *Territory Records Act 2002* applies to all records owned by the Territory. Territory records are defined in Section 9 of the *Territory Records Act 2002* as being:

'a record, in written, electronic or any other form, under the control of the 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 are created and kept as evidence of agencies functions, activities and transactions and can be stored and managed in any format (e.g. paper, video, photograph, microfilm, on computer). Under Section 23 (1) of the *Territory Records Act 2002* it is illegal to abandon or dispose of a record, transfer, damage a record or

neglect a record in a way that causes, or is likely to cause, damage to a Territory record. However, an agency does not contravene this section by doing:

- anything in accordance with the agency's normal administrative practice;
- anything authorised or required to be done under this Act, or a provision of another Act, or a subordinate law, prescribed under the regulations;
- anything with the written approval of the Director of Territory Records or in accordance with a practice or procedure approved by the Director;
- anything in accordance with a resolution of the Legislative Assembly; or
- anything in accordance with an order or decision of a court or tribunal

The *Territory Records Act 2002* also grants a right of free public access to records which survive for more than 20 years. Some records may not be open for public access if they contain material that is still sensitive. As well as the *Territory Records Act 2002*, other general legislation which also applies to keeping and using Territory records such as the *Freedom of Information Act 1989.00* The access section of the *Territory Records Act 2002* came into affect on 1 July 2008.

The Freedom of Information Act 1989 provides a right of public access to, and correction of, Territory records. The Freedom of Information Act 1989 sets out procedures and principles controlling the granting of this access. It states when and how records may be made available, corrected, updated or annotated. If a request for access under the Freedom of Information Act 1989 has been lodged, all files relevant to the request must be identified and preserved until action on the request, and on any subsequent reviews, is completed.

### Purpose and Scope of the Territory Administrative Records Disposal Schedules

#### **Purpose**

These Records Disposal Schedules allow the disposal of Territory records as required by Section 19 of the *Territory Records Act 2002* and are issued for use across the Territory.

#### Scope

These Records Disposal Schedules cover the records relating to the common administrative functions performed by the Territory and its agencies. It applies to all records regardless of format. It covers the following 16 common administrative functions, listed by their identifying number, based on the *Territory Version of Keyword AAA* business classification scheme:

- 1. COMMUNITY RELATIONS
- 2. COMPENSATION
- 3. EQUIPMENT & STORES
- 4. ESTABLISHMENT
- 5. FINANCIAL MANAGEMENT
- 6. FLEET MANAGEMENT
- 7. GOVERNMENT RELATIONS

- 8. INDUSTRIAL RELATIONS
- 9. INFORMATION MANAGEMENT
- 10. LEGAL SERVICES
- 11. OCCUPATIONAL HEALTH & SAFETY (OH&S)
- 12. PERSONNEL
- 13. PROPERTY MANAGEMENT
- 14. PUBLICATION
- 16. STRATEGIC MANAGEMENT
- 17. TECHNOLOGY & TELECOMMUNICATIONS

More information on the 16 common administrative functions and the activities which relate to them is provided in the section on the Business Classification Schemes.

#### Methodology

These Records Disposal Schedules were produced after a detailed analysis of each administrative function carried out in the Territory. This included examining relevant legislation, regulations and directives from agencies which have 'lead agency' responsibilities for administering functions across portfolios. Consultations with stakeholders assisted in identifying recordkeeping requirements and risk analysis was used to assess how long the records should be retained. The appraisal also identified which records should be "Retained as Territory Archives" based on the objectives and criteria set out in *Territory Records Office Standard for Records Management No.2 – Appraisal*.

Some functions and activities covered in these Records Disposal Schedules will also be part of an agency's core functions. In these circumstances agencies may use the Schedule whose functional term best describes their own administrative responsibility where it meets their business needs.

#### Records already sentenced under old disposal schedules

After 1 July 2003, sentencing activities undertaken by an agency must use these Records Disposal Schedules for disposing of all common administrative records. If records have already been sentenced for destruction before the issue of these Records Disposal Schedules, the sentences may remain and agencies need not re-sentence those records.

#### Agency Specific Records Disposal Schedules

Operational-specific Records Disposal Schedules must be developed for records relating to business activities carried out by agencies to support core functional responsibilities not covered by these Schedules.

#### Relationship of the Records Disposal Schedule to the Thesaurus

The whole-of-government functional analysis approach cuts across departments and organisational structures, with functions not just seen as belonging to those agencies and areas in an agency which may have prime responsibility for their administration. For example, training may be managed at an organisational level by the Human

Resource area of an agency, but it is probable that most business areas would carry out activities to support the planning of staff training and development requirements for their own employees. Other agencies may also have an operational responsibility to provide training and can use the activity term Training in their own classification schemes.

The outcome of the functional analysis is the business classification scheme which is hierarchical and based on the following three levels:

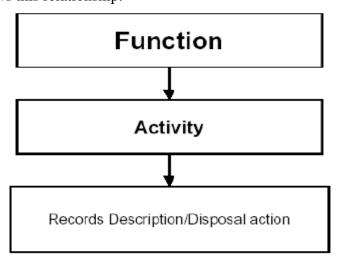
- 1. The business function.
- 2. The activities constituting the function.
- 3. Further refinements of the activities or groups of transactions which take place within each activity.

According to the classification model of the *Territory Version of Keyword AAA*:

- functions represent broad business functions of an agency;
- activity descriptors describe the more specific activities taking place within those functions; and
- subject descriptors are added as a means of describing the more specific subjects or topics relating to the matter to be documented within an activity

In these Records Disposal Schedules the first two levels of the *Territory Version of Keyword AAA* structure have been used: the function and activity levels. The records description covers the third level transactions if they have been identified in the analysis of the function. The class description comprises four components: the function and the activity with their scope notes, the description of the records and the disposal action.

Diagram 1 shows this relationship.



#### Diagram 1 – Class description

Diagram 2 shows the relationship between the different disposal classes. Each unique function/activity pair can have one or many records descriptions and disposal actions.

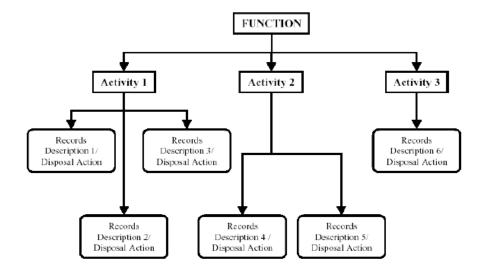


Diagram 2 - Model of disposal classes

Sometimes one class description can look the same as another but have a different retention period. This is because a record's value depends on the context of the functions and activity. For example, the activity 'Policy' in FLEET MANAGEMENT is less important than 'Policy' in STRATEGIC MANAGEMENT.

#### Layout of the schedules

These Records Disposal Schedules are divided into sections. They begin with an introduction incorporating a glossary and the business classification scheme. Then the function and activity disposal sets or 'disposal classes' relating to one of the 16 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. Specific directions relating to Territory use of a function have occasionally been added to the <i>Territory Version of Keyword AAA</i> scope note.
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 this activity. Activities can relate to many functions with the scope notes covering all of these relationships (e.g. the activity 'Distribution' is linked to the functions EQUIPMENT & STORES, INFORMATION MANAGEMENT and PUBLICATION). 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.	
<b>Disposal Action</b>	This is the minimum period a record must be kept for and is the trigger event from which the disposal date can be calculated.	
'For' Statements	'For' statements provide guidance on the inter-related links to other function and activity sets. 'For' statements positioned under the activity scope note belong to the particular function/activity set and all the records descriptions. The 'For' statements underneath a particular description relate to that record description alone.	

#### How to Sentence Records Using the Schedules

Sentencing is the process of identifying and classifying records according to a Records Disposal Schedule and applying the disposal action specified in it. In Diagram 2 an overview is presented of sentencing procedures that can be used for:

- records titled using the *Territory Version of Keyword AAA* terms and sentenced from creation using this linked Territory Administrative Records Disposal Schedules;
- records titled using the *Territory Version of Keyword AAA* terms but not sentenced from creation; and
- records where the *Territory Version of Keyword AAA* terms have not been used

These Records Disposal Schedules can be used on all active and inactive records.

Sentencing from creation is the process of allocating a disposal action at the point of creating a record. This means adding the disposal class number to a paper file or to the metadata attached to an electronic record. If you plan to introduce sentencing from creation in your agency you will also need strategies to manage this process. For example, you will need to resolve who will be responsible for making the disposal decisions, either a central records management unit or action officers. If it is to be the individual action officers, the agency will need to consider training requirements and make sure that responsibilities are clearly defined and allocated. Training should include familiarisation with the scope notes of the 16 functions detailed in theses Schedules (see the Business Classification Schemes). Diagram 3 shows steps that can be followed to sentence all records using these Schedules.

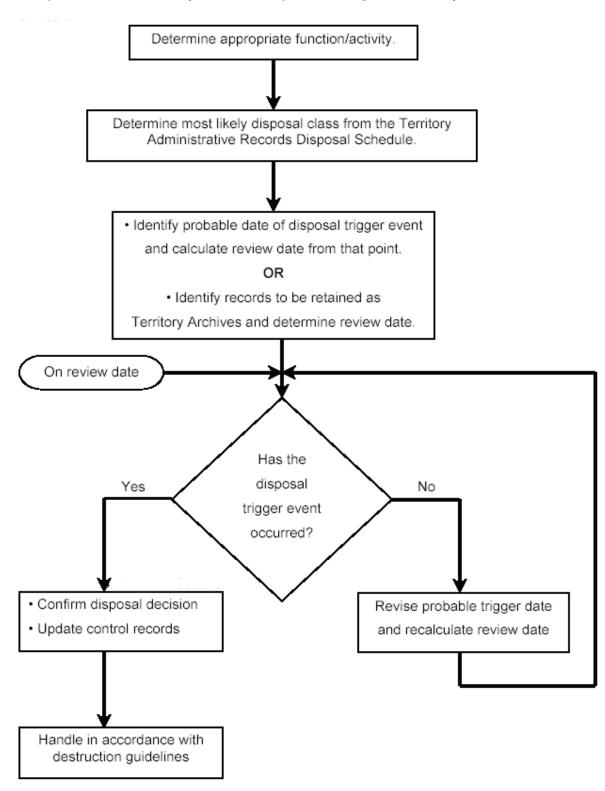


Diagram 3 - Procedures for Sentencing

#### Determine the appropriate administrative function/activity.

- Using the Territory Version of Keyword AAA and/or these Records Disposal Schedules, determine the appropriate administrative function and activity either to sentence a record from creation, or to link the terms to a record created not using these tools.
- **Read the scope notes thoroughly** rather than just depend on what is considered to be an appropriate term based on the title of the function and activity.
- Note that most activities are generic and can be linked to many functions, with
  the scope notes reflecting this multi-function relationship and functions providing
  the context of the activities. For example, the scope note for the activity
  'Arrangements' reads:

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

This activity descriptor is linked to the functions COMMUNITY RELATIONS; EQUIPMENT AND STORES; FLEET MANAGEMENT; PERSONNEL and PROPERTY MANAGEMENT. The activity scope note uses words relating to the different aspects of each function.

- There are occasions when the activity scope note describes a transaction which is also raised to the level of an independent activity in the Business Classification Scheme. For example, the scope note for the activity 'Customer Service' reads 'The activities associated with the planning, monitoring and evaluation of services provided to customers by the agency' but Planning' and 'Evaluation' are also both separate activity terms in the scheme. In such instances the individual activities 'Planning' and 'Evaluation' should not be used for records documenting the 'Customer Service' activity. As a general rule, where there is overlap in activity boundaries, sentencing should be done on the whole activity rather than components of the activity scope.
- If records to be sentenced have not been titled using the *Territory Version of Keyword AAA* but an agency uses a classification scheme, then *a mapping exercise may assist in linking the agency's terms to the 16 functional terms*. For example, 'People Management' could be linked to 'Personnel Management'; and 'Human Resource Management' may be linked to 'PERSONNEL' 'and 'COMPENSATION'.
- Free text titling will usually have a word(s) that should give some indication of the function. For example, in the free text title 'Request for Purchase of Laptops', 'purchase' indicates the activity 'Acquisition' and 'laptops' the 'TECHNOLOGY' & TELECOMMUNICATIONS function.

#### Determine the most likely disposal class in the Territory Administrative Records Disposal Schedules

• Examine the activities and the classes available in the Schedules under the relevant function.

To assist with good file management, records documenting the same set of transactions have often been divided into two classes: the key documents, and the general working and administrative records. Often the two classes will have the same retention period, which indicates that the supporting documentation is expected to provide important contextual information to manage the business activity. In such instances it is still recommended that the records be kept on two files (either 'paper' files or electronic 'containers') to facilitate retrieval. If an agency decides to raise only one file containing all records, the highest retention period should be used. Agencies may also wish to place all records relating to a function/activity set on one file rather than break them into transaction sets reflected in the 'Description of Records'. Again, if this decision is made, the highest retention period should be allocated and the appropriate entry number used.

• In sentencing records not titled according to the *Territory Version of Keyword AAA*, or where the initial classification is no longer appropriate, many functions and activities may be found on the one record. In such instances records should not be culled or rearranged; rather, *nominate the highest retention period for all functions and activities included*.

Identify probable date of a disposal trigger event and calculate review date from that point. Or identify records to be retained as Territory Archives and determine a review date.

- A trigger is *the point from which the disposal action is calculated*.

  Some trigger dates may be easily identified (e.g. date of separation), but others will be more complex, and it may be necessary to consult the action area or creating officer for advice (e.g. 'destroy 5 years after policy is superseded' or 'destroy when action completed'). The consultation may provide you with a likely trigger date or assist with a risk assessment to determine a reasonable period. Some of the triggers in the Schedules include:
  - when action is completed
  - ♦ the last action
  - ♦ the last entry
  - the date the next risk assessment occurs
  - an event (e.g. when property is sold; when separation occurs)
- A review date should be added to the record and noted in the control system (e.g. TARDiS 017.010.004 R2013 to note that disposal class entry number TARDiS 017.010.004 has been allocated to this record and that it should be reviewed in 2013).

- Where sentencing is carried out from creation, an agency may choose to allocate a review period for all records and not attempt to determine a review date for each record at the time of creation (e.g. review all records after 5 years). In such cases the disposal class entry number (e.g. TARDiS 017.010.004 R2013) should be noted on the record and the control system.
- When the review is undertaken, the event or date the trigger is based on may have passed. If this has occurred, the disposal action may be implemented.
- For some inactive records this step may finalise the process, as the trigger date may have been met and the calculated disposal date passed. If this is the case then *the final disposal date can be entered on the record* and the control records (e.g. TARDiS 017.010.004 D2013 where D refers to the final disposal date).
- It should be noted that the retention periods in the Schedules are only minimum requirements.

If these periods are too short to meet an agency's particular business requirements, they should be adjusted accordingly.

# On the review date, examine records asking the question: 'Has the disposal trigger event occurred?'

• For a sentence allocated from creation this may be some years hence, or it may be a shorter time frame for records already in existence.

#### If the answer is NO, revise probable trigger date and recalculate a review date

• If on review it is determined that the trigger point has not occurred, then the review date should be recalculated and altered on the record and control system.

# If the answer is YES, confirm the disposal decision and update the control records

- If on review it is determined that the trigger point has been reached, *the disposal decision should be confirmed*, taking into account any change that may have occurred in the nature of the record since the allocation of the review date. The disposal date should then be entered on the record and in the control system (e.g. TARDIS 017.010.004, D2013). If the nature of the record has changed, *the record should be re-sentenced* with a new review date.
- Records which relate to any exempt clauses under Section 28 of the *Territory Records Act 2002*, or are subject to a request for access under the *Freedom of Information Act 1989*, the *Territory Records Act 2002* or any other Act should not be destroyed until the action has been completed.

#### **Special notes to the schedules**

#### Establishment and personnel records

A number of agencies manage their establishment structures and employ staff under their own enabling legislation rather than the *Public Sector Management Act 1994*. Such agencies are not excluded from using the sections of the Schedules relating to the ESTABLISHMENT and PERSONNEL functions, but before doing so should check their own enabling legislation and other regulatory directives for major variations in scope and requirements. In cases where the variations are great, these Schedules are not applicable. Coverage in such circumstances must be included under operational Records Disposal Schedules. Where there is doubt if these schedules cover ESTABLISHMENT or PERSONNEL records contact the Territory Records Office for advice.

#### Normal administrative practice (NAP)

Some records may be destroyed without records disposal coverage under the 'normal administrative practice' (NAP) provisions of the *Territory Records Act 2002*. Records can be disposed of as a normal administrative practice if they are:

- duplicate (e.g. an information copy)
- obviously unimportant (e.g. telephone message slips)
- of short term facilitative value (e.g. compliment slips)
- a combination of these

The guiding principle is that agencies should always be sure that destroying the record will not destroy evidence that might be needed. Records that have been captured into a recordkeeping system should not be destroyed as NAP unless the reason for their destruction is recorded in full on the relevant control records. NAP can apply to electronic records as well as paper records (e.g. information on word processing systems where a hard copy has been captured into a recordkeeping system). It is designed to allow for sensible business practices. Further information on NAP can be obtained from the *Territory Records Office Records Advice No.2- Normal administrative practice (NAP)*.

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## **BUSINESS CLASSIFICATION SCHEME**

#### INFORMATION MANAGEMENT

The function of managing the records and information resources of government and its agencies to meet operational needs and, if appropriate, to allow public access to the records consistent with the *Territory Records Act 2002* and the *Freedom of Information Act 1989*. Includes the creation, keeping, protection, preservation, storage and disposal of, and access to records of the agency, and developing strategies to manage records as archival resources for the benefit of future generations. Also includes the acquisition, control and disposal of library and other information products or items kept for reference purposes and the provision of records and information services to internal and external customers.

#### Acquisition

The process of gaining ownership or use of property and other items or the provision of services required in the conduct of business through purchase or requisitions.

#### Advice

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

#### Agreements

The processes associated with the establishment, maintenance, review and negotiation of agreements. Includes records associated with preparing agreements/contracts and settling those agreements/contracts. Includes contracts, memoranda of understanding (MOU), deeds, leases, licences and mortgages.

#### 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 an agency, company or other organisation in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

#### Authorisation

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

#### Case Management

The activity of managing an incident, person, organisation or client, on a case basis. Case management incorporates the process of assessment, planning, facilitation and advocacy for options and services to meet an individual's, organisation's or client's needs or outcomes. Includes processing of applications; authorisations and approvals; the establishment of a client; developing, implementing and monitoring case plans; the ongoing delivery and provision of services; finalisation of services and reviews of service delivery.

#### **Committees**

The activities associated with the establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agendas, etc. of committees and task forces.

#### **Compliance**

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

#### Conservation

The activities involved in the preservation, protection, maintenance, restoration and enhancement of archival resources, heritage items and artefacts, properties, including buildings and land. Also includes environmental conservation activities.

#### 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.

#### **Control**

The activities associated with creating, maintaining and evaluating control mechanisms. Includes classification, indexing, registration, forms design etc to ensure maximum control over records and recordkeeping systems. Also includes control mechanisms for other information resources and systems.

#### **Customer Service**

The activities associated with the planning, monitoring and evaluation of services provided to customers by the agency.

#### **Disposal**

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

#### Distribution

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

#### **Donations**

The activities associated with managing money, items, artifacts or property donated to the agency, or by the agency and or its staff to charities etc Includes managing unsolicited donations.

#### **Enquiries**

The activities associated with handling requests for information about the agency and its services, programs and activities.

#### **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.

#### **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.

#### **Inspections**

The process of official examinations of facilities, equipment and items, to ensure compliance with agreed standards and objectives.

#### **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 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.

#### **Inventory**

The activities associated with listing and preparing lists of items and assets in the possession of the agency.

#### Marketing

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

#### Meetings

The activities associated with regular or ad hoc gatherings held to formulate, discuss, update or resolve issues and matters pertaining to the function. Includes staff meetings, arrangements, agenda, taking of minutes, etc. Excludes committee meetings.

#### **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.

#### **Privacy**

The activities associated with applying the principles of privacy. Includes data protection in relation to privacy. Also includes the process of collection, handling, use and disclosure of records of a private, personal, or confidential nature to maintain that the rights of a living person (or immediate family) are secure from unauthorised disclosure or access to such information.

#### **Procedures**

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

#### 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, regulation, or legislation, e.g. Annual Report). Includes statistics 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 business activities in general. Includes following up enquiries relating to programs, projects, working papers, literature searches, etc.

#### Restructuring

The activities involved in reassessing the activities, goals and structure of an agency. Includes consideration of the number of staff, their position descriptions, equipment and other resources required to meet objectives.

#### Reviewing

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

#### 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.

#### Security

The activities associated with measures taken to protect people, premises, equipment or information from accidental or intentional damage or from unauthorised access. Includes the security classification of personnel and criminal record checks.

#### **Standards**

The process of implementing industry or agency specific benchmarks for services and processes to enhance quality and efficiency of an organisation.

#### **Submissions**

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

#### Suggestions

The process of using suggestions from personnel and the public to improve the services and processes of the agency.

#### **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

#### INFORMATION MANAGEMENT

The function of managing the records and information resources of government and its agencies to meet operational needs and, if appropriate, to allow public access to the records consistent with the *Territory Records Act 2002* and the *Freedom of Information Act 1989*. Includes the creation, keeping, protection, preservation, storage and disposal of, and access to records of the agency, and developing strategies to manage records as archival resources for the benefit of future generations. Also includes the acquisition, control and disposal of library and other information products or items kept for reference purposes and the provision of records and information services to internal and external customers.

#### Acquisition

The process of gaining ownership or use of property and other items or the provision of services required in the conduct of business through purchase or requisitions.

*Entry No.* 009.003.001

#### Description of Records

Records documenting the acquisition of library and records materials and/or services (e.g. on-line services, media monitoring services) where there are no tender or contracting-out process, i.e. where the threshold for tendering or where a purchase is made against a period contract. Includes:

- orders
- subscription renewals
- interlibrary loan payments.

[For the management of media items, use COMMUNITY RELATIONS - Media Relations and GOVERNMENT RELATIONS - Media Relations.

For joining organisations to obtain subscriptions to an organisation's publications, use COMMUNITY RELATIONS - Liaison.

For arranging loans and inter-library loans of library material, use INFORMATION MANAGEMENT - Control.

[Class continued]

#### Disposal Action

Retain as Territory Archives

#### **Acquisition (Continued)**

The process of gaining ownership or use of property and other items or the provision of services required in the conduct of business through purchase or requisitions.

#### Entry No. Description of Records

**Disposal Action** 

For managing financial transactions supporting acquisition activities, use FINANCIAL MANAGEMENT - Accounting and/or FINANCIAL MANAGEMENT - Payments.

For managing contracted services supporting the acquisition process, use INFORMATION MANAGEMENT - Contracting out.

For the tendering process for contracting services to support the acquisition process, use INFORMATION MANAGEMENT - Tendering.

For the acquisition of applications and systems, use TECHNOLOGY & TELECOMMUNICATIONS - Acquisitions.]

#### Advice

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

Entry No.	Description of Records	Disposal Action
009.005.001	Records documenting the receipt and provision of whole-of-government advice to agencies or users relating to records and information management.	
009.005.002	Records documenting the receipt and provision of routine or minor advice to agencies or users relating to records and information management.	Destroy 1 year after action completed

#### Agreements

The processes associated with the establishment, maintenance, review and negotiation of agreements. Includes records associated with preparing agreements/contracts and settling those agreements/contracts. Includes contracts, memoranda of understanding (MOU), deeds, leases, licences and mortgages.

Entry No. 009.006.001	Description of Records Final copies of agreements with other governments or inter-agency agreements of significance to the Territory.	Disposal Action Retain as Territory Archives
009.006.002	Final versions of agreements relating to records and information management.  [For managing financial transactions	Destroy 7 years after expiry of agreement
	associated with any agreement, use FINANCIAL MANAGEMENT - Accounting and/or FINANCIAL MANAGEMENT - Payment.]	
009.006.003	Records documenting negotiations, establishment, maintenance and review of agreements.	Destroy 7 years after expiry of agreement

#### 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 an agency, company or other organisation in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

Entry No.	Description of Records	Disposal Action
009.013.001	Records documenting audits of agencies for compliance to recordkeeping requirements by the regulating agency, including working papers and final reports.	Retain as Territory Archives

#### Audit (Continued)

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 an agency, company or other organisation in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

#### Entry No. 009.013.002

#### Description of Records

#### **Disposal Action**

Final internal and external audit reports Destroy 5 years relating to records and information after action management. Includes the final reports completed from audits conducted by the Privacy Commissioner or the ACT Auditor General's Office. Excludes reports from audits carried out by the regulating agency.

#### 009.013.003

Records documenting the planning and Destroy 5 years conduct of internal and external audits after action relating to records and information management. Includes audits conducted by the Privacy Commissioner or the ACT Auditor General's Office. Excludes audits carried out by the regulating agency. Also includes:

completed

- liaison with the auditing body
- minutes of meetings
- notes taken at opening and exit interviews
- draft reports
- comments.

009.013.004 

Records documenting recordkeeping audits within an agency. Includes file census.

Destroy 6 months after action completed

#### Authorisation

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

Entry No.	Description of Records	Disposal Action
009.014.001	Delegations of powers to agency staff to authorise administrative action relating to records and information management.	Destroy 3 years after delegation superseded
009.014.002	Authorisations for administrative actions relating to records and information management.	Destroy 3 years after authorisation expires or is superseded

#### Case Management

The activity of managing an incident, person, organisation or client, on a case basis. Case management incorporates the process of assessment, planning, facilitation and advocacy for options and services to meet an individual's, organisation's or client's needs or outcomes. Includes processing of applications; authorisations and approvals; the establishment of a client; developing, implementing and monitoring case plans; the ongoing delivery and provision of services; finalisation of services and reviews of service delivery.

Entry No.
009.016.001

#### Description of Records

Records documenting requests for public access to records and documents under the *Freedom of Information Act 1989*, the *Territory Records Act 2002* and other legislation specific to the agency that:

- set a precedent
- lead to a change of policy
- relate to issues of national significance
- relate to issues of public controversy
- result in appeals to the ACT Civil and Administrative Tribunal (ACAT) or the Federal or High Court.

009.016.002

Records documenting recurring or protracted Destroy 10 years requests received from the public for access after completion of to records and documents under the *Freedom* case of *Information Act 1989*, the *Territory Records Act 2002* and other legislation specific to the agency.

#### **Disposal Action**

Retain as Territory Archives

#### Case Management (Continued)

The activity of managing an incident, person, organisation or client, on a case basis. Case management incorporates the process of assessment, planning, facilitation and advocacy for options and services to meet an individual's, organisation's or client's needs or outcomes. Includes processing of applications; authorisations and approvals; the establishment of a client; developing, implementing and monitoring case plans; the ongoing delivery and provision of services; finalisation of services and reviews of service delivery.

# *Entry No.* 009.016.003

#### Description of Records

Records documenting requests for public access to records and documents under the *Freedom of Information Act 1989*, the *Territory Records Act 2002* and other legislation specific to the agency where:

- there has been an internal review
- where complaints have been lodged with the Ombudsman
- where there have been negotiations between an individual and the agency relating to the amendment or alteration of records.

009.016.004

Records documenting requests for public access to records and documents under the *Freedom of Information Act 1989*, the *Territory Records Act 2002* and other legislation specific to the agency for:

- less complex requests
- applications which are not proceeded with (e.g. where requests are withdrawn, lapse because of nonpayment of application fees)
- or are referred to another agency.

#### **Disposal Action**

Destroy 5 years after action completed

Destroy 2 years after action completed

#### **Committees**

The activities associated with the establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agendas, etc. of committees and task forces.

#### Entry No. 009.020.001

#### Description of Records

#### Disposal Action

Records of inter-government (both Retain as Territory State/Territory and overseas) or inter-agency Archives committees formed to consider matters relating to whole-of-government records and information management. Includes:

- documents establishing the committee
- agendas
- minutes
- reports
- recommendations
- supporting documents such as briefing and discussion papers.

#### 009.020.002

Records of internal and external committees Destroy 5 years formed to consider matters relating to the information management function. Includes: completed

after action

- documents establishing the committee
- final versions of minutes
- reports
- recommendations
- supporting documents such as briefing papers and discussion papers.

#### 009.020.003

Working papers documenting the conduct and administration of committees which consider matters relating to records and information management. Includes:

Destroy 6 months after last action

- agenda
- notices of meetings
- draft minutes.

#### **Compliance**

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

[For compliance audits of agencies records and information programs by the regulating agency, use INFORMATION MANAGEMENT - Audit.]

Entry No. 009.021.001	Description of Records  Records documenting the on-going monitoring of agency compliance with their Records Management Programs.	Disposal Action Retain as Territory Archives
009.021.002	Records documenting agency compliance with mandatory or optional standards or with statutory requirements relating to records and information management (e.g. Australian Standard AS ISO 15489 Records Management). Includes records practices and recordkeeping systems.	action completed

#### **Conservation**

The activities involved in the preservation, protection, maintenance, restoration and enhancement of archival resources, heritage items and artefacts, properties, including buildings and land. Also includes environmental conservation activities.

Entry No.	Description of Records	Disposal Action
009.023.001	Records documenting the management of conservation projects for the preservation of rare, historical or heritage records and other information resources.	•
009.023.002	Records documenting the management of agency conservation projects for the preservation of records and other information resources.	Destroy 5 years after project completed
009.023.003	Records documenting routine preservation activities undertaken on agency records, library and other information resources. Includes book binding and repairs.	Destroy 6 months after last action

#### Conservation (Continued)

The activities involved in the preservation, protection, maintenance, restoration and enhancement of archival resources, heritage items and artefacts, properties, including buildings and land. Also includes environmental conservation activities.

Entry No.
009.023.004

#### **Description of Records**

Records documenting specialised conservation treatment for agency records after last action (e.g. for specific groups of records such as photographs).

#### Disposal Action

Destroy 6 months

#### 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.

Entry No.
009.025.001

#### Description of Records

Records documenting contract management relating to records and information management (e.g. courier and termination of outsourced storage services). Includes:

- minutes of meetings with main stakeholders
- performance and evaluation reports

[For the transfer of records to a storage provider, use INFORMATION MANAGEMENT - Disposal.]

#### Disposal Action

Destroy 7 years after completion or other agreement or contract

#### **Control**

The activities associated with creating, maintaining and evaluating control mechanisms. Includes classification, indexing, registration, forms design etc to ensure maximum control over records and recordkeeping systems. Also includes control mechanisms for other information resources and systems.

#### Entry No. 009.026.001

#### **Description of Records**

Master control records for agency recordkeeping systems (both paper and electronic). Includes:

- relevant metadata elements
- registers of inwards/outwards correspondence (including Ministerial correspondence)
- registers and indexes giving details of control numbers, titles, date, disposal details
- file movement cards, if they also constitute the main control record or have been used to record disposal detail
- list of records destroyed, if master control records are not annotated
- registers of case files (e.g. personnel and compensation case files registers).

009.026.002  Master copy of file classification systems or Retain as Territory an agency's authorised business classification schemes (currently created using the methodology of the Australian Standard AS ISO 15489 Records Management) and abbreviations used in paper and electronic systems.

#### Disposal Action

Retain as Territory Archives

**Archives** 

#### Control (Continued)

The activities associated with creating, maintaining and evaluating control mechanisms. Includes classification, indexing, registration, forms design etc to ensure maximum control over records and recordkeeping systems. Also includes control mechanisms for other information resources and systems.

Entry No.	Description of Records	Disposal Action
009.026.003	Records documenting the creation, maintenance and evaluation of an agency record titling thesauruses. Includes master copy of the thesaurus.	Retain as Territory Archives
	[For agency documentation of its functional analysis, the development of its business classification scheme and the recordkeeping requirements necessary for the creation of an agency Records Disposal Schedule and functional thesaurus, use INFORMATION MANAGEMENT - Policy.]	
009.026.004	Business rules and configuration settings for agency metadata. Includes developmental records and requests for changes.	Retain as Territory Archives
	[For the application, allocation and maintenance of the metadata in electronic systems, other than those covered by the Information Management function, use TECHNOLOGY & TELECOMMUNICATIONS - Control.]	
009.026.005	Records documenting forms design.	Destroy 7 years after action completed
	[For the printing of forms, use PUBLICATION - Production.]	
009.026.006	Records documenting the receipt and dispatch of agency mail. Includes receipts for registered and certified mail.	Destroy 3 years after action completed
	[For records supporting security requirement for the dispatch of classified mail, use INFORMATION MANAGEMENT - Security.	
	For the internal distribution of agency mail, use INFORMATION MANAGEMENT -	

Distribution.]

#### Control (Continued)

The activities associated with creating, maintaining and evaluating control mechanisms. Includes classification, indexing, registration, forms design etc to ensure maximum control over records and recordkeeping systems. Also includes control mechanisms for other information resources and systems.

# *Entry No.* 009.026.007

#### **Description of Records**

Ancillary records documenting the control of agency records, library and information resources. Includes:

- chronological sets of inwards and outwards correspondence
- file movements records, if they are a secondary control record to the main registers and indexes and have not been used to record disposal details
- reference sets of master control records
- reference sets of control records compiled and held by business units
- resubmit lists
- barcode lists
- location lists.

009.026.008

Control records documenting library systems. Includes:

- catalogues
- authority files of subject heading
- classification schemes
- thesauruses created by libraries for specialised use
- loan and inter-library loan records.

[For copies of invoices relating to payments for inter-library loans, use INFORMATION MANAGEMENT - Acquisitions.]

#### Disposal Action

Destroy 6 months after last action

Destroy 6 months

after last action

#### **Customer Service**

The activities associated with the planning, monitoring and evaluation of services provided to customers by the agency.

Entry No.	Description of Records	Disposal Action
009.030.001	Records documenting the planning, monitoring and evaluation of specific services provided to customers of libraries, archives and records management units. Includes customer surveys.	Destroy 3 years after action completed
009.030.002	Records documenting the development of service charters and directives relating to the provision of information management services. Includes final copies of charters.	Destroy 6 months after superseded
	[For the production of the service charter, use PUBLICATION - Planning and PUBLICATION - Production.]	
009.030.003	Records documenting the management of a library or a records management unit enquiry desk.	Destroy 6 months after reference ceases
009.030.004	Records documenting the management and use of translation services.	Destroy 1 year after action completed

#### **Disposal**

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

[For the disposal of real property through a tendering process, use PROPERTY MANAGEMENT - Tendering.

For the disposal of real property through an agreement, use PROPERTY MANAGEMENT - Agreements.]

Entry No.	Description of Records	Disposal Action
009.034.001	Records documenting arrangement for the	Retain as Territory
	transfer of ownership of records following	Archives
	the corporatisation and privatisation of an	
	agency, or part of an agency.	

# Disposal (Continued)

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

[For the disposal of real property through a tendering process, use PROPERTY MANAGEMENT - Tendering.

For the disposal of real property through an agreement, use PROPERTY MANAGEMENT - Agreements.]

Entry No. 009.034.002	Description of Records  Records documenting the authorisation of records and information for destruction and associated Certificates of Destruction provided by service providers.	Disposal Action Retain as Territory Archives
009.034.003	Records documenting the transfer of custody to or from a contractor under an outsourcing arrangement.	Destroy 3 years after completion or other termination of agreement or contract
009.034.004	Records documenting the culling of library collections and collections of non-agency publications.	Destroy 6 months after last action
	[For the disposal of duplicate agency publications, use PUBLICATIONS - Disposal.]	

### Disposal (Continued)

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

[For the disposal of real property through a tendering process, use PROPERTY MANAGEMENT - Tendering.

For the disposal of real property through an agreement, use PROPERTY MANAGEMENT - Agreements.]

*Entry No.* 009.034.005

# **Description of Records**

Records documenting the transfer,
destruction (excludes destruction approvals after last action
and certificates of destruction) and storage
of records according to an approved records
management program where the master
control records have been annotated.
Includes copies of:

- transfer proposals
- consignment lists
- lists of records destroyed
- lists of records transferred to alternative storage providers.

[For lists of records destroyed if master control records are not annotated, use INFORMATION MANAGEMENT - Control.

For the transfer of records to another agency following an administrative change, use INFORMATION MANAGEMENT - Restructuring.]

**Disposal Action** 

### Distribution

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

# Entry No. 009.036.001

# Description of Records

Records documenting the internal and external distribution of correspondence and other information items (e.g. paper files, newspaper clippings and mail) within the agency. Includes distribution lists and advice on changes of location.

### Disposal Action

Destroy 6 months after last action

### **Donations**

The activities associated with managing money, items, artifacts or property donated to the agency, or by the agency and or its staff to charities, etc. Includes managing unsolicited donations.

Entry No. 009.037.001	Description of Records  Records documenting donations of records or manuscript materials of archival or historical value to an agency for inclusion in the archives holdings of the Territory. Includes liaison with the owner on conditions of donation.	Disposal Action Retain as Territory Archives
009.037.002	Records documenting donations of other library or manuscript materials to an agency. Includes liaison with the owner on conditions of donation.	Destroy 7 years after disposal of item
	[For the disposal of library material after culling collections, use INFORMATION	

MANAGEMENT - Disposal.]

# **Enquiries**

The activities associated with handling requests for information about the agency and its services, programs and activities.

[For enquiries received from the general public about the agency's programs, products and services, use COMMUNITY RELATIONS - Enquiries.

For the management of requests from the public for access to records under the Freedom of Information Act 1989, Privacy Act 1988 (Cwlth) and Territory Records Act 2002 and other Acts specific to the agency, use INFORMATION MANAGEMENT - Case Management.]

Entry No. 009.040.001	Description of Records  Records documenting the management of discovery orders and subpoenas. Includes detailed lists and copies of records found.	• •
009.040.002	Records documenting the handling of enquiries from agency employees or another government organisations covering records and information management.	Destroy 1 year after action completed
	[For records supporting library loans and inter-library loans, use INFORMATION MANAGEMENT - Control.	
	For records relating to copies of inter- library loan payments, use INFORMATION MANAGEMENT - Acquisitions.]	

### **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 the technological aspects of library and recordkeeping systems, use TECHNOLOGY & TELECOMMUNICATIONS - Evaluation.]

Entry No.	Description of Records	Disposal Action
009.042.001	Records documenting the evaluation of potential or existing information management services and systems. Includes the evaluation of library and recordkeeping systems.	Destroy 7 years after evaluation completed

### **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.

# Entry No. 009.053.001

# Description of Records

process.

Records documenting the implementation Retain as Territory of vital records plans and counter-disaster Archives plans after disasters such as fire or floods, and implementation of emergency destruction plans covering the organisation's information resources. Includes a copy of current plan implemented for the disaster recovery

[For the development of the counterdisaster plan, vital records plan, and other plans relating to the information management function, use INFORMATION MANAGEMENT -Planning.]

009.053.002 

Records documenting the implementation Destroy 7 years after of library systems and recordkeeping systems within an agency.

[For staff training to implement new systems, use PERSONNEL - Training.

For the technological aspects of implementing library and recordkeeping systems, use TECHNOLOGY & TELECOMMUNICATIONS -*Implementation.*]

## **Disposal Action**

implementation is completed

### **Inspections**

The process of official examinations of facilities, equipment and items, to ensure compliance with agreed standards and objectives.

# *Entry No.* 009.057.001

# **Description of Records**

Records documenting inspections of agency records by a monitoring agency such as the Director of Territory Records or the Auditor General or any inspections of copyright records.

[For copies of copyright declaration forms, use INFORMATION MANAGEMENT- Intellectual Property.

For records relating to formal audits, use INFORMATION MANAGEMENT - Audit.]

### Disposal Action

Destroy 4 years after action completed

### **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 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 applications made to reproduce published material, use PUBLICATIONS - Intellectual Property.

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

# *Entry No.* 009.060.001

### **Description of Records**

Records documenting the government wide management of copying and copyright. Includes the collection of payments for collecting societies and any sampling undertaken to support the payment process.

# Disposal Action

Destroy 7 years after action completed

### Intellectual Property (Continued)

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 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 applications made to reproduce published material, use PUBLICATIONS -Intellectual Property.

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

# Entry No. 009.060.002

### Description of Records

Records documenting the management of Destroy 7 years after copying services in an agency. Includes the administration of payments made to the collecting body and responses to any sampling undertaken to support the payment process.

[For the payment of money to collecting societies, use FINANCIAL MANAGEMENT - Payments.

For guidelines and procedures to support the administration of reproduction services in the agency, use INFORMATION MANAGEMENT -Procedures. 1

### 009.060.003

Copyright declaration forms.

[For inspections carried out by copyright owners of declaration forms and other records supporting the administration of copyright in the agency, use INFORMATION MANAGEMENT -*Inspections.*]

### Disposal Action

action completed

Destroy 4 years after action completed

# **Inventory**

The activities associated with listing and preparing lists of items and assets in the possession of the agency.

[For the conduct of a file census, use INFORMATION MANAGEMENT - Audit.

For inventories of records transferred between agencies following an administrative change, use INFORMATION MANAGEMENT - Restructuring.

For inventories of equipment used in information management areas, use EQUIPMENT & STORES - Inventory.]

Entry No.	Description of Records	Disposal Action
009.061.001	Routine inventories of library materials.	Destroy 1 year after
	Includes inventories created for shelf	action completed
	checking.	

# 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.

Entry No.	Description of Records	Disposal Action
009.067.001	E	Destroy 3 years after
	undertaken with professional associations, private sector organisations and	action completed
	community groups. Includes:	

- collaboration on projects
- exchanges of information
- all the activities of a member of an organisation.

[For subscriptions to publications of professional bodies where the subscriber does not have to be a member of an organisation, use INFORMATION MANAGEMENT - Acquisitions.]

### Marketing

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

# *Entry No.* 009.070.001

# Description of Records

Records documenting the promotion of library and records management unit services. Includes customer profiles.

[For training staff in the efficient use of an agency information unit, use PERSONNEL - Training.]

## Disposal Action

Destroy 6 months after last action

# Meetings

The activities associated with regular or ad hoc gatherings held to formulate, discuss, update or resolve issues and matters pertaining to the function. Includes staff meetings, arrangements, agenda, taking of minutes, etc. Excludes committee meetings.

Entry No.	Description of Records	Disposal Action
009.072.001	Final versions of minutes and supporting documents tabled at meetings held to support records and information management. Includes meetings with external agencies.	Destroy 3 years after action completed
009.072.002	Working papers documenting the conduct and administration of meetings held to support records and information management. Includes:	Destroy 6 months after last action

- agenda
- notices of meetings
- draft minutes.

# **Planning**

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

Entry No.	Description of Records	Disposal Action
009.079.001	Final versions of agency-wide information management plans. Includes:	Destroy 5 years after plan is superseded
	<ul><li>vital records plans</li><li>emergency destruction plans</li><li>counter-disaster plans.</li></ul>	
	[For the implementation of a counter-disaster plan, vital records plan and emergency destruction plan covering the information management function, use INFORMATION MANAGEMENT - Implementation.]	
009.079.002	Final versions of a section or business unit's information management plans, including state, regional or overseas office.	Destroy 3 years after plan is superseded
009.079.003	<ul> <li>Working papers used to develop all information management plans. Includes:</li> <li>draft plans</li> <li>reports analysing issue</li> <li>comments received from areas of the agency.</li> </ul>	Destroy 6 months after last action
009.079.004	Copies of all information management plans.	Destroy 6 months after last action

### **Policy**

009.080.004

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making.

### Entry No. Description of Records **Disposal Action** 009.080.001 Records documenting the development Retain as Territory and establishment of government wide Archives records and information management policies. Includes: policy proposals research papers results of consultations • supporting reports major drafts final policy documents. 009.080.002 Records documenting the development Destroy 5 years after and establishment of the agency's records policy is superseded and information management policies. Includes: **Records Management Programs** information management security policies library collection development policies recordkeeping policies e-mail policies policy proposals research papers results of consultations supporting reports major drafts final policy documents. 009.080.003 Snapshot of agency's recordkeeping Destroy 5 years after recordkeeping requirement data taken at the point when recordkeeping instructions are issued. instruction is superseded

promulgation of new

policy

the development of government wide

records and information management

policies.

Records documenting comments made on Destroy 3 years after

# Policy (Continued)

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making.

Entry No.	Description of Records	Disposal Action
009.080.005	Working papers documenting the development of agency records and information management policies. Includes drafts and input from other areas of the agency.	Destroy 3 years after promulgation of new policy
009.080.006	Copies of policy documents and supporting papers.	Destroy 6 months after last action
009.080.007	Records documenting the creation of Records Disposal Schedules.	Destroy 6 months after last action
	[For the master copy of the business classification schemes developed as the foundation document for the Records Disposal Schedule, use INFORMATION MANAGEMENT - Control.	
	For records documenting the transfer, destruction and storage of records, use INFORMATION MANAGEMENT - Disposal.	
	For the recordkeeping risk assessment report, use INFORMATION MANAGEMENT - Risk Management.]	
009.080.008	Records documenting the on-going maintenance and review of agency recordkeeping and information management.	Destroy 6 months after last action

### **Privacy**

The activities associated with applying the principles of privacy. Includes data protection in relation to privacy. Also includes the process of collection, handling, use and disclosure of records of a private, personal, or confidential nature to maintain that the rights of a living person (or immediate family) are secure from unauthorised disclosure or access to such information.

[For negotiations between an individual and the agency relating to the amendment or alteration of records under the Privacy Act, use INFORMATION MANAGEMENT -Case Management.

For privacy audits, use INFORMATION MANAGEMENT - Audits.

For the mechanisms to protect privacy of information, use INFORMATION MANAGEMENT – Security. ]

Entry No.
009.081.001

# Description of Records

Investigations into alleged privacy breaches relating to records and information management. Includes unauthorised disposal of records containing personal information.

## **Disposal Action**

Destroy 5 years after action completed

### **Procedures**

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

Entry No.
009.082.001

# Description of Records

Master copy of recordkeeping rules/guidelines of the agency and supporting documentation.

[For recordkeeping requirements data, use INFORMATION MANAGEMENT -Policy.]

009.082.002  Records documenting the development of Destroy 1 year after agency procedures supporting the records completion of and information management function. Excludes documents supporting the development of agency recordkeeping rules.

**Archives** 

Retain as Territory

Disposal Action

procedures

### **Procedures** (Continued)

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

Entry No.	Description of Records	Disposal Action
009.082.003	Master set of agency manuals, handbooks, directives, etc. detailing procedures supporting records and information management.	Destroy 6 months after procedures are superseded
009.082.004	Copies of manuals, handbooks, directives etc.	Destroy 6 months after last action
	[For recordkeeping requirements data, use INFORMATION MANAGEMENT - Policy.]	1

# 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, regulation, or legislation, e.g. Annual Report). Includes statistics and returns.

Note: Reports resulting from a routine activity (e.g. inspection reports) form part of that activity, i.e. reports resulting from an inspection are part of the inspection and not the activity of Reporting. Reports of these types should be classified as part of the greater activity generating the report.

Entry No.	Description of Records	Disposal Action
009.088.001	Final versions of formal internal reports and reports made to external agencies relating to records and information management.	Destroy 5 years after action completed
009.088.002	Final versions of periodic internal reports on general administrative matters used to monitor and document recurring activities to support records and information management. Includes cumulative summary reports and work progress reports.	• •

# Reporting (Continued)

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, regulation, or legislation, e.g. Annual Report). Includes statistics and returns.

Note: Reports resulting from a routine activity (e.g. inspection reports) form part of that activity, i.e. reports resulting from an inspection are part of the inspection and not the activity of Reporting. Reports of these types should be classified as part of the greater activity generating the report.

Entry No.	Description of Records	Disposal Action
009.088.003	Responses to information management surveys requested by other agencies or by the central office of an agency.	Destroy 3 years after action completed
	[For customer services surveys, use INFORMATION MANAGEMENT - Customer Services.]	
009.088.004	Working papers documenting the development of all reports. Includes drafts and comments received.	Destroy 1 year after action completed
009.088.005	Copies of information management reports.	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 business activities in general. Includes following up enquiries relating to programs, projects, working papers, literature searches, etc.

[For agencies with a core functional responsibility to carry out research, use RESEARCH MANAGEMENT.]

Entry No.	Description of Records	Disposal Action
009.091.001	Records documenting detailed research carried out to support records and information management.	Destroy 3 years after research is completed
009.091.002	Records documenting routine research carried out to support records and information management.	Destroy 6 months after last action

# Restructuring

The activities involved in reassessing the activities, goals and structure of an agency. Includes consideration of the number of staff, their position descriptions, equipment and other resources required to meet objectives.

Entry No.	Description of Records	Disposal Action
009.092.001	Records documenting functions which have been transferred to another Territory agency or institution.	Transfer 6 months after new information is transferred to master control records
009.092.002	List of records and other supporting documentation for transferring records to another agency following an administrative change.	Destroy 6 months after new information is transferred to master control records

# Reviewing

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

Entry No. 009.093.001	Description of Records  Records documenting a review of agency programs and operations supporting records and information management which result in significant findings or actions that cause major changes to government recordkeeping. Includes:	Disposal Action Retain as Territory Archives
	<ul><li>documents establishing the review</li><li>final version of the reports</li><li>the action plans.</li></ul>	
009.093.002	Records documenting a review of agency programs and operations supporting records and information management that result in no significant findings or actions. Includes:	Destroy 5 years after action completed

- documents establishing the review
- final version of the reports
- the action plans.

# Reviewing (Continued)

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

Entry No.	Description of Records	Disposal Action
009.093.003	Working papers documenting a review of	Destroy 2 years after
	agency programs and operations	action completed
	supporting records and information	
	management.	

# 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.

Entry No. 009.095.001	Description of Records  Records documenting risk management relating to the information management function. Includes:	Disposal Action Destroy 7 years after next risk assessment
	<ul> <li>documentation covering each stage of the process</li> <li>treatment schedules</li> <li>action plans.</li> </ul>	e
009.095.002	Risk register relating to the information management function.	Destroy 7 years after next risk assessment

### **Security**

The activities associated with measures taken to protect people, premises, equipment or information from accidental or intentional damage or from unauthorised access. Includes the security classification of personnel and criminal record checks.

[For breaches of privacy of information, use INFORMATION MANAGEMENT -Privacy.]

# Entry No. 009.097.001

# Description of Records

Records documenting major security breaches where classified records and information have been removed from official custody and passed to a third party. Includes referral to law enforcement authorities.

[For disciplinary action against staff for security related breaches involving records and information, use PERSONNEL - Discipline.]

009.097.002  Records documenting minor security breaches where classified records and information have not been appropriately secured.

[For disciplinary action against staff for security related breaches involving records and information, use PERSONNEL - Discipline.]

009.097.003  Records documenting the management of Destroy 5 years after security arrangements for handling records and information (e.g. mail) within an agency. Includes:

- classified document registers (e.g. register of Cabinet documents)
- safe hand registers
- safe hand receipts.

[For the destruction of classified waste, use PROPERTY MANAGEMENT -Maintenance.]

### Disposal Action

Retain as Territory Archives

Destroy 5 years after action completed

action completed

### **Standards**

The process of implementing industry or agency specific benchmarks for services and processes to enhance quality and efficiency of an organisation.

[For compliance with standards (except where other activities apply), use INFORMATION MANAGEMENT - Compliance.]

Entry No.	Description of Records	Disposal Action
009.100.001	Records documenting the development of government wide standards relating to records and information management in the Territory.	Retain as Territory Archives
009.100.002	Records documenting the implementation of industry, government and agency standards to support records and information management, (e.g. Australian Standard AS ISO 15489 Records Management).	Destroy 7 years after standard is implemented

### **Submissions**

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

Entry No.	Description of Records	Disposal Action
009.102.001	Records documenting the preparation of	Destroy 3 years after
	agency submissions seeking support for	action completed
	an information management project.	

# Suggestions

The process of using suggestions from personnel and the public to improve the services and processes of the agency.

Entry No.	Description of Records	Disposal Action
009.103.001	Records documenting suggestions	Destroy 2 years after
	received and used to improve records and	action completed
	information management services.	

# **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.

Entry No. 009.104.001	Description of Records Signed contracts under seal resulting from tenders and supporting records.	Disposal Action Destroy 12 years after completion or other termination of agreement or contract
009.104.002	Records documenting the development and issue of tender documentation. Includes:  • statements of requirements  • requests for proposals  • expressions of interest  • requests for tender (RFT)  • draft contracts.	Destroy 7 years after tender process completed
009.104.003	Evaluation of tenders received against selection criteria. Includes:  • records documenting arrangements for carrying out the evaluation process  • evaluation reports  • recommendations  • final reports  • public notices.	Destroy 7 years after tender process completed
009.104.004	Records documenting post-offer negotiations and due diligence checks.	Destroy 7 years after tender process completed
009.104.005	Tender registers.	Destroy 7 years after last entry
009.104.006	Signed simple contracts and agreements resulting from tenders and supporting records.	Destroy 7 years after completion or other termination of agreement or contract

# Tendering (Continued)

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.

Entry No.	Description of Records	Disposal Action
009.104.007	Contract registers.	Destroy 7 years after last entry
009.104.008	Records of unsuccessful tenders or a tender process where there is no suitable bidder, or where the tender process has been discontinued. Includes:  • submissions • notifications of outcome • reports on debriefing sessions.	• •

# **RETAIN AS TERRITORY ARCHIVES**

### INFORMATION MANAGEMENT

The function of managing the records and information resources of government and its agencies to meet operational needs and, if appropriate, to allow public access to the records consistent with the *Territory Records Act 2002* and the *Freedom of Information Act 1989*. Includes the creation, keeping, protection, preservation, storage and disposal of, and access to records of the agency, and developing strategies to manage records as archival resources for the benefit of future generations. Also includes the acquisition, control and disposal of library and other information products or items kept for reference purposes and the provision of records and information services to internal and external customers.

### Advice

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

Entry No.	Description of Records Dispo	sal Action
009.005.001	Č 1	as Territory
	provision of whole-of-government advice Archiv	ves
	to agencies or users relating to records and	
	information management.	

### Agreements

The processes associated with the establishment, maintenance, review and negotiation of agreements. Includes records associated with preparing agreements/contracts and settling those agreements/contracts. Includes contracts, memoranda of understanding (MOU), deeds, leases, licences and mortgages.

Entry No.	Description of Records	Disposal Action
009.006.001	Final copies of agreements with other	Retain as Territory
	$\varepsilon$ , $\varepsilon$	Archives
	of significance to the Territory.	

### 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 an agency, company or other organisation in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

Entry No. 009.013.001 

# Description of Records

Records documenting audits of agencies for compliance to recordkeeping requirements by the regulating agency, including working papers and final reports.

**Disposal Action** 

Retain as Territory Archives

# Case Management

The activity of managing an incident, person, organisation or client, on a case basis. Case management incorporates the process of assessment, planning, facilitation and advocacy for options and services to meet an individual's, organisation's or client's needs or outcomes. Includes processing of applications; authorisations and approvals; the establishment of a client; developing, implementing and monitoring case plans; the ongoing delivery and provision of services; finalisation of services and reviews of service delivery.

Entry No. 009.016.001 

### Description of Records

Disposal Action Records documenting requests for public Retain as Territory

access to records and documents under the Archives Freedom of Information Act 1989, the Territory Records Act 2002 and other legislation specific to the agency that:

- set a precedent
- lead to a change of policy
- relate to issues of national significance
- relate to issues of public controversy
- result in appeals to the ACT Civil and Administrative Tribunal (ACAT) or the Federal or High Court.

#### Committees

The activities associated with the establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agendas, etc. of committees and task forces.

# Entry No. 009.020.001

# **Description of Records**

Records of inter-government (both State/Territory and overseas) or interagency committees formed to consider matters relating to whole-of-government records and information management. Includes:

- documents establishing the committee
- agendas
- minutes
- reports
- recommendations
- supporting documents such as briefing and discussion papers.

### Disposal Action

Retain as Territory Archives

# **Compliance**

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

[For compliance audits of agencies records and information programs by the regulating agency, use INFORMATION MANAGEMENT - Audit.]

Entry No.
009.021.001

### Description of Records

Records documenting the on-going monitoring of agency compliance with their Records Management Programs.

### Disposal Action

Retain as Territory Archives

### Conservation

The activities involved in the preservation, protection, maintenance, restoration and enhancement of archival resources, heritage items and artefacts, properties, including buildings and land. Also includes environmental conservation activities.

Entry No.
009.023.001

# **Description of Records**

Disposal Action

Records documenting the management of Retain as Territory conservation projects for the preservation Archives of rare, historical or heritage records and

other information resources.

### **Control**

The activities associated with creating, maintaining and evaluating control mechanisms. Includes classification, indexing, registration, forms design etc to ensure maximum control over records and recordkeeping systems. Also includes control mechanisms for other information resources and systems.

Entry No.
009.026.001

### **Description of Records**

### **Disposal Action**

Master control records for agency recordkeeping systems (both paper and electronic). Includes:

Retain as Territory Archives

- relevant metadata elements
- registers of inwards/outwards correspondence (including Ministerial correspondence)
- registers and indexes giving details of control numbers, titles, date, disposal details
- file movement cards, if they also constitute the main control record or have been used to record disposal detail
- list of records destroyed, if master control records are not annotated
- registers of case files (e.g. personnel and compensation case files registers).

### Control (Continued)

The activities associated with creating, maintaining and evaluating control mechanisms. Includes classification, indexing, registration, forms design etc to ensure maximum control over records and recordkeeping systems. Also includes control mechanisms for other information resources and systems.

Entry No.
009.026.002

### **Description of Records**

Master copy of file classification systems or an agency's authorised business classification schemes (currently created using the methodology of the Australian Standard AS ISO 15489 Records Management) and abbreviations used in paper and electronic systems.

# Disposal Action Retain as Territory

Archives

009.026.003

Records documenting the creation, maintenance and evaluation of an agency record titling thesauruses. Includes master copy of the thesaurus.

Retain as Territory Archives

[For agency documentation of its functional analysis, the development of its business classification scheme and the recordkeeping requirements necessary for the creation of an agency Records Disposal Schedule and functional thesaurus, use INFORMATION MANAGEMENT - Policy.]

009.026.004

Business rules and configuration settings for agency metadata. Includes developmental records and requests for changes. Retain as Territory Archives

[For the application, allocation and maintenance of the metadata in electronic systems, other than those covered by the Information Management function, use TECHNOLOGY & TELECOMMUNICATIONS - Control.]

### **Disposal**

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

[For the disposal of real property through a tendering process, use PROPERTY MANAGEMENT - Tendering.

For the disposal of real property through an agreement, use PROPERTY MANAGEMENT - Agreements.]

Entry No.	Description of Records	Disposal Action
009.034.001	Records documenting arrangement for the transfer of ownership of records following the corporatisation and privatisation of an agency, or part of an agency.	•
009.034.002	Records documenting the authorisation of records and information for destruction and associated Certificates of Destruction provided by service providers.	Retain as Territory Archives

### **Donations**

The activities associated with managing money, items, artifacts or property donated to the agency, or by the agency and or its staff to charities etc Includes managing unsolicited donations.

Entry No.	Description of Records	Disposal Action
009.037.001	Records documenting donations of records or manuscript materials of archival or historical value to an agency for inclusion in the archives holdings of the Territory. Includes liaison with the owner on conditions of donation.	Retain as Territory Archives

### **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.

# Entry No. 009.053.002

# Description of Records

Records documenting the implementation Retain as Territory of vital records plans and counter-disaster Archives plans after disasters such as fire or floods, and implementation of emergency destruction plans covering the organisation's information resources. Includes a copy of current plan implemented for the disaster recovery process.

[For the development of the counterdisaster plan, vital records plan, and other plans relating to the information management function, use INFORMATION MANAGEMENT -Planning.]

## **Policy**

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making.

# Entry No. 009.080.001

### Description of Records

Records documenting the development and establishment of government wide records and information management policies. Includes:

- policy proposals
- research papers
- results of consultations
- supporting reports
- major drafts
- final policy documents.

# **Disposal Action**

Disposal Action

Archives

Retain as Territory

### **Procedures**

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

*Entry No.* 009.082.001

# Description of Records

Master copy of recordkeeping rules/guidelines of the agency and supporting documentation.

[For recordkeeping requirements data, use INFORMATION MANAGEMENT - Policy.]

### Disposal Action

Retain as Territory Archives

# Reviewing

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

Entry No. 009.093.001

### **Description of Records**

Records documenting a review of agency programs and operations supporting records and information management which result in significant findings or actions that cause major changes to government recordkeeping. Includes:

### Disposal Action

Retain as Territory Archives

- documents establishing the review
- final versions of the report
- action plans.

### Security

The activities associated with measures taken to protect people, premises, equipment or information from accidental or intentional damage or from unauthorised access. Includes the security classification of personnel and criminal record checks.

[For breaches of privacy of information, use INFORMATION MANAGEMENT -Privacy.]

# Entry No. 009.097.001

# **Description of Records**

Records documenting major security breaches where classified records and information have been removed from official custody and passed to a third party. Includes referral to law enforcement authorities.

[For disciplinary action against staff for security related breaches involving records and information, use PERSONNEL - Discipline.]

### **Disposal Action**

Retain as Territory Archives

### **Standards**

The process of implementing industry or agency specific benchmarks for services and processes to enhance quality and efficiency of an organisation.

[For compliance with standards (except where other activities apply), use INFORMATION MANAGEMENT - Compliance.]

Entry No.
009.100.001

# **Description of Records**

Records documenting the development of Retain as Territory government wide standards relating to records and information management in the Territory.

## **Disposal Action**

**Archives** 

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

Changes to **TARDiS** Dated July 2009

### **New Features (Insertions)**

FUNCTION	Activity	Entry no.	Description
Information Management	Advice	009.005.001	New class.
	Agreements	009.006.001	New class.
	Audit	009.013.001	New class.
	Case Management		New activity.
	Case Management	All	New classes.
	Compliance	009.021.001	New class.
	Conservation	009.023.001	New class.
	Disposal	009.034.002	New class.
	Donations	009.037.001	New class.
	Intellectual Property	009.060.001	New class.
	Liaison	009.067.001	New class.
	Policy	009.080.001	New class.
	Reviewing	009.093.001	New class.
	Standards	009.100.001	New class.

# **Enhancements (Changes)**

FUNCTION	Activity	Entry no.	Description
Information Management	All	All	Renumbered.
Information Management			Scope note changed.
	Advice		Scope note changed.
	Advice	009.005.001	Renumbered
	Agreements		Scope note changed.
	Agreements	All	Renumbered
	Audit	All	Renumbered
	Authorisation	009.014.001	Class description changed.
	Authorisation	009.014.002	Class description changed.
	Committees		Scope note changed.
	Committees	009.020.003	Disposal action changed.
	Compliance		Scope note changed. Classification and sentencing guide added to

# **Enhancements (Changes)**

FUNCTION	Activity	Entry no.	Description
			scope note.
	Compliance	009.021.001	Renumbered
	Conservation		Scope note changed.
	Conservation	All	Renumbered
	Control	All	Renumbered
	Customer Service	009.030.002	Renumbered
	Customer Service	009.030.003	Renumbered
	Customer Service	009.030.004	Renumbered
	Disposal	All	Renumbered
	Distribution	009.036.001	Disposal action changed.
	Donations	009.037.001	Renumbered
	Enquiries		Scope note changed. Classification and sentencing guide added to scope note.
	Enquiries	All	Renumbered.
	Evaluation		Classification and sentencing guide added to scope note.
	Implementation	All	Renumbered
	Implementation	009.053.002	Classification and sentencing guide changed in class description.
	Intellectual Property		Classification and sentencing guide added to scope note.
	Intellectual Property	All	Renumbered
	Inventory		Classification and sentencing guide added to scope note.
	Marketing	009.070.001	Disposal action changed.
	Meetings		Scope note changed.
	Meetings	009.072.002	Disposal action changed.
	Planning	009.079.003	Disposal action changed.
	Planning	009.079.004	Disposal action changed.
	Policy		Scope note changed.
	Policy	All	Renumbered.
	Policy	009.080.002	Disposal action changed.
	Privacy		Classification and sentencing guide added to scope note.
	Procedures	All	Renumbered.

# **Enhancements (Changes)**

FUNCTION	Activity	Entry no.	Description
	Procedures	009.082.003	Disposal action changed.
	Procedures	009.082.004	Disposal action changed.
	Reporting		Scope note changed. Classification and sentencing guide added to scope note.
	Reporting	009.088.003	Renumbered.
	Reporting	009.088.004	Renumbered.
	Reporting	009.088.005	Renumbered.
	Research		Scope note changed.
	Research	All	Disposal action changed.
	Reviewing	All	Renumbered.
	Security		Classification and sentencing guide added to scope note.
	Standards		Classification and sentencing guide added to scope note.
	Standards	All	Renumbered
	Tendering	All	Renumbered.

# **Corrections (Deletions)**

FUNCTION	Activity	Entry no.	Description
Information Management	Cases	All	Removed
	Data Administration	All	Removed
Staff Development	All	All	Removed