Australian Capital Territory

Territory Records (Records Disposal Schedule – Territory Administrative Records Disposal Schedules – Technology & Telecommunications Records) Approval 2009 (No 1)

Notifiable instrument NI2009—454

made under the

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

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1. Name of Instrument

This instrument is the Territory Records (Records Disposal Schedule – Territory Administrative Records Disposal Schedules - Technology & Telecommunications Records) Approval 2009 (No 1)

2. Approval

I approve the Records Disposal Schedule – Territory Administrative Records Disposal Schedules - Technology & Telecommunications 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

Technology & Telecommunications Records

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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 IS0 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*. 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.
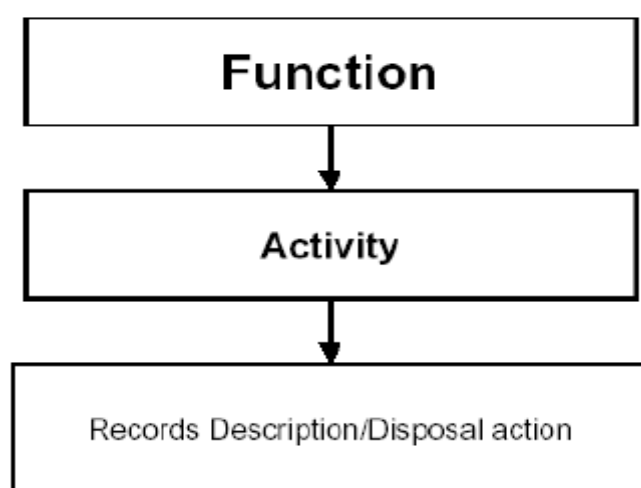
Diagram 1 – Class description

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.
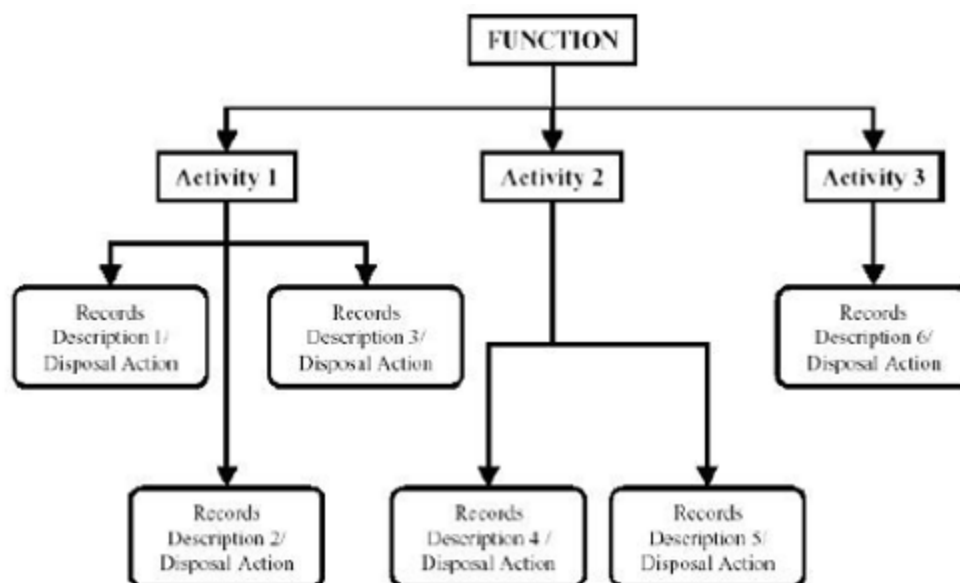
Diagram 2 - Model of disposal classes

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 *Territory Version of Keyword AAA* 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.
Disposal Action	This is the minimum period a record must be kept for and is the trigger event from which the disposal date can be calculated.
'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.

```
┌─────────────────────────────────────┐
│ Determine appropriate function/activity. │
└─────────────────────────────────────┘
                 │
                 ▼
┌─────────────────────────────────────────┐
│ Determine most likely disposal class from the Territory │
│ Administrative Records Disposal Schedule. │
└─────────────────────────────────────────┘
                 │
                 ▼
┌─────────────────────────────────────────┐
│ • Identify probable date of disposal trigger event │
│   and calculate review date from that point. │
│                   OR                     │
│ • Identify records to be retained as     │
│ Territory Archives and determine review date. │
└─────────────────────────────────────────┘
                 │
( On review date )───────────▼
                 │
            ◇ Has the disposal trigger event occurred? ◇
         Yes ◁                          ▷ No
              │                          │
              ▼                          ▼
┌──────────────────────┐    ┌──────────────────────────┐
│ • Confirm disposal decision │    │ Revise probable trigger date │
│ • Update control records    │    │ and recalculate review date  │
└──────────────────────┘    └──────────────────────────┘
              │
              ▼
┌──────────────────────┐
│ Handle in accordance with │
│ destruction guidelines    │
└──────────────────────┘
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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. The Index can also assist in identifying the correct function and activity set.

- *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).*

BUSINESS CLASSIFICATION SCHEME

TECHNOLOGY & TELECOMMUNICATIONS

The function of managing the planning, provision, development or acquisition of information and communication technologies. Includes specifying, developing, testing and implementing applications, systems and databases to support the business needs of the agency, to capture, store, retrieve, transfer, communicate and disseminate information through automated systems, the evaluation of software and hardware and the tendering, leasing, enterprise licensing of whole-of-government software and the disposal of systems and end user equipment. Also includes the maintenance of software libraries, the provision of data centres and telecommunications networks such as video conferencing, voice mail and electronic mail and the technical aspects of the Internet, Intranet and Web Sites.

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.

Allocation

The process of assigning of money, items, or equipment.

Application Development

The activities associated with developing software and programming codes to run business applications. Includes specifications, testing, pilots, prototyping and metadata requirements.

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.

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.

Conferences

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

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.

Data Administration

The activities associated with maintaining and using the data that is held in a system, either automated or manual. Includes the maintenance of data dictionaries.

Database Management

The activities associated with building, prototyping and testing databases. Includes management of user rules, passwords and monitoring usage and response times.

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.

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.

Installation

Activities involved in placing equipment in position and connecting and adjusting it for use.

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.

Leasing

The activities involved in leasing items, equipment, accommodation, premises or real estate. Includes the process of chartering.

Leasing out

The activities involved in leasing-out items, equipment, accommodation, premises or real estate to another agency, organisation, group or person for a specified period and agreed price. Includes the formal documentation setting out conditions, rights, responsibilities, etc. of both parties. Also includes subleasing.

Maintenance

The activities associated with the upkeep, repair, servicing, modification and preservation of internal/external conditions of premises, equipment, vehicles etc.

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.

Modelling

The processes involved in designing, testing and evaluating sample model profiles of systems under analysis.

Operations

The activities associated with keeping computer systems in effective operation on a daily basis. Includes fault reporting, help and desktop support.

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.

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

TECHNOLOGY & TELECOMMUNICATIONS

The function of managing the planning, provision, development or acquisition of information and communication technologies. Includes specifying, developing, testing and implementing applications, systems and databases to support the business needs of the agency, to capture, store, retrieve, transfer, communicate and disseminate information through automated systems, the evaluation of software and hardware and the tendering, leasing, enterprise licensing of whole-of-government software and the disposal of systems and end user equipment. Also includes the maintenance of software libraries, the provision of data centres and telecommunications networks such as video conferencing, voice mail and electronic mail and the technical aspects of the Internet, Intranet and Web Sites.

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.	Description of Records	Disposal Action
017.003.001	Records documenting the acquisition of technology and telecommunications equipment, goods and services where there is no tender or contract process, i.e. where the cost of the acquisition is below the threshold for tendering or where a purchase is made against a period contract. Includes: • formal requests for quotes • orders • handover reports • routine forms and correspondence relating to the acquisition.	Destroy 7 years after action completed
017.003.002	Records documenting acquisitions not proceeded with of technology and telecommunication equipment, goods and services. *[For the assessment of suitability of equipment, goods and services, use TECHNOLOGY & TELECOMMUNICATIONS - Evaluation.]*	Destroy 2 years after action completed
017.003.003	Information provided by technology and telecommunications vendors relating to products and services.	Destroy 6 months after last action

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
017.005.001 |IIIIIIIIIIIIIIIIIIIII|	Records documenting the receipt and provision of external advice on information & communications technology issues. Includes advice provided by consultants. *[For the management of contracts with consultants, use TECHNOLOGY & TELECOMMUNICATIONS – Contracting out.]*	Destroy 5 years after action completed
017.005.002 |IIIIIIIIIIIIIIIIIIIII|	Records documenting the receipt and provision of internal advice on information & communications technology issues.	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.	Description of Records	Disposal Action
017.006.001 |IIIIIIIIIIIIIIIIIIIII|	Final versions of agreements with vendors or other agencies to provide information & communications technology equipment and stores (e.g. Memoranda of Understanding). Includes maintenance agreements and software licences.	Destroy 7 years after expiry or other termination of agreement
017.006.002 |IIIIIIIIIIIIIIIIIIIII|	Records documenting negotiations, establishment, maintenance and review of agreements made.	Destroy 7 years after completion or other termination of agreement or contract

Allocation

The process of assigning of money, items, or equipment.

Entry No.	*Description of Records*	*Disposal Action*
017.007.001	Records documenting the allocation of equipment, services, facilities or software to individuals or organisational units. Includes: • the allocation of international subscriber dialling • subscriber trunk dialling • voicemail facilities • mobile phones.	Destroy 3 years after action completed

Application Development

The activities associated with developing software and programming codes to run business applications. Includes specifications, testing, pilots, prototyping and metadata requirements.

Entry No.	*Description of Records*	*Disposal Action*
017.010.001	Records documenting testing activities where expected results are found. Includes: • testing strategies • result forms • test reports.	Destroy 7 years after action completed

Application Development (Continued)

The activities associated with developing software and programming codes to run business applications. Includes specifications, testing, pilots, prototyping and metadata requirements.

Entry No.	Description of Records	Disposal Action
017.010.002 *[barcode]*	Records documenting the development, modification and maintenance of specific applications to meet business needs which go into production. Includes: • feasibility studies • pilot studies • final versions of all system documentation, user and technical manuals • application specific data dictionaries • final versions of business rules • final versions of user requirements • final versions of system specifications • rectification of problems (includes Year 2000 remediation) • requests for system changes • final sign-offs by all parties. *[For system analysis and development of specifications, user requirements and business rules, use TECHNOLOGY & TELECOMMUNICATIONS - Evaluation.* *For business process reengineering and revision of specifications, use TECHNOLOGY & TELECOMMUNICATIONS - Reviewing.* *For the maintenance of agency-wide data dictionaries, use TECHNOLOGY & TELECOMMUNICATIONS - Data Administration.* *For the ongoing management of database applications, use TECHNOLOGY & TELECOMMUNICATIONS - Database Management.* *[Class continued]*	Destroy 5 years after (sub)system is defunct and any data supported is either migrated or destroyed

Application Development (Continued)

The activities associated with developing software and programming codes to run business applications. Includes specifications, testing, pilots, prototyping and metadata requirements.

Entry No.	*Description of Records*	*Disposal Action*
	For requests for changes to existing systems, use TECHNOLOGY & TELECOMMUNICATIONS - Reviewing.]	
017.010.003	Records documenting the development and modification of specific applications to meet business needs which do not go into production or are otherwise abandoned. Includes:	Destroy 2 years after action completed
	• feasibility studies • pilot studies • system documentation, user and technical manuals • application specific data dictionaries • business rules • user requirements • system specifications.	
017.010.004	Records documenting testing activities where unexpected results are found. Includes:	Destroy 6 months after action completed
	• testing strategies • result forms • test reports.	

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*
017.013.001	Final internal and external audit reports relating to the technology and telecommunications function. *[For audit logs, use TECHNOLOGY & TELECOMMUNICATIONS - Control.]*	Destroy 5 years after action completed
017.013.002	Records documenting the planning and conduct of internal and external audits relating to the technology and telecommunications function. Includes: • liaison with the auditing body • minutes of meetings • notes taken at opening and exit interviews • notes taken at opening and exit interviews • draft reports • comments.	Destroy 3 years 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*
017.014.001	Delegations of power to agency staff to authorise administrative action relating to the technology and telecommunications function.	Destroy 7 years after delegation expires
017.014.002	Authorisations for administrative action supporting the technology and telecommunications function.	Destroy 7 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.	Description of Records	Disposal Action
017.020.001	Records of committees and/or subcommittees formed to consider specific matters relating to the technology and telecommunications function (e.g. configuration control board). Includes: • documents establishing the committee • final versions of minutes • reports • recommendations • supporting documents such as briefing papers and discussion papers.	Destroy 5 years after action completed
017.020.002	Working papers documenting the conduct and administration of committees which consider matters relating to the technology and telecommunications function. Includes: • agendas • notices of minutes • draft minutes.	Destroy 6 months after last action

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.

Entry No.	*Description of Records*	*Disposal Action*
017.021.001	Records documenting agency compliance with mandatory or optional standards or with statutory requirements relating to the technology and telecommunications function. Includes the Information Technology Infrastructure Library (ITIL) and ISO/IEC 20000 standard on IT service management.	Destroy 5 years after action completed

Conferences

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

Entry No.	*Description of Records*	*Disposal Action*
017.022.001	Records documenting arrangements for agency conferences. Includes: • program development • arranging speakers • promotion • managing registrations • venue bookings.	Destroy 3 years after action completed
017.022.002	Reports assessing the conduct of agency conferences.	Destroy 3 years after action completed
017.022.003	Participants' reports on conferences arranged by other organisations.	Destroy 3 years after action completed
017.022.004	Participants' reports on conferences arranged by other organisations.	Destroy 6 months after last action

Conferences (Continued)

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

Entry No.	*Description of Records*	*Disposal Action*
017.022.005	Records documenting the attendance of staff at conferences arranged by other organisations. Includes: - completed conference registration forms - programs - conference promotion material.	Destroy 6 months after last action
017.022.006	Copies of published conference proceedings and official reports received at conferences arranged by other organisations.	Destroy 6 months after last action

Contracting out

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

Entry No.	*Description of Records*	*Disposal Action*
017.025.001	Records documenting contract management relating to the technology and telecommunications function. Includes: - minutes of meetings with main stakeholders - performance and evaluation reports.	Destroy 7 years after completion or other termination of 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.	*Description of Records*	*Disposal Action*
017.026.001	System logs which are used to show a history of access or change to data (e.g. system access logs, internet access logs, system change logs and audit trails etc).	Destroy 7 years after action completed
017.026.002	Records documenting the development of control mechanisms (e.g. authenticity and version control). *[For development of business rules, etc. for recordkeeping metadata mechanisms, use INFORMATION MANAGEMENT - Control.]*	Destroy 5 years after mechanism is superseded
017.026.003	System logs which are not used to show a history of access or change to data (e.g. backup logs).	Destroy 6 months after last action
017.026.004	Records documenting the allocation and maintenance of metadata in electronic systems. *[For the allocation of recordkeeping metadata, use INFORMATION MANAGEMENT - Control.]*	Destroy 6 months after last action
017.026.005	Records documenting the maintenance of E-mail address lists (internal and external) and/or telephone lists, telephone call pick up groups, etc.	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
017.030.001 *[barcode]*	Records documenting the planning, monitoring and evaluation of customer services. Includes: • market research • feedback mechanisms • performance and response time monitoring.	Destroy 3 years after action completed
017.030.002 *[barcode]*	Records documenting the development of service charters and directives relating to the provision of information management services. Includes final copies of charters. *[For the production of the service charter, use PUBLICATION - Planning and PUBLICATION - Production.]*	Destroy 6 months after superseded

Data Administration

The activities associated with maintaining and using the data that is held in a system, either automated or manual. Includes the maintenance of data dictionaries.

Entry No.	Description of Records	Disposal Action
017.031.001 *[barcode]*	Records documenting the migration of records between electronic systems and from one electronic medium to another (e.g. paper to electronic, tape to disc). Includes strategies for the migration and quality assurance checks to confirm accuracy of the migration process. *[For arranging the transfer or integration of systems following an administrative change, use TECHNOLOGY & TELECOMMUNICATIONS - Restructuring.]*	Destroy 1 year after data migrated or destroyed

Data Administration (Continued)

The activities associated with maintaining and using the data that is held in a system, either automated or manual. Includes the maintenance of data dictionaries.

Entry No.	Description of Records	Disposal Action
017.031.002 ‖‖‖‖‖‖‖‖‖‖‖‖‖	Records documenting the maintenance of agency-wide data dictionaries. *[For the maintenance of application specific data dictionaries, use TECHNOLOGY & TELECOMMUNICATIONS - Application Development.]*	Destroy 6 months after last action

Database Management

The activities associated with building, prototyping and testing databases. Includes management of user rules, passwords and monitoring usage and response times.

Entry No.	Description of Records	Disposal Action
017.032.001 ‖‖‖‖‖‖‖‖‖‖‖‖‖	Records documenting database management. Includes requests for changes to schemas, views and configuration management.	Destroy 7 years after action completed
017.032.002 ‖‖‖‖‖‖‖‖‖‖‖‖‖	Ad-hoc requests for information from agency databases.	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.

Entry No.	Description of Records	Disposal Action
017.034.001	Records documenting the disposal of Territory owned assets. Includes: • independent valuations • certificates verifying that work undertaken on asset was prior to valuation • written quotes • auction records and routine forms • correspondence relating to the disposal of assets. *[For the disposal of equipment and goods by tender, use TECHNOLOGY AND TELECOMMUNICATIONS - Tendering.]*	Destroy 7 years after disposal of asset
017.034.002	Records documenting the disposal of leased assets. Includes: • written notices and correspondence to and from leasing companies in relation to return of assets • handover reports • notifications that agency, or their nominee, wishes to purchase assets.	Destroy 3 years after disposal of asset

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.

Entry No.	Description of Records	Disposal Action
017.042.001	Records documenting analysis of business processes. Includes systems analysis and business process analysis.	Destroy 7 years after action completed

Evaluation (Continued)

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.

Entry No.	*Description of Records*	*Disposal Action*
017.042.002	Records documenting the evaluation of potential or existing technology and telecommunications services and systems.	Destroy 7 years after action completed
017.042.003	Records documenting the development and issue of specifications for technology and telecommunications equipment, goods and services. Includes:	Destroy 7 years after action completed

- statements of requirements
- requests for proposals
- expressions of interest
- business cases.

[For Requests for Tender (RFT) and draft contract, use TECHNOLOGY & TELECOMMUNICATIONS - Tendering.

For the acquisition of equipment, goods and services by means other than tender, use TECHNOLOGY & TELECOMMUNICATIONS - Acquisition.]

Evaluation (Continued)

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.

Entry No.	*Description of Records*	*Disposal Action*
017.042.004 *[barcode]*	Initial evaluation of 'commercial-off-the-shelf' (COTS) products and services to be used in new technology or telecommunications projects, including shared system suite and endorsed suppliers. Also includes justification of decisions not to proceed with whole-of-government solutions. *[For the process of acquiring technology and telecommunications equipment, goods and services, use TECHNOLOGY & TELECOMMUNICATIONS - Acquisition.* *For the management of technology and telecommunication contracts, use TECHNOLOGY & TELECOMMUNICATIONS - Contracting out.* *For re-evaluation of existing products and services, use TECHNOLOGY AND TELECOMMUNICATIONS - Reviewing.* *For the evaluation of the non-technological aspects of an evaluation, use appropriate function e.g. FINANCIAL MANAGEMENT for the evaluation of a finance system and PERSONNEL for the evaluation of a personnel system.]*	Destroy 7 years after action completed
017.042.005 *[barcode]*	Records documenting investigations into the feasibility of contracting out technology and telecommunication activities.	Destroy 7 years after action completed
017.042.006 *[barcode]*	Records documenting assessments of, and input into, whole-of-Government outsourcing solutions. Includes justification of decision not to proceed with such solutions.	Destroy 7 years after action 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.	*Description of Records*	*Disposal Action*
017.053.001	Records documenting the application of an agency's counter-disaster plan or business continuity plan following an incident. Includes records covering the protection and re-establishment of data and the agency backup plan.	Retain as Territory Archives
	[For the development of a counter-disaster plan covering the technology and telecommunications function, use TECHNOLOGY & TELECOMMUNICATIONS - Planning.	
	For the recovery of information on an ad-hoc basis, use TECHNOLOGY & TELECOMMUNICATIONS - Operations.	
	For the implementation of the counter-disaster plan, vital records plan and emergency destruction plan within the organisation's information resources, use INFORMATION MANAGEMENT - Implementation.]	

Implementation (Continued)

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.	*Description of Records*	*Disposal Action*
017.053.002	Records documenting the implementation of plans, policies, strategies, procedures and instructions formulated to support the technology and telecommunications function. Includes monitoring implementation activities (e.g. regular backups) and the introduction of new equipment and software to a wide audience. *[For post implementation reviews, use TECHNOLOGY & TELECOMMUNICATIONS - Reviewing.* *For the non-technological aspects of an implementation, use the appropriate function, e.g. FINANCIAL MANAGEMENT for the implementation of a finance system and PERSONNEL for the implementation of a personnel system.]*	Destroy 5 years after action completed
017.053.003	Records documenting project management of all technology and telecommunications projects.	Destroy 5 years after action completed

Inspections

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

Entry No.	*Description of Records*	*Disposal Action*
017.057.001	Records documenting the routine inspection of technology and telecommunications assets and facilities (e.g. to ensure that unauthorised software or equipment is not being used).	Destroy 3 years after action completed
	[For formal audits, use TECHNOLOGY & TELECOMMUNICATIONS - Audit.]	

Installation

Activities involved in placing equipment in position and connecting and adjusting it for use.

Entry No.	*Description of Records*	*Disposal Action*
017.058.001	Records documenting installation, configuration and relocation of technology and telecommunications equipment and facilities. Includes cabling from wall socket to a device and configuration of network hubs.	Destroy 2 years after action completed
	[For the installation of cabling for communications networks from a network hub or PABX, etc. to a user wall socket or to the telecommunications provider point of entry, use PROPERTY MANAGEMENT- Installation.]	
017.058.002	Records documenting configuration of corporate software.	Destroy 5 years after software is defunct and any data supported is either migrated or destroyed

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.

Entry No.	*Description of Records*	*Disposal Action*
017.060.001 *[barcode]*	Applications made by the agency to use portions of software developed by another agency, organisation or individual. *[For the purchase of licences to use commercial-off-the-shelf (COTS) solutions, use TECHNOLOGY & TELECOMMUNICATIONS - Acquisition.]*	Destroy 7 years after action completed
017.060.002 *[barcode]*	Requests from the public and other agencies for permission to reproduce portions of agency-developed software.	Destroy 7 years after action completed

Leasing

The activities involved in leasing items, equipment, accommodation, premises or real estate. Includes the process of chartering.

Entry No.	Description of Records	Disposal Action
017.063.001 |||||||||||||||||||	Records documenting the administration and management of leased technology and telecommunications equipment. Includes reports received from leasing companies.	Destroy 7 years after lease expires or is terminated

[For the activities associated with acquiring leased equipment, use TECHNOLOGY & TELECOMMUNICATIONS - Acquisition.

For the disposal of leased equipment, use TECHNOLOGY & TELECOMMUNICATIONS - Disposal.

For Fringe Benefit Tax reports received from a leasing company, use PERSONNEL - Salaries.

For managing financial transactions associated with the leasing, use FINANCIAL MANAGEMENT- Accounting or FINANCIAL MANAGEMENT- Payments.]

Leasing out

The activities involved in leasing-out items, equipment, accommodation, premises or real estate to another agency, organisation, group or person for a specified period and agreed price. Includes the formal documentation setting out conditions, rights, responsibilities, etc. of both parties. Also includes subleasing.

Entry No.	Description of Records	Disposal Action
017.064.001 |||||||||||||||||||	Records documenting arrangements for the leasing out of agency equipment and facilities to other bodies.	Destroy 7 years after lease expires or is terminated

[For managing financial transactions associated with leasing-out activities, use FINANCIAL MANAGEMENT - Accounting and/or FINANCIAL MANAGEMENT - Payments.]

Maintenance

The activities associated with the upkeep, repair, servicing, modification and preservation of internal/external conditions of premises, equipment, vehicles etc.

Entry No.	*Description of Records*	*Disposal Action*
017.069.001	Records documenting the maintenance and modification of technology and telecommunications assets.	Destroy 3 years after action completed
	[For the rectification of minor faults by agency staff, use TECHNOLOGY & TELECOMMUNICATIONS - Operations.	
	For the maintenance and modification of software, use TECHNOLOGY & TELECOMMUNICATIONS - Application Development.	
	For system change requests, use TECHNOLOGY & TELECOMMUNICATIONS - Reviewing.]	

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*
017.072.001	Final versions of minutes and supporting documents tabled at meetings held to support the technology and telecommunications function. Includes meetings with external agencies.	Destroy 5 years after action completed
017.072.002	Working papers documenting the conduct and administration of meetings held to support the technology and telecommunications function. Includes: • agendas • notices of meetings • draft minutes.	Destroy 6 months after last action

Modelling

The processes involved in designing, testing and evaluating sample model profiles of systems under analysis.

Entry No.	*Description of Records*	*Disposal Action*
017.074.001	Development of business or technical models or prototypes used to support the technology and telecommunication function.	Destroy 7 years after action completed
	[For systems analysis, use TECHNOLOGY & TELECOMMUNICATIONS - Evaluation.	
	For models which support the application development activity, use TECHNOLOGY & TELECOMMUNICATIONS - Application Development.]	

Operations

The activities associated with keeping computer systems in effective operation on a daily basis. Includes fault reporting, help and desktop support.

Entry No.	*Description of Records*	*Disposal Action*
017.076.001	Records relating to help desk operations. Includes:	Destroy 1 year after action completed

- minor maintenance and advice
- technical assistance to an individual
- requests to reset passwords
- requests to recover data from backup tapes, etc.

[For the repair of equipment by an external service provider, use TECHNOLOGY & TELECOMMUNICATIONS - Maintenance.

For the introduction of new equipment or software to a wider audience, use TECHNOLOGY & TELECOMMUNICATIONS - Implementation.

For the planning, monitoring and evaluation of services, use TECHNOLOGY & TELECOMMUNICATIONS - Customer Service.

For the recovery of data on a wide scale (i.e. after a disaster), use TECHNOLOGY & TELECOMMUNICATIONS - Data Administration.]

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*
017.079.001	Final versions of agency information & communications technology compliance plans.	Destroy 7 years after all action contained in the plan is completed
017.079.002	Final versions of agency-wide technology and telecommunications plans. Includes: • System security plans • Information system security plans • Business continuity plans • Forensic plans • Information technology strategic management plans • Access control plans • Counter-disaster plans relating to technology and telecommunications • Telecommunications plans. *[For the implementation of counter disaster plans and business continuity plans, use TECHNOLOGY & TELECOMMUNICATIONS - Implementation.]*	Destroy 5 years after plan is superseded
017.079.003	Final versions of a section or business unit's technology and telecommunications plans.	Destroy 3 years after plan is superseded
017.079.004	Working papers used in developing all technology and telecommunications plans. Includes: • draft plans • reports analysing issues • comments received from other areas of the agency.	Destroy 1 year after adoption of final plan
017.079.005	Copies of all technology and telecommunications plans.	Destroy 6 months after last action

Policy

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
017.080.001	Records documenting the development and establishment of government-wide information and communications technology policies. Includes: • policy proposals • research papers • results of consultations • supporting reports • major drafts • final policy documents. Includes: • information system security policy • IT security policy • small system security scheme policy • mobile phone policy.	Retain as Territory Archives
017.080.002	Records documenting the development and establishment of the agency's information and communications technology policies. Includes: • policy proposals • research papers • results of consultations • supporting reports • major drafts • final policy documents. Includes: • information system security policy • IT security policy • small system security scheme policy • mobile phone policy. *[For an agency's overall information security policy, use INFORMATION MANAGEMENT - Policy.]*	Destroy 5 years after policy is superseded

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*
017.080.003	Records documenting comments made on the development of government-wide policies.	Destroy 1 year after promulgation of new policy
017.080.004	Working papers documenting the development of all technology and telecommunication policies.	Destroy 1 year after promulgation of new policy
017.080.005	Copies of policy documents and supporting papers.	Destroy 6 months after reference ceases

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.

Entry No.	*Description of Records*	*Disposal Action*
017.081.001	Records documenting the application of privacy and guidelines to agency technology and telecommunication applications and systems.	Destroy 7 years after action completed
017.081.002	Records documenting investigations into alleged breaches of privacy involving the use of technology and telecommunication applications and systems. Includes referral of those breaches to law enforcement authorities and/or the Office of the Privacy Commissioner. *[For disciplinary action against staff for privacy related breaches, use PERSONNEL - Discipline.]*	Destroy 5 years after action completed

Procedures

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

Entry No.	*Description of Records*	*Disposal Action*
017.082.001	Master set of agency manuals, handbooks, directives etc detailing procedures supporting the technology and telecommunications function.	Destroy 5 years after procedures are superseded
	[For user and technical manuals for agency developed applications, use TECHNOLOGY & TELECOMMUNICATIONS - Application Development.	
	For distribution and implementation of procedures, use TECHNOLOGY & TELECOMMUNICATIONS - Implementation.]	
017.082.002	Records documenting the development of agency procedures supporting the technology and telecommunications function.	Destroy 1 year after action completed
017.082.003	Copies of manuals, handbooks, directives etc.	Destroy 6 months after last action
017.082.004	Operating manuals for technology and telecommunications equipment, facilities or software not developed by the agency.	Destroy 6 months after last action
	[For user and technical manuals developed for agency developed applications, use TECHNOLOGY & TELECOMMUNICATIONS - Application Development.	
	For distribution and implementation of procedures, use TECHNOLOGY & TELECOMMUNICATIONS - Implementation.]	

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*
017.088.001	Final copies of formal internal reports and reports made to external agencies relating to the technology and telecommunications function.	Destroy 7 years after action completed
017.088.002	Periodic internal reports on general administrative matters used to monitor and document recurring activities to support the technology and telecommunications function. Includes: • summary reports • work progress reports • production reports.	Destroy 3 years after action completed
017.088.003	Responses to surveys by other agencies or by the central office of an agency.	Destroy 3 years after action completed
017.088.004	Working papers documenting the development of all reports. Includes drafts and comments received.	Destroy 1 year after action completed
017.088.005	Copies of technology and telecommunications 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.

Entry No.	*Description of Records*	*Disposal Action*
017.091.001	Records documenting detailed research carried out to support the technology and telecommunications function. *[For systems analysis, use TECHNOLOGY & TELECOMMUNICATIONS - Application Development, TECHNOLOGY & TELECOMMUNICATIONS - Evaluation or TECHNOLOGY & TELECOMMUNICATIONS - Modelling.]*	Destroy 3 years after action completed
017.091.002	Records documenting routine research carried out to support the technology and telecommunications function.	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*
017.092.001	Arrangements for the transfer or integration of technology and telecommunications systems/assets, etc. to or from other agencies, i.e. after administrative change. *[For migration of information, use TECHNOLOGY & TELECOMMUNICATIONS - Data Administration.]*	Destroy 7 years after action completed

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.	*Description of Records*	*Disposal Action*
017.093.001	Records documenting a review of agency programs and operations supporting the technology and telecommunications function. Includes: • documents establishing the review • final reports • action plans • identification of problems needing rectification. *[For the rectification of identified problems, use TECHNOLOGY & TELECOMMUNICATIONS - Application Development.]*	Destroy 7 years after action completed
017.093.002	Records documenting the development of methodologies for conducting reviews.	Destroy 7 years after action completed
017.093.003	Records documenting post implementation reviews.	Destroy 7 years after action completed
017.093.004	Records documenting testing activities where expected results are found. Includes: • testing strategies • testing plans • result forms • test reports.	Destroy 7 years after action completed
017.093.005	Certificates of compliance/completion.	Destroy 7 years after action completed
017.093.006	Working papers documenting the conduct of an agency review into programs and operations supporting the technology and telecommunications function.	Destroy 2 years after action completed

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*
017.093.007	Records documenting testing activities where unexpected results are found. Includes: • testing strategies • testing plans • result forms • test reports.	Destroy 6 months after action completed

Risk Management

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

Entry No.	*Description of Records*	*Disposal Action*
017.095.001	Records documenting risk management relating to the technology and telecommunication function. Includes: • documentation covering each stage of the process • risk assessments • treatment schedules • action plans.	Destroy 7 years after next risk assessment
017.095.002	Technology and telecommunications risk register.	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.

Entry No.	*Description of Records*	*Disposal Action*
017.097.001 *[barcode]*	Records documenting the implementation of security arrangements for information and communications technology systems. Includes: • authentication • Encryption • reports on security leaks • investigations into alleged security breaches • referrals of those breaches law enforcement authorities. *[For requests for changes to passwords etc, use TECHNOLOGY & TELECOMMUNICATIONS - Operations.* *For disciplinary action against staff for security related breaches, use PERSONNEL - Discipline.]*	Destroy 7 years after action completed
017.097.002 *[barcode]*	Requests for advice and approval from other organisations about technology and telecommunication security issues. Includes requests for the issue of cryptovariables etc.	Destroy 7 years after approval ceases
017.097.003 *[barcode]*	Records documenting the oversight of projects by a 'security accreditation authority' and appropriate certifying authorities. Includes appointment of members to the authorities.	Destroy 7 years after action completed
017.097.004 *[barcode]*	Records documenting the control of removable media in secure systems. Includes: • inventories of removable items • media musters • registers of media import and export (e.g. floppy discs and the removal of hard discs).	Destroy 7 years after action completed

Security (Continued)

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.

Entry No.	Description of Records	Disposal Action
017.097.005	Requests for approval to connect equipment to agency networks, either on agency premises or via dial-up communications links.	Destroy 3 years after action completed
017.097.006	Records documenting arrangements for the sanitisation of technology equipment prior to disposal.	Destroy 1 year after action completed

Standards

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

Entry No.	Description of Records	Disposal Action
017.100.001	Records documenting the implementation of industry and agency standards to support the technology and telecommunications function.	Destroy 7 years after action completed

Tendering

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

Entry No.	Description of Records	Disposal Action
017.104.001	Signed contracts under seal and supporting records.	Destroy 12 years after completion or other termination of 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*
017.104.002	Records documenting the development and issue of tender documentation. Includes:	Destroy 7 years after tender process completed

- statements of requirements
- requests for proposals
- expressions of interest
- requests for tender (RFT)
- draft contracts.

[For statements of requirements, requests for proposals and expressions of interests, use TECHNOLOGY & TELECOMMUNICATIONS - Acquisition.]

017.104.003	Evaluation of tenders received against selection criteria. Includes:	Destroy 7 years after tender process completed

- records documenting arrangements for carrying out the evaluation process
- evaluation reports
- recommendations
- final reports
- public notices.

017.104.004	Records documenting post-offer negotiations and due diligence checks.	Destroy 7 years after tender process completed
017.104.005	Tender registers.	Destroy 7 years after last entry
017.104.006	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*
017.104.007	Contract registers.	Destroy 7 years after last entry
017.104.008	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.	Destroy 2 years after tender process completed or decision made not to continue with the tender

RETAIN AS TERRITORY ARCHIVES

TECHNOLOGY & TELECOMMUNICATIONS

The function of managing the planning, provision, development or acquisition of information and communication technologies. Includes specifying, developing, testing and implementing applications, systems and databases to support the business needs of the agency, to capture, store, retrieve, transfer, communicate and disseminate information through automated systems, the evaluation of software and hardware and the tendering, leasing, enterprise licensing of whole-of-government software and the disposal of systems and end user equipment. Also includes the maintenance of software libraries, the provision of data centres and telecommunications networks such as video conferencing, voice mail and electronic mail and the technical aspects of the Internet, Intranet and Web Sites.

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.	Description of Records	Disposal Action
017.053.001 *|IIIIIIIIIIIIIIIIIII|*	Records documenting the application of an agency's counter-disaster plan or business continuity plan following an incident. Includes records covering the protection and re-establishment of data and the agency backup plan. *[For the development of a counter-disaster plan covering the technology and telecommunications function, use TECHNOLOGY & TELECOMMUNICATIONS - Planning.* *For the recovery of information on an ad-hoc basis, use TECHNOLOGY & TELECOMMUNICATIONS - Operations.* *For the implementation of the counter-disaster plan, vital records plan and emergency destruction plan within the organisation's information resources, use INFORMATION MANAGEMENT - Implementation.]*	Retain as Territory Archives

Policy

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

Entry No.	*Description of Records*	*Disposal Action*
017.080.001	Records documenting the development and establishment of government-wide information and communications technology policies. Includes:	Retain as Territory Archives

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

Includes:

- information system security policy
- IT security policy
- small system security scheme policy
- mobile phone policy.

Changes to **TARDiS**		Dated	July 2009

New Features (Insertions)			
FUNCTION	**Activity**	**Entry no.**	**Description**
Technology & Telecommunications	Conferences	All	New classes.
	Policy	017.080.001	New class.

Enhancements (Changes)			
FUNCTION	**Activity**	**Entry no.**	**Description**
Technology & Telecommunications	All	All	Renumbered.
Technology & Telecommunications			Scope note changed. Classification and sentencing guide added to scope note.
	Acquisition		Classification and sentencing guide added to scope note.
	Acquisition	017.003.003	Disposal action changed.
	Advice		Scope note changed.
	Agreements		Scope note changed.
	Allocation		Scope note changed.
	Application Development	All	Renumbered.
	Committees		Scope note changed. Classification and sentencing guide changed in class description.
	Committees	017.020.002	Disposal action changed.
	Compliance		Scope note changed.
	Control	017.026.001 to 017.026.002	Renumbered.
	Control	017.026.003	Disposal action changed.
	Control	017.026.004	Disposal action changed.
	Control	017.026.005	Disposal action changed.
	Data Administration		Classification and sentencing guide added to scope note.
	Data Administration	017.031.002	Disposal action changed.
	Database Management		Classification and sentencing guide added to scope note.
	Disposal		Classification and sentencing guide added to scope note.

Enhancements (Changes)

FUNCTION	Activity	Entry no.	Description
	Disposal	All	Renumbered.
	Installation	All	Renumbered.
	Intellectual Property		Classification and sentencing guide added to scope note.
	Leasing		Scope note changed.
	Leasing Out		Scope note changed.
	Meetings		Scope note changed.
	Meetings	017.072.002	Disposal action changed.
	Planning		Classification and sentencing guide added to scope note.
	Planning	017.079.001 to 17.0079.002	Renumbered.
	Planning	017.079.005	Disposal action changed.
	Policy		Scope note changed.
	Policy	All	Renumbered.
	Policy	017.080.005	Disposal action changed.
	Privacy		Classification and sentencing guide added to scope note.
	Procedures	017.082.004	Disposal action changed.
	Reporting		Scope note changed. Classification and sentencing guide added to scope note.
	Reporting	017.088.005	Disposal action changed.
	Research		Scope note changed.
	Research	017.091.002	Disposal action changed.
	Reviewing		Scope note changed.
	Reviewing	All	Renumbered.
	Reviewing	017.093.007	Disposal action changed.
	Security		Classification and sentencing guide added to scope note.
	Security	All	Renumbered.
	Standards		Scope note changed. Classification and sentencing guide added to scope note.
	Tendering	All	Renumbered.

Corrections (Deletions)

FUNCTION	Activity	Entry no.	Description
Staff Development	All	All	Removed.

Corrections (Deletions)			
FUNCTION	Activity	Entry no.	Description