

Australian Capital Territory

Territory Records (Records Disposal Schedule – National Bodies Administrative Records) Approval 2015 (No 1)

Notifiable instrument NI2015—34

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 – National Bodies Administrative Records) Approval 2015 (No 1)

2. Approval

I approve the Records Disposal Schedule – National Bodies Administrative Records.

3. Commencement

This instrument commences on the day after notification.

Danielle Wickman
Director of Territory Records
16 January 2015



Records Disposal Schedule

National Bodies Administrative Records

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INTRODUCTION

The *Records Disposal Schedule - National Bodies Administrative Records* is the official authority for the disposal of these ACT Government records.

It is one of a series of General Records Disposal Schedules authorised by the Director of Territory Records in accordance with the provisions of the *Territory Records Act 2002*. It is used in conjunction with other Territory Records Disposal Schedules.

BACKGROUND

The CAARA GDA for Administrative Records was developed by the CAARA National Bodies Working Group in accordance with CAARA Policy 11 – Guidelines for the Treatment of Records of Inter-Governmental Agencies. It provides agreed and consistent retention and disposal requirements across all Australian States and Territories for the records of common administrative functions that may be performed by national bodies.

National bodies are established under national schemes where Constitutional powers rest with States and Territories, and not the Commonwealth, and where the bodies concerned are not otherwise Commonwealth bodies.

PURPOSE

The purpose of this Records Disposal Schedule is to provide for the authorised disposal of administrative records created or maintained by ACT Government Agencies that are National Bodies.

SCOPE

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

AUTHORITY

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

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

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

STRUCTURE AND RELATIONSHIP TO THE WHOLE OF GOVERNMENT THESAURUS

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

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

The *Records Disposal Schedule - National Bodies Administrative Records* has a hierarchical structure that reflects its arrangements according to functions and activities, rather than by subject, and this also reflects a close relationship to the Whole of Government Thesaurus. The Records Disposal Schedule is designed to be applicable to all National Bodies administrative records regardless of titling conventions used, so that records, which have not been titled using the terminology represented by this Records Disposal Schedule, may still be sentenced with relative ease.

GUIDELINES FOR USE

Coverage of authority

The *Records Disposal Schedule - National Bodies Administrative Records*:

- covers all administrative records of National Bodies in the Territory;
- is intended to be used in conjunction with other Territory Records Disposal Schedules;
- specifies the minimum period records should be kept (retention periods)
- specifies whether, upon the expiry of the retention periods, the records may be destroyed or are required as Territory Archives; and
- is applicable to records created and maintained in any format, including electronic or formats such as microfiche.

Layout of the schedule

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

Function.

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

Activity.

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

Entry No.

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

Description of Records.

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

Disposal Action.

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

FORMAT OF RECORD

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

- cards;
- registers;
- files;
- microfilm;
- COM (computer output microfiche);
- electronic records, including various electronic media, and
- any other formats.

Electronic records

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

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

DESTRUCTION OF RECORDS

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

UPDATING THE RECORDS DISPOSAL SCHEDULE

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

ASSISTANCE IN USING THE RECORDS DISPOSAL SCHEDULE

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

DEFINITIONS

Agency

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

Appraisal

The process of evaluating business activities to:

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

Business Classification Scheme

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

National Body

An agency established under a national scheme but with Constitutional powers resting with the Territory, and not the Commonwealth, and where the agency concerned is not a Commonwealth body.

Principal Officer

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

Records

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

Records of an Agency

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

Records Disposal Schedule

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

Records Management Program

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

Recordkeeping Systems

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

Scope Note

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

Sentencing

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

Territory Archives

Records preserved for the benefit of present and future generations.

BUSINESS CLASSIFICATION SCHEME

001 BOARDS AND COMMITTEES

The function of establishing and administering boards, committees or similar groups.

001.001 Boards or major committees

001.002 Committees - minor

001.003 Boards or committees - appointment of members for boards or major committees

001.004 Committees - appointment of members for minor committee

001.005 Boards or committees - administrative arrangements

001.006 Boards or committees - working papers

002 COMMUNITY RELATIONS

The function of establishing rapport with the community and raising and maintaining the organisation's broad public profile. Includes marketing, advertising, media liaison, exhibitions, celebrations, ceremonies, speeches, official representation at functions and participation in community activities. Also includes relationships with professional bodies and industry, the management of customer services, handling reactions to those services, customer consultation and feedback.

002.001 Addresses (Presentations)

The activity of giving addresses for community relations purposes.

002.002 Arrangements

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

002.003 Celebrations, Ceremonies and Functions

The activities associated with arranging and managing festivities such as launches, closures. Also includes attendance at non-agency functions.

002.004 Compliance

002.005 Conferences

The activities involved in arranging conferences or seminars. Includes management of registrations for participants, publicity and evaluations by participants.

002.006 Customer Service

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

002.007 Donations

The activities associated with managing money, items, artefacts or property donated or bequeathed to the agency, or by the agency to charities, etc. Includes managing unsolicited donations.

002.008 Enquiries and Public Reaction

The process of handling enquiries and public reaction to an organisation's core functions, policies or services. Includes correspondence of congratulations or appreciation, complaints and suggestions from members of the public or clients of the agency. Includes anonymous letters.

002.009 Exhibitions

The activities associated with using agency material in mounting displays for the purpose of informing or educating the viewer, or promoting the activities, services, projects or programs of the agency. Includes displays produced for open days and trade fairs.

002.010 Greetings

The activities associated with preparing, sending and receiving letters of appreciation or condolence.

002.011 Honours, Awards and Prizes

The activities associated with receiving and giving honours, awards and prizes.

002.012 Liaison

The activities associated with maintaining regular general contact between the agency and professional associations, professionals in related fields, private sector organisations and community groups. Includes sharing informal advice and discussions, membership of professional associations and collaborating on projects.

002.013 Marketing

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

002.014 Media Relations

The activities associated with establishing a relationship between the media and an agency. Includes cultivating media contacts, coordinating access to the media, authorising and issuing press releases and briefings, and organising media interviews.

002.015 Meetings

002.016 Public Reaction

002.017 Reporting

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

002.018 Representatives

The activities associated with the nomination, appointment or resignation of individuals or groups of personnel appointed by the organisation or their co-workers as official representatives to organisations, offices, unions, workers participation committees, councils or groups. Includes organisational legal representatives.

002.019 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 the development of projects, standards, guidelines etc., and the business activities of the organisation in general. Includes following up enquiries relating to organisational programs, projects, working papers, literature searches etc.

002.020 Visits

The activities involved in arranging visits by other organisations, the public and students to the agency, with a view to inform, educate or promote the services, operation and role of the organisation. Includes arranging visits by staff to other organisations.

003 COMPENSATION

The function of providing compensation to personnel and visitors injured while proceeding to or from work, during work hours or on the organisation's premises. Includes the rehabilitation of injured workers and compensation for damage to property where such damage is claimed as the organisation's responsibility.

003.001 Accidents

003.002 Advice

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

003.003 Agreements

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

003.004 Claims

The process of administering and managing payments in accordance with an insurance policy as compensation for injury, death, or denial of rights of a person or damage or destruction of property. Includes disputes over rights and ownership, and recompense sought for stolen or lost property.

003.005 Committees

003.006 Compliance

003.007 Insurance

The process of taking out premiums to cover loss or damage to property or premises, and to cover customers and staff against injury or death resulting from incidents on the organisation's premises or whilst engaged during employment.

003.008 Meetings

003.009 Payments

The activities involved in the preparation and payment of money, except in cases of payment of membership fees and subscriptions to journals etc. Includes payment of staff expenses in attending public service interviews etc.

003.010 Policy

003.011 Rehabilitation

The process of managing programs designed to restore the injured worker to the fullest physical, psychological, social, vocational and economic usefulness of which they are capable - consistent with pre-injury status. Includes early intervention with appropriate, adequate and timely services through the use of a Rehabilitation Co-ordinator.

004 EQUIPMENT AND STORES

The function associated with the acquisition, supply, maintenance, repair and disposal of equipment and stores stocked and used by the organisation. Items of equipment include instruments, implements, tools, machines, plant, telephones, furniture and furnishings. Stores include chemicals, hardware (other than IT), homeware items, kitchen/cleaning items, medical supplies and stationery.

004.001 Acquisition and Disposal

The process of gaining ownership or use of equipment and stores as well as the process of disposing of equipment and stores no longer required by the agency, by sale, transfer, termination of lease, auction, donation or destruction.

004.002 Audit

004.003 Compliance

004.004 Contracting Out

004.005 Delivery and Distribution

The activities involved in the delivery and distribution of equipment and stores.

004.006 Design

The activities involved in the design of agency-specific equipment and stores.

004.007 Disposal

004.008 Installation and Use

004.009 Inventory

004.010 Leasing

The activities involved in leasing items, equipment, accommodation, premises or real estate from another organisation.

004.011 Leasing Out

The activities involved in leasing out items, equipment, accommodation, premises or real estate to another organisation 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.

004.012 Maintenance

The activities associated with the upkeep, repair, servicing, modification and preservation of internal/external condition of equipment.

004.013 Meetings

004.014 Policy

004.015 Procedures

004.016 Reviewing

004.017 Stocktake

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

004.018 Tendering

005 ESTABLISHMENT

The function of establishing and changing the organisational structure through establishing and reviewing positions. Includes classification and grading of positions and the preparation of organisational charts.

005.001 Committees

005.002 Compliance

005.003 Establishment or Restructuring of Agency

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

005.004 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 ongoing monitoring.

005.005 Meetings

005.006 Planning

005.007 Policy

005.008 Reporting

006 FINANCIAL MANAGEMENT

The function of managing the public authority's financial resources. Includes establishing, operating and maintaining accounting systems, controls and procedures; financial planning; budgeting; obtaining and distributing grants; managing funds and revenue; resource allocation and accountability. Also includes the monitoring and analysis of assets to assist the delivery of economic and social services to government, industry and the community.

006.001 Accounting

The activity of collecting, recording, classifying, summarising and analysing information on financial transactions, and subsequently on the financial position and operating results of the public authority. Includes financial statements, and the implementation, maintenance, monitoring and auditing of the public authority's accounting systems and internal controls.

006.002 Acquisition

The process of gaining ownership or use of property, services and other items required in the conduct of business.

006.003 Advice

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

006.004 Agreements

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

006.005 Allocation

The activity of assigning money, items or equipment to employees or organisational units.

006.006 Asset Register

The activity of recording all assets owned or controlled by the public authority. Includes the date of purchase, depreciation expense, written down value as well as stocktaking and auditing notations.

Note: Assets include property, plant/infrastructure, equipment and intangibles (such as software) from which the agency is able to derive future economic benefits.

006.007 Audit

The activity of officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of the public authority in a specified period.

006.008 Authorisation

The activity of seeking and granting permission to undertake a requested action.

006.009 Budgeting

The activity of planning the use of expected income and expenditure over a specified period.

006.010 Committees

006.011 Compliance

The activity of complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements to which the public authority is subject. Includes compliance with legislation and national and international standards.

006.012 Contracting Out

The activity of arranging, procuring and managing the performance of work or the provision of services by an external contractor or consultant, or by using external bureau services. Includes outsourcing.

Note: This section should not be used for contracts relating to services provided by the agency to another organisation as part of the agency's core business functions. Refer to the public authority's core business or sector authority.

006.013 Corruption

The processes which allow the disclosure of corruption and strategies for the prevention of corruption. Includes involvement in corruption prevention projects undertaken by the Crime and Misconduct Commission and the education of staff about corruption prevention disclosures.

006.014 Donations

The activity of managing money, items, artefacts or property donated to the public authority, or by the public authority and/or its staff to charities, etc. Includes managing unsolicited donations.

006.015 Financial Statements

The activity of compiling annual financial statements of the public authority in accordance with accounting standards.

006.016 Funds Management

The activity of managing the funds of a public authority in an efficient and economical manner by ensuring an effective system of internal controls is in operation. Includes investments and loans.

006.017 Grant Funding

The activity of managing the grants funding process where the agency either receives or administers grants.

006.018 Leasing

The activities involved in leasing items or equipment from another organisation.

006.019 Leasing Out

The activities involved in leasing-out items or equipment to another organisation 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.

006.020 Meetings

006.021 Payments

006.022 Planning

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

006.023 Policy

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

006.024 Procedures

Standard methods of operating laid down by a public authority according to formulated policy.

006.025 Reporting

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

006.026 Reviewing

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

006.027 Risk Management

The activities associated with implementing and maintaining appropriate management controls including policies, procedures and practices to reduce the effects of risk to an acceptable level. The process involves identifying, analysing, assessing, treating and monitoring risk in all areas of a public authority's operations and business.

006.028 Salaries

The process of managing the payment of salaries to personnel.

006.029 Standards

006.030 Tendering

The activity of receiving and assessing tenders. Includes offers made in writing by one party to another to carry out at an inclusive price or uniform rate, an order for the supply or purchase of goods, or for the production of work.

006.031 User Charging

The activity of setting fees and charges for services and goods provided by a public authority.

007 FLEET MANAGEMENT

The function relating to the acquisition, supply, use, maintenance, repair, management and disposal of vehicles including boats and aircraft.

007.001 Accidents

The activities involved in dealing with mishaps causing damage to vehicles.

007.002 Acquisition

The process of gaining ownership or use of property, services and other items required in the conduct of business where there is no tendering or contracting-out process, i.e. where the cost of the acquisition is below the threshold for tendering.

007.003 Allowances

Payments to individuals relating to the use of vehicles.

007.004 Arrangements

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

007.005 Authorisation

007.006 Committees

007.007 Compliance

007.008 Contracting Out

007.009 Disposal

The process of disposing of vehicles no longer required by the organisation, by sale, transfer, termination of lease, auction, donation or destruction.

007.010 Infringements

The activities associated with handling breaches of rules. Includes driving or traffic infringements.

007.011 Insurance

The process of taking out insurance policies to cover loss or damage to vehicles and to cover the agency against damage to another organisation's property.

007.012 Maintenance

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

007.013 Meetings

007.014 Policy

007.015 Procedures

007.016 Reporting

007.017 Tendering

008 GOVERNMENT RELATIONS

The function of administering the formal relationship between the organisation and those processes of government not covered by other general administrative functions. Includes the organisation's relationship with Ministers and Members of Parliament and the political processes of Government; liaison with bodies carrying out investigations and participating in formal inquiries and investigations such as Royal Commissions, and inquiries by Parliamentary Committees and the Ombudsman; and relationships with other Commonwealth or overseas governments.

008.001 Addresses

The activity of giving addresses and presentations at government occasions.

008.002 Advice

The activities associated with the offering of opinions by or to the agency as to an action or judgement.

008.003 Agreements

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

008.004 Committees

008.005 Compliance

008.006 Greetings

The activities associated with preparing and sending letters of appreciation or condolences. Includes mailing lists for Christmas cards.

008.007 Inquiries

The activities associated with liaising with bodies carrying out inquiries, and participating in them. Inquiries are investigations carried out by persons or bodies that have been empowered to inquire and report on a subject. These include inquiries carried out by Royal Commissions, Parliament and the Ombudsman. Includes the agency's participation in the inquiry by providing evidence in the form of records, submissions or staff.

NOTE: This retention and disposal authority does not authorise the disposal of records of the formal inquiry body. Contact the relevant archival authority for further advice regarding these records.

008.008 Joint Ventures

The activities involved in managing joint operations between departments, either within the agency or with other agencies, or with the interstate governments where there is a contract, joint contribution to funds and/or time. Includes ventures with the private sector and co-research or collaboration between departments or agencies. Includes the development of Memorandums of Understanding.

008.009 Legislation

008.010 Meetings

008.011 Policy

008.012 Procedures

008.013 Reporting

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

008.014 Representations

The activities involved in preparing responses to questions raised in Parliament by Members of Parliament on behalf of their constituents. Also includes community-based representations and representations directed to the agency seeking a formal response.

008.015 Representatives

The activities associated with the nomination, appointment or resignation of individuals or groups of personnel appointed by the agency or their co-workers as official representatives to organisations, offices, unions, workers participation committees, councils or groups. Includes the agency's legal representatives.

008.016 Research

008.017 Reviewing

008.018 Submissions

The preparation and submission of a formal statement (e.g. reports, statistics, etc.) supporting a case or opinion held by an agency to an internal or external body.

008.019 Visits

The activities involved in arranging visits by the Premier, Ministers and agency representatives within the state, interstate and overseas.

009 INDUSTRIAL RELATIONS

The function of establishing formal relations with the organisation's employees and their representatives to achieve a harmonious workplace. Includes negotiations conducted to obtain determinations, agreements or awards, industrial disputes settled within the organisation or by an external arbiter and reports of industrial relations within the organisation.

009.001 Advice

The activities associated with the offering of opinions by or to the agency as to an action or judgement.

009.002 Agreements and Awards (Industrial)

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

009.003 Appeals

The activities involved in the process of appeals against industrial relations decisions by application to a higher authority.

009.004 Claims

The process of administering and managing payments in accordance with an insurance policy as compensation for injury, death, or denial of rights of a person or damage or destruction of property. Includes disputes over rights and ownership, and recompense sought for stolen or lost property.

009.005 Committees

009.006 Compliance

009.007 Disputes

The activities associated with the resolution of disputes relating to dissatisfaction about a work situation.

009.008 Enterprise Bargaining

The process where employees negotiate increased pay or other benefits with their employers in exchange for the implementation of working arrangements that improve the performance of the agency. Includes the activities associated with establishing and implementing an enterprise agreement.

009.009 Industrial Action

The activities associated with dealing with a failure or refusal to attend or perform work in association with a dispute between management and workers. Includes lock - outs, strikes etc.

009.010 Meetings

009.011 Planning

009.012 Policy

009.013 Procedures

009.014 Reporting

009.015 Research

010 INFORMATION MANAGEMENT

The function of providing services based on information and information products. Includes library and records management services.

010.001 Acquisition

The process of gaining ownership or use of information resources or the provision of information services through purchases.

010.002 Audit

The activities associated with officially checking records to ensure they have been kept and maintained in accordance with agreed or legislated standards.

010.003 Committees

010.004 Compliance

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

Includes compliance with the Right to Information or Freedom of Information legislation.

010.005 Conservation

The activities involved in the preservation, protection, maintenance, restoration and enhancement of information resources and artefacts.

010.006 Contracting Out

010.007 Control

The activity 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.

010.008 Customer Service

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

010.009 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 and the application of vital records and counter disaster plan objectives to safeguard against data loss or corruption.

010.010 Disposal

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

010.011 Distribution

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

010.012 Donations

010.013 Enquiries

Receiving and responding to enquiries regarding information and services.

010.014 Evaluation

010.015 Implementation

010.016 Inspections

The inspection of records by a monitoring agency.

010.017 Intellectual Property

The activities involved in managing the agency's intellectual property, both published and unpublished. Includes copyright, patents, and trademarks, royalties and matters of confidentiality such as trade secrets.

010.018 Meetings

010.019 Planning

010.020 Privacy

The activity 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.

010.021 Research

010.022 Reviewing

010.023 Risk Management

010.024 Security

The activities associated with measures taken to protect information from accidental or intentional damage or from unauthorised access.

010.025 Standards

011 LEGAL SERVICES

The function of providing legal services to the organisation regarding administrative matters. Includes the interpretation and provision of advice to the organisation regarding legal matters, the drawing up of legal agreements and the handling of legal action and disputes. Also includes legal advice received from in-house consultants and external sources including Crown Law.

011.001 Advice

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

011.002 Agreements

011.003 Committees

011.004 Compliance

011.005 Contracting Out

011.006 Inquiries

011.007 Intellectual Property

011.008 Litigation

The activities involved in managing lawsuits or legal proceedings between the agency and other parties in a court or other tribunal. Includes briefs for counsel, copies of documents required by or lodged with a court, consultation with the Attorney - General's department and other agencies, and records documenting compliance with court instructions, (e.g. subpoenas and discovery orders).

Note: Records that are or may be needed in evidence in a judicial proceeding, including any reasonably possible judicial proceeding, must be retained for longer.

011.009 Meetings

011.010 Planning

011.011 Policy

011.012 Reporting

011.013 Research

011.014 Reviewing

011.015 Submissions

012 PERSONNEL AND STAFF DEVELOPMENT

The function of managing all employees in the organisation. Employees include Ministerial, permanent, temporary and part-time employees, people working under scholarships, traineeships, apprenticeships and similar relationships. Includes appeals, overtime, salaries, superannuation and working hours when related to people rather than to Industrial Relations. Also includes arrangements for staff travel and the provision of childcare by the agency.

The function of encouraging staff to develop their skills and abilities (through activities, programs and events) to maximise their potential and increase their productivity. Includes identifying and implementing all aspects of training needs and programs (internal and external) available to staff.

012.001 Addresses (Presentations)

The activity of giving addresses for training, professional, community relations or sales purposes. Includes speeches and multi-media presentations.

012.002 Allowances

The activities involved in arranging and managing money paid to employees in addition to salary to cover expenses incurred in the course of employment, (e.g. travelling allowances).

012.003 Arrangements

The activities involved in arranging for a journey or trip. Includes preparing travel itineraries, authorisations, entitlements etc.

012.004 Audit

012.005 Authorisation

The process of seeking and granting permission to undertake a requested action.

012.006 Committees

012.007 Compliance

012.008 Conferences

012.009 Contracting Out

012.010 Counselling

The activities associated with giving advice or guidance to employees for various reasons.

012.011 Discipline

The activities and actions associated with the discipline process. Includes investigations, charges, formal enquiries, punishment and appeals resolved within the agency or by an external authority.

012.012 Employment Conditions

The activities associated with managing the general conditions of employment for personnel.

012.013 Grievances

The activities associated with issues or complaints raised by employees in relation to any workplace action or decision which directly affects them and which they perceive to be unfair or unreasonable.

012.014 Infringements

The activities associated with handling breaches of the agency's rules by staff.

012.015 Insurance

The process of taking out premiums to cover loss or damage to property or premises, and to cover customers and staff against injury or death resulting from incidents on the agency's premises or whilst engaged during employment.

012.016 Leave

The process of administering leave for which staff are eligible. Includes unauthorised leave taken by staff.

012.017 Marketing

The process of analysing, creating and selling services. Includes market research, advertising, media releases, promotion, etc.

012.018 Meetings

012.019 Performance Management

The process of identifying, evaluating, and developing corporate and employee work performance so that the agency's goals and objectives are achieved and also benefitting employees through recognition, performance feedback, catering for work needs and offering career guidance.

012.020 Planning

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

012.021 Policy

012.022 Procedures

012.023 Recruitment

Records relating to individual vacant positions advertised for filling by assignment or reassignment, including details of vacant position, classification and salary, job and person specification and schedule of applicants; applications and supporting documentation for each applicant; selection reports and recommendation and copies of vetting reports.

Note: Documentation other than the appointee's application is not to be placed on an employee's personnel file. Selection documentation should demonstrate that the provisions of the applicable recruitment and selection standard has been observed.

012.024 Representatives

The activities associated with the nomination, appointment or resignation of individuals or groups of personnel appointed by the organisation or their co-workers as official representatives to organisations, offices, unions, workers participation committees, councils or groups. Includes organisational legal representatives.

012.025 Reviewing

012.026 Salaries

The process of managing the payment of salaries to personnel.

012.027 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 records checks.

012.028 Separations

The activities associated with managing any method of leaving an organisation. Includes resignation, retirement, dismissal, death, redundancy, retrenchment and dispensations of services of temporary personnel.

012.029 Social Clubs

The activities involved in the organisation's relationship with social clubs.

012.030 Suggestions

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

012.031 Training

The activities associated with all aspects of training (external/internal) available to staff for their development.

013 PROPERTY MANAGEMENT

The function of managing land and working, storage or living space within premises, and of acquiring, constructing, fitting-out, managing, maintaining, protecting and disposing of property. Includes buildings and land allotments owned, rented or leased by the agency. Also includes removal of pollutants and waste.

013.001 Acquisition

The process of gaining ownership or use of property, services and other items required in the conduct of business where there is no tendering or contracting-out process, i.e. where the cost of the acquisition is below the threshold for tendering.

013.002 Arrangements

The arrangements made for the usage of facilities and space.

013.003 Committees

013.004 Compliance

013.005 Conservation

The activities involved in the preservation, protection, restoration and enhancement of properties, including buildings and land.

013.006 Construction

This entry refers only to the capital assets and facilities constructed for administrative purposes of the agency.

013.007 Contracting Out

013.008 Disposal

The process of disposing of property no longer required by the agency, by sale, transfer, auction, donation or destruction.

013.009 Fit outs

The process of refurbishing a workplace that does not affect the overall structure of the property. Includes painting, floor coverings, furnishings, furniture, partitions and wall fittings and equipment.

013.010 Inspections

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

013.011 Installation

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

013.012 Insurance

The process of taking out insurance policies to cover loss or damage to property.

013.013 Leasing

The activities involved in leasing accommodation, premises or real estate from another organisation.

013.014 Leasing Out

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

013.015 Maintenance

Records relating to the upkeep, repair, servicing and modification of premises. Includes waste removal.

013.016 Meetings

013.017 Relocation

The process of relocation of an agency, business unit or work group.

013.018 Planning

The process of formulating ways in which objectives can be achieved.

013.019 Policy

013.020 Procedures

013.021 Reporting

013.022 Risk Management

013.023 Security

Records relating to the security of premises. Includes protecting property from accidental or intentional damage as well as from unauthorised access.

013.024 Tendering

014 PUBLICATION

The function of drafting, production, marketing and supply of agency publications. Includes external publications and leaflets which aim to promote services and public image and internal publications which are not produced for public relations reasons. Also includes multi-media publications, CD ROMs, DVDs and online information services.

014.001 Agreements

014.002 Compliance

014.003 Corporate Style

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

014.004 Distribution

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

014.005 Drafting

The activities associated with preparing preliminary drafts or outlines of reports, articles, etc prior to publication.

014.006 Enquiries

014.007 Intellectual Property

014.008 Joint Ventures

014.009 Marketing

014.010 Meetings

014.011 Planning

014.012 Policy

014.013 Production

The process involved in turning material into a publication. Includes design, layout, typesetting, desktop publishing, printing, binding etc.

014.014 Public Reaction

014.015 Reporting

014.016 Research

014.017 Reviewing

014.018 Tendering

015 STRATEGIC MANAGEMENT

The function of applying broad systematic management planning for the organisation. Includes the activities involved with the development, monitoring and reviewing of business plans, strategic plans, work plans, corporate plans and other long-term organisational strategies. Also includes the development of the corporate mission, objectives, continuous improvement processes, quality assurance and certification, and the formulation and amendment of legislation which provides the legislative basis for the organisation.

015.001 Agreements

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

015.002 Audit

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

015.003 Authorisation

015.004 Committees

015.005 Compliance

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

015.006 Contracting Out

015.007 Corruption

The process that allows the disclosure of corruption, and strategies for the prevention of corruption. Includes involvement in corruption prevention projects undertaken by external authorities and the education of staff about corruption prevention disclosures.

015.008 Customer Service

015.009 Disaster Recovery

015.010 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 ongoing monitoring.

015.011 Grant Funding

015.012 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 monitoring to ensure that the implementation goes according to schedule and that standards are met.

015.013 Legislation

The process of making laws. Includes Acts, Bills and subsections to Acts, and amendments to each.

015.014 Meetings

The activities associated with gatherings held to formulate, discuss, update, or resolve issues.

015.015 Performance Management

The process of identifying, evaluating and developing corporate and employee and work performance so that the agency's goals and objectives are achieved and also benefiting employees through recognition, performance feedback, catering for work needs and offering career guidance.

015.016 Planning

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

015.017 Policy

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

015.018 Procedures

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

015.019 Reporting

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and to provide formal statements or findings of the results of their examination or investigation.

015.020 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 the development of projects, standards, guidelines, etc. and the business activities of the agency in general. Includes following up enquiries relating to agency programs, projects, working papers, literature searches, etc.

015.021 Reviewing

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

015.022 Risk Management

The process involving the identification of risks, the likelihood and consequences of those risks and the implementation of appropriate practices and procedures to treat the risks. Includes financial risk.

015.023 Standards

The process of developing standards to enhance the quality and efficiency of the organisation.

016 TECHNOLOGY AND TELECOMMUNICATIONS

Records relating to the acquisition or development, implementation, maintenance, use and disposal of information and communications technology and systems.

016.001 Acquisition

The process of gaining ownership or use of property, services and other items required in the conduct of business where there is no tendering or contracting-out process, i.e. where the cost of the acquisition is below the threshold for tendering.

016.002 Advice

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

016.003 Application Development

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

016.004 Application Management

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

016.005 Audit

016.006 Committees

016.007 Compliance

016.008 Contracting Out

016.009 Control

The activities associated with creating, maintaining and evaluating control mechanisms.

016.010 Customer Service

016.011 Disposal

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

016.012 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 ongoing monitoring.

016.013 Implementation

016.014 Inspections

016.015 Installation

016.016 Intellectual Property

016.017 Leasing

The activities involved in leasing technology and telecommunications items and equipment from another organisation.

016.018 Leasing Out

The activities involved in leasing out items, equipment, accommodation, premises or real estate to another organisation 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.

016.019 Maintenance

The activities associated with the upkeep, repair and servicing of technology and telecommunications assets.

016.020 Meetings

016.021 Modelling

The development of business or technical models or prototypes used to support technology and telecommunication functions.

016.022 Operations

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

016.023 Planning

016.024 Policy

016.025 Privacy

016.026 Procedures

016.027 Reporting

016.028 Research

016.029 Reviewing

016.030 Security

The measures taken to protect equipment or information from accidental or intentional damage or from unauthorised access. Includes responses to any security breaches.

016.031 Standards

016.032 Tendering

017 WORKPLACE HEALTH AND SAFETY

The function of implementing and coordinating workplace health and safety legislation throughout the organisation. Includes safety policy and the monitoring of safe work practices, procedures and preventive measures.

017.001 Accidents and Incidents

The activities involved in dealing with mishaps or hazards causing death or injury on an agency's premises. Includes injury or death to an employee travelling for the purposes of employment (while on duty or official business), or to visitors or the general public while on the agency's premises. Also includes hazards that may impact on a number of people.

017.002 Audit

The activities associated with officially checking quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed and legislated standards regarding WHS.

017.003 Committees

017.004 Compliance

The activities associated with complying with mandatory or optional accountability, fiscal, regulatory or quality standards or requirements to which the agency is subject in relation to WHS.

017.005 Contracting Out

017.006 Health Promotion

The process of promotion by the agency of programs which encourage the establishment and maintenance of a healthy work environment.

017.007 Investigations/Inspections

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

017.008 Meetings

017.009 Planning

017.010 Policy

017.011 Procedures

017.012 Reporting

017.013 Research

017.014 Reviewing

017.015 Risk Management

017.016 Standards

RECORDS DISPOSAL SCHEDULE

001 BOARDS AND COMMITTEES

The function of establishing and administering boards, committees or similar groups.

001.001 Boards or major committees

Entry No.	Description of Records	Disposal Action
001.001.001 ■■■■■■■■■■■■■■■■■■■■	Records of boards or major internal, external or inter-agency committees, or similar groups which the agency manages and/or which determine strategic and core policy and/or which implement major programs or initiatives. For example, an internal committee formed to oversee the development and management of a core function or major program or an external committee managed by the agency and/or where the agency provides key input due to their expertise. Includes agendas, minutes and related papers, excluding working papers.	Retain as Territory Archives

001.002 Committees - minor

Entry No.	Description of Records	Disposal Action
001.002.001 ■■■■■■■■■■■■■■■■■■■■	Records of internal, external or inter-agency committees, which are of minor significance or where the agency has only minor input. For example, an internal committee formed for operational purposes or an inter-agency committee where the agency does not provide the secretariat and only provides limited input because it is not a core function or area of expertise. Includes agendas, minutes and related papers, excluding working papers.	Destroy 5 years after committee has ceased

001.003 Boards or committees - appointment of members for boards or major committees

Entry No.	Description of Records	Disposal Action
001.003.001 ■■■■■■■■■■■■■■■■■■■■	Correspondence relating to the appointment of external and internal board or committee members, including conditions of appointments and entitlements.	Retain as Territory Archives

001.004 Committees - appointment of members for minor committee

Entry No.	Description of Records	Disposal Action
001.004.001 ■■■■■■■■■■■■■■■■■■■■	Correspondence relating to the appointment of external and internal board or committee members, including conditions of appointments and entitlements.	Destroy 5 years after action completed

001.005 Boards or committees - administrative arrangements

Entry No.	Description of Records	Disposal Action
001.005.001 ■■■■■■■■■■■■■■■■■■■■	Records of administrative arrangements for external and internal board or committee meetings.	Destroy 2 years after action completed

001.006 Boards or committees - working papers

Entry No.	Description of Records	Disposal Action
001.006.001 ■■■■■■■■■■■■■■■■■■■■	Working papers for external and internal committees.	Destroy 6 months after action completed

002 COMMUNITY RELATIONS

The function of establishing rapport with the community and raising and maintaining the organisation's broad public profile. Includes marketing, advertising, media liaison, exhibitions, celebrations, ceremonies, speeches official representation at functions and participation in community activities. Also includes relationships with professional bodies and industry, the management of customer services, handling reactions to those services, customer consultation and feedback.

002.001 Addresses (Presentations)

The activity of giving addresses for community relations purposes.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
002.001.001 ■■■■■■■■■■■■■■■■■■	Addresses (Presentations) - major Records of addresses and presentations given at major state occasions, on matters of substantial public interest and debate or by agency representatives at significant events such as conferences or professional association seminars. Excludes presentations at staff training seminars, workshops, etc. [For presentations at staff training seminars, workshops, etc., use PERSONNEL AND STAFF DEVELOPMENT - Addresses (Presentations).]	Retain as Territory Archives
002.001.002 ■■■■■■■■■■■■■■■■■■	Addresses (Presentations) - minor Records relating to other addresses and presentations, (e.g. for routine promotion of agency services or marketing products).	Destroy 2 years after action completed

002.002 Arrangements

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
002.002.001 ■■■■■■■■■■■■■■■■■■	Arrangements for supporting community relations activities Records relating to arrangements made to support community relations activities. Includes arrangements for catering, invitations, venue and entertainment or speakers organised or paid by the agency. Excludes financial or procurement records for which see FINANCIAL MANAGEMENT.	Destroy 2 years after action completed

002.006 Customer Service

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

Entry No.	Description of Records	Disposal Action
002.006.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to the development, management and monitoring of specialised customer services, (e.g. help/information desks, websites, interpreters, facilities for disabled customers, changes to opening hours, outreach services, etc.). Includes records relating to the development and implementation of quality management practices relating to customer needs.	Destroy 15 years after action completed

002.007 Donations

The activities associated with managing money, items, artefacts or property donated or bequeathed to the agency, or by the agency to charities, etc. Includes managing unsolicited donations.

Entry No.	Description of Records	Disposal Action
002.007.001 ■■■■■■■■■■■■■■■■■■■■	<p>Gifts and bequests - major</p> <p>Records of gifts, donations or bequests made to or by the agency which are of:</p> <ul style="list-style-type: none"> • State or Territory significance; • long-term value; or • significant public interest. <p><i>[See FINANCIAL MANAGEMENT reference number 006.014.001 for records relating to financial transactions involving gifts and benefits.]</i></p>	Retain as Territory Archives

002.007.002 ■■■■■■■■■■■■■■■■■■■■	<p>Gifts and bequests - other and refused</p> <p>Records relating to gifts, donations or bequests made to or by the agency, which are not covered under reference number 002.006.001 or which were refused.</p> <p><i>[See FINANCIAL MANAGEMENT reference number 006.014.001 for records relating to financial transactions involving gifts and benefits.]</i></p>	Destroy 7 years after action completed or after the terms of the donation or gift have been fulfilled
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002.008 Enquiries and Public Reaction

The process of handling enquiries and public reaction to an organisation's core functions, policies or services. Includes correspondence of congratulations or appreciation, complaints and suggestions from members of the public or clients of the agency. Includes anonymous letters.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
002.008.001 ■■■■■■■■■■■■■■■■■■■■	Enquiries, complaints and suggestions - policy significance	Retain as Territory Archives
	Records relating to the management of enquiries, client complaints or suggestions resulting in a reversal of a government decision or changes to government or agency policy, procedures or direction.	
002.008.002 ■■■■■■■■■■■■■■■■■■■■	Registers Enquiries, complaints, compliments or suggestions registers.	Destroy 8 years after action completed
002.008.003 ■■■■■■■■■■■■■■■■■■■■	Enquiries - legal significance Records relating to provision of detailed information or advice to clients which may have legal significance.	Destroy 8 years after action completed
002.008.004 ■■■■■■■■■■■■■■■■■■■■	Enquiries, complaints and suggestions - not of policy or legal significance Records relating to client enquiries, complaints or suggestions which do not have a major impact on the direction, policy or procedures of the agency and the provision of other information to clients, including the provision of information about routine and general matters; hours of operation, change of address, etc.	Destroy 2 years after action completed

002.009 Exhibitions

The activities associated with using agency material in mounting displays for the purpose of informing or educating the viewer, or promoting the activities, services, projects or programs of the agency. Includes displays produced for open days and trade fairs.

Entry No.	Description of Records	Disposal Action
002.009.001 ■■■■■■■■■■■■■■■■■■■■	Exhibitions organised by agency or with input from agency - major Film, video or photographic record of displays and exhibitions of major significance to the State, including associated paper-based material such as catalogues, brochures, posters. For example, exhibition documenting changes over time to major government policies and directions.	Retain master copy and one reference copy as Territory Archives
002.009.002 ■■■■■■■■■■■■■■■■■■■■	Exhibitions organised by agency or with input from agency - minor Film, video or photographic record of displays and exhibitions not of major significance to the State, including associated paper-based material. For example, exhibitions in agency foyer promoting routine agency programs.	Destroy 5 years after action completed
002.009.003 ■■■■■■■■■■■■■■■■■■■■	Exhibitions with no input from agency Invitations and publicity material relating to displays and exhibitions organised by other agencies.	Destroy 3 months after action completed

002.010 Greetings

The activities associated with preparing, sending and receiving letters of appreciation or condolence.

Entry No.	Description of Records	Disposal Action
002.010.001 ■■■■■■■■■■■■■■■■■■■■	Greetings - preparation and sending Records relating to the preparation and sending of greetings. Also includes greetings received by the agency.	Destroy 2 years after action completed
002.010.002 ■■■■■■■■■■■■■■■■■■■■	Greetings - address lists Address lists kept for sending of greetings.	Destroy 3 months after action completed

002.012 Liaison (Continued)

The activities associated with maintaining regular general contact between the agency and professional associations, professionals in related fields, private sector organisations and community groups. Includes sharing informal advice and discussions, membership of professional associations and collaborating on projects.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
002.012.003 ■■■■■■■■■■■■■■■■■■■■	Memberships - arrangements for joining Records relating to arrangements for memberships in business, professional, social or sporting clubs and associations.	Destroy 5 years after action completed
002.012.004 ■■■■■■■■■■■■■■■■■■■■	Memberships - invitations and promotional material Invitations to join, brochures and similar promotional material.	Destroy 6 months after action completed

002.013 Marketing

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
002.013.001 ■■■■■■■■■■■■■■■■■■■■	Marketing plans and strategies Marketing plans and strategies developed to promote the agency's image or activities.	Retain as Territory Archives
002.013.002 ■■■■■■■■■■■■■■■■■■■■	Marketing materials - major Master set of materials, including brochures, posters, images, videos and film, developed to promote significant agency achievements or activities, where they have not been deposited with a National or State Library.	Retain as Territory Archives
002.013.003 ■■■■■■■■■■■■■■■■■■■■	Marketing materials - minor Materials, including brochures, posters, images, videos and film, developed to promote routine services, operations or activities of the agency.	Destroy 5 years after action completed

002.013 Marketing (Continued)

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.	Description of Records	Disposal Action
002.013.004 ■■■■■■■■■■■■■■■■■■■■	Publicity Records relating to achieving publicity for events or services organised by the agency.	Destroy 2 years after action completed
002.013.005 ■■■■■■■■■■■■■■■■■■■■	Advertisements Records of advertisements not forming part of other classes of records (e.g. copies of advertisements not on a relevant recruitment, tender and contract or program promotion file).	Destroy 2 years after action completed

002.014 Media Relations

The activities associated with establishing a relationship between the media and an agency. Includes cultivating media contacts, coordinating access to the media, authorising and issuing press releases and briefings, and organising media interviews.

Entry No.	Description of Records	Disposal Action
002.014.001 ■■■■■■■■■■■■■■■■■■■■	Media releases Master set of agency media releases.	Retain as Territory Archives
002.014.002 ■■■■■■■■■■■■■■■■■■■■	Media articles Master set of media articles relating to agency and/or its activities - if created or collected. For example, includes press cutting book. Excludes media monitors.	Retain as Territory Archives

002.015 Meetings

[See STRATEGIC MANAGEMENT - Meetings].

002.016 Public Reaction

[See COMMUNITY RELATIONS -Enquiries and Public Reaction.]

002.017 Reporting

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

Entry No.	Description of Records	Disposal Action
002.017.001 ■■■■■■■■■■■■■■■■■■■■	Reporting - major Major non-routine reports on the agencies community relations strategies, directions, policies and programs.	Retain as Territory Archives
002.017.002 ■■■■■■■■■■■■■■■■■■■■	Reporting - minor Minor or routine reports on the agencies community relations activities.	Destroy 2 years after action completed

002.018 Representatives

The activities associated with the nomination, appointment or resignation of individuals or groups of personnel appointed by the organisation or their co-workers as official representatives to organisations, offices, unions, workers participation committees, councils or groups. Includes organisational legal representatives.

Entry No.	Description of Records	Disposal Action
002.018.001 ■■■■■■■■■■■■■■■■■■■■	Agency representatives Records relating to the nominations, appointment and resignation of agency representatives.	Destroy 2 years after resignation or term of office expires

003 COMPENSATION

The function of providing compensation to personnel and visitors injured while proceeding to or from work, during work hours or on the organisation's premises. Includes the rehabilitation of injured workers and compensation for damage to property where such damage is claimed as the organisation's responsibility.

003.001 Accidents

[See *WORKPLACE HEALTH AND SAFETY* reference number 017.001. for records relating to Accidents and Incidents.]

003.002 Advice

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
003.002.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to the provision of high level advice, (e.g. to Minister or Chief Executive), relating to substantive aspects of agency compensation policies, procedures, functions, obligations and liabilities.	Retain as Territory Archives
003.002.002 ■■■■■■■■■■■■■■■■■■■■	Records relating to the provision of routine advice dealing with compensation issues.	Destroy 8 years after action completed

003.003 Agreements

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
003.003.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to compensation agreements under seal.	Destroy 21 years after action completed
003.003.002 ■■■■■■■■■■■■■■■■■■■■	Records relating to compensation agreements not under seal.	Destroy 8 years after action completed

003.004 Claims

The process of administering and managing payments in accordance with an insurance policy as compensation for injury, death, or denial of rights of a person or damage or destruction of property. Includes disputes over rights and ownership, and recompense sought for stolen or lost property.

Entry No.	Description of Records	Disposal Action
003.004.001 ■■■■■■■■■■■■■■■■■■■■	Register of claims relating to insurance and compensation.	Destroy 75 years after last entry
003.004.002 ■■■■■■■■■■■■■■■■■■■■	Workers compensation claims Case files containing reports, correspondence and other information relating to incidents reported to the appropriate workers compensation authority for the jurisdiction in which the claim occurred, that may or may not result in a claim for compensation.	Destroy 75 years after date of birth of employee or 7 years after date of separation, or resignation, whichever is later
003.004.003 ■■■■■■■■■■■■■■■■■■■■	Records relating to the management of compensation claims for personal injury made by or on behalf of visitors to agencies. Includes volunteers and work experience students.	Destroy 25 years after date of birth or 7 years after action completed, whichever is later
003.004.004 ■■■■■■■■■■■■■■■■■■■■	Records relating to the management of compensation claims for loss or damage to property made by agency staff, volunteers or visitors.	Destroy 7 years after action completed

003.005 Committees

[See *BOARDS AND COMMITTEES*]

003.006 Compliance

[For compliance in relation to *Information Management*, such as *Right to Information*, *Freedom of Information* or *Privacy* legislation - see *INFORMATION MANAGEMENT - Compliance*

For compliance in relation to *Financial Management* - see *FINANCIAL MANAGEMENT - Compliance*

For compliance with other mandatory or optional accountability, legal, regulatory or quality standards - See *STRATEGIC MANAGEMENT - Compliance*

For compliance in relation to *Workplace Health and Safety* - see *WORKPLACE HEALTH AND SAFETY - Compliance.*]

003.007 Insurance

The process of taking out premiums to cover loss or damage to property or premises, and to cover customers and staff against injury or death resulting from incidents on the organisation's premises or whilst engaged during employment.

Entry No.	Description of Records	Disposal Action
003.007.001 ■■■■■■■■■■■■■■■■■■■■	Insurance policy register.	Destroy 7 years after expiry or cancellation of policy
003.007.002 ■■■■■■■■■■■■■■■■■■■■	Insurance policy documents (including renewals and associated correspondence) covering loss or damage to property.	Destroy 7 years after expiry or cancellation of policy
003.007.003 ■■■■■■■■■■■■■■■■■■■■	Insurance policy documents (including renewals and associated correspondence) covering agency staff, volunteers, clients or visitors against injury or death, resulting from accidents or incidents on the agency's premises.	Destroy 30 years after policy expires

003.008 Meetings

[See STRATEGIC MANAGEMENT - Meetings].

003.009 Payments

The activities involved in the preparation and payment of money, except in cases of payment of membership fees and subscriptions to journals etc. Includes payment of staff expenses in attending public service interviews etc.

Entry No.	Description of Records	Disposal Action
003.009.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to payments of money including claims, approvals and other supporting documentation. Includes ex-gratia payments.	Destroy 7 years after action completed

004.005 Delivery and Distribution

The activities involved in the delivery and distribution of equipment and stores.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
004.005.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to the installation and use of items of equipment, including log books, booking forms, etc that contain hazardous material, such as asbestos.	Destroy 100 years after action completed
004.005.002 ■■■■■■■■■■■■■■■■■■■■	Records relating to the installation and use of items of equipment, including log books, booking forms, etc. that do not contain hazardous material, such as asbestos.	Destroy 7 years after action completed
004.005.003 ■■■■■■■■■■■■■■■■■■■■	Records relating to the delivery, allocation and distribution of equipment and stores.	Destroy 2 years after action completed

004.006 Design

The activities involved in the design of agency-specific equipment and stores.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
004.006.001 ■■■■■■■■■■■■■■■■■■■■	Uniforms Records relating to the design of uniforms or corporate wardrobe developed specifically for the agency and/or reflecting agency functions.	Destroy 5 years after action completed

004.007 Disposal

[See EQUIPMENT AND STORES reference number 004.001 for records relating to the acquisition and disposal of equipment and stores.]

004.008 Installation and Use

[See PROPERTY MANAGEMENT - Installation.]

004.009 Inventory

[See EQUIPMENT AND STORES reference number 004.017.001 for records relating to stocktake.]

004.012 Maintenance

The activities associated with the upkeep, repair, servicing, modification and preservation of internal/external condition of equipment.

[See *EQUIPMENT AND STORES 004.001* for records relating to the acquisition of equipment and stores.]

Entry No.	Description of Records	Disposal Action
004.012.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to the maintenance of equipment that contains hazardous material, such as asbestos.	Destroy 100 years after installation completed
004.012.002 ■■■■■■■■■■■■■■■■■■■■	Records relating to the maintenance of equipment that does not contain hazardous material, such as asbestos.	Destroy 7 years after action completed
004.012.003 ■■■■■■■■■■■■■■■■■■■■	Records relating to programming and forward planning proposals for equipment maintenance.	Destroy 5 years after action completed
004.012.004 ■■■■■■■■■■■■■■■■■■■■	Records relating to the selection of storage areas for agency equipment and stores.	Destroy 2 years after action completed

004.013 Meetings

[See *STRATEGIC MANAGEMENT - Meetings*].

004.014 Policy

[See *STRATEGIC MANAGEMENT - Policy*]

004.015 Procedures

[See *STRATEGIC MANAGEMENT - Procedures*].

004.016 Reviewing

[See *STRATEGIC MANAGEMENT - Reviewing*].

004.017 Stocktake

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

Entry No.	Description of Records	Disposal Action
004.017.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to the inventory and stocktake of equipment and stores.	Destroy 3 years after action completed

004.018 Tendering

[See *FINANCIAL MANAGEMENT - Tendering*].

005 ESTABLISHMENT

The function of establishing and changing the organisational structure through establishing and reviewing positions. Includes classification and grading of positions and the preparation of organisational charts.

005.001 Committees

[See *BOARDS AND COMMITTEES*]

005.002 Compliance

[For compliance in relation to *Information Management*, such as *Right to Information*, *Freedom of Information* or *Privacy* legislation - see *INFORMATION MANAGEMENT - Compliance*

For compliance in relation to *Financial Management* - see *FINANCIAL MANAGEMENT - Compliance*

For compliance with other mandatory or optional accountability, legal, regulatory or quality standards - See *STRATEGIC MANAGEMENT - Compliance*

For compliance in relation to *Workplace Health and Safety* - see *WORKPLACE HEALTH AND SAFETY - Compliance.*

005.003 Establishment or Restructuring of Agency

The activities involved in the reassessment of the activities, goals and structure of an organisation. 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
005.003.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to the establishment and development of a new agency structure, including copies of instruments giving effect to machinery of government changes and information provided to facilitate administrative rearrangements relating to the transfer of functions and employees to/or from other agencies. Includes records of forward staffing estimates.	Retain as Territory Archives
005.003.002 ■■■■■■■■■■■■■■■■■■■■	Key records documenting the initial establishment of the agency, including its purpose and legislative basis.	Retain as Territory Archives

006 FINANCIAL MANAGEMENT

The function of managing the public authority's financial resources. Includes establishing, operating and maintaining accounting systems, controls and procedures; financial planning; budgeting; obtaining and distributing grants; managing funds and revenue; resource allocation and accountability. Also includes the monitoring and analysis of assets to assist the delivery of economic and social services to government, industry and the community.

[See section 10 - INFORMATION MANAGEMENT for records relating to the disposal of financial information.]

006.001 Accounting

The activity of collecting, recording, classifying, summarising and analysing information on financial transactions, and subsequently on the financial position and operating results of the public authority. Includes financial statements, and the implementation, maintenance, monitoring and auditing of the public authority's accounting systems and internal controls.

[Credit cardholder details must be managed in accordance with the PCI DSS (Payment Card Industry Data Security Standards)]

Entry No.	Description of Records	Disposal Action
006.001.001 ■■■■■■■■■■■■■■■■■■■■	Register of unclaimed moneys required to be maintained under Treasurer's Instructions.	Destroy 7 years after monies claimed
006.001.002 ■■■■■■■■■■■■■■■■■■■■	<p>Accounting records and associated supporting records</p> <p>Records relating to the payment or receipt of money. Includes records which document the public authority's financial transactions including revenue, expenditure, expenses, assets, liabilities and equity.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none">• General ledger;• Journals;• subsidiary ledgers;• reconciliation records;• cash books;• cheque records;• payment records;• salary processing payment records, including substantive salaries, allowances, overtime, penalties, deductions, superannuation contributions, leave, adjustments, variations, etc.;	Destroy 7 years after the financial year to which the records relate

006.001 Accounting (Continued)

The activity of collecting, recording, classifying, summarising and analysing information on financial transactions, and subsequently on the financial position and operating results of the public authority. Includes financial statements, and the implementation, maintenance, monitoring and auditing of the public authority's accounting systems and internal controls.

[Credit cardholder details must be managed in accordance with the PCI DSS (Payment Card Industry Data Security Standards)]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
006.001.002 ■■■■■■■■■■■■■■■■■■■■	<ul style="list-style-type: none">• petty cash records;• cash by post registers;• requisition or purchase orders;• delivery dockets;• sales and purchase invoices;• receipt and revenue records;• other prime entry records.	Destroy 7 years after the financial year to which the records relate

[See FINANCIAL MANAGEMENT reference number 006.001.011 for special payments.]

See FINANCIAL MANAGEMENT reference number 006.001.012 for taxation records.

See FINANCIAL MANAGEMENT reference number 006.030 for tendering records.

See Acquisition under the relevant function for other records relating to the procurement of goods and services.

See PERSONNEL AND STAFF DEVELOPMENT reference number 012.026 for salary payment documentation.]

006.001 Accounting (Continued)

The activity of collecting, recording, classifying, summarising and analysing information on financial transactions, and subsequently on the financial position and operating results of the public authority. Includes financial statements, and the implementation, maintenance, monitoring and auditing of the public authority's accounting systems and internal controls.

[Credit cardholder details must be managed in accordance with the PCI DSS (Payment Card Industry Data Security Standards)]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
006.001.005 ■■■■■■■■■■■■■■■■■■■■	Bank accounts register Entries in the register of bank accounts of the public authority.	Destroy 7 years after account has been closed
006.001.006 ■■■■■■■■■■■■■■■■■■■■	Chart of Accounts Records documenting the public authority's Chart of Accounts.	Destroy 7 years after the financial year to which the records relate
006.001.007 ■■■■■■■■■■■■■■■■■■■■	Contingent assets and contingent liabilities Records relating to the management of the public authority's contingent assets and contingent liabilities. Records may include, but are not limited to: <ul style="list-style-type: none"> • quarterly reports. 	Destroy 7 years after action completed
006.001.008 ■■■■■■■■■■■■■■■■■■■■	Contingencies register Register of contingency assets and contingency liabilities.	Destroy 7 years after action completed or after disposal of asset

006.001 Accounting (Continued)

The activity of collecting, recording, classifying, summarising and analysing information on financial transactions, and subsequently on the financial position and operating results of the public authority. Includes financial statements, and the implementation, maintenance, monitoring and auditing of the public authority's accounting systems and internal controls.

[Credit cardholder details must be managed in accordance with the PCI DSS (Payment Card Industry Data Security Standards)]

Entry No.	Description of Records	Disposal Action
006.001.010 ■■■■■■■■■■■■■■■■■■■■	<p>Debts, overpayments and material losses</p> <p>Records relating to the management and settlement of debts, overpayments and material losses. Includes debt recovery and write-offs.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • approvals; • debtor invoices; • records of negotiations with debtors; • notices; • write-offs; • register of material losses.. 	<p>Destroy 7 years after the financial year to which the records relate</p>

[See FINANCIAL MANAGEMENT reference number 006.006.002 for records relating to asset write-offs and losses.

See FINANCIAL MANAGEMENT reference number 006.013 for records relating to corruption investigations.

See FINANCIAL MANAGEMENT reference number 006.025.001 for reporting losses.]

006.001 Accounting (Continued)

The activity of collecting, recording, classifying, summarising and analysing information on financial transactions, and subsequently on the financial position and operating results of the public authority. Includes financial statements, and the implementation, maintenance, monitoring and auditing of the public authority's accounting systems and internal controls.

[Credit cardholder details must be managed in accordance with the PCI DSS (Payment Card Industry Data Security Standards)]

Entry No.	Description of Records	Disposal Action
006.001.012 ■■■■■■■■■■■■■■■■■■■■	<p>Taxation</p> <p>Records relating to taxation matters of the public authority excluding Government Owned Corporations.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none">• Fringe Benefits Tax (FBT) records;• Business Activity Statements (BAS);• certificates (includes electronic interface certificates);• tax payment records (including Pay As You Go PAYG withholding tax);• Goods and Services Tax (GST) records;• Pay-roll Tax records;• Exemptions;• external tax advice;• correspondence with Australian Tax Office and Treasury. <p><i>[See FINANCIAL MANAGEMENT reference number 006.001.002 for financial records relating to the payment of salaries</i></p> <p><i>See PERSONNEL AND STAFF DEVELOPMENT reference number 012.026 for records relating to employee taxation records.]</i></p>	Destroy 7 years after action completed
006.001.013 ■■■■■■■■■■■■■■■■■■■■	<p>Records relating to the management of deficiencies and losses. Includes records relating to suspected fraud, theft, misappropriation or negligence, write-offs, overpayments and recovery of debts.</p> <p><i>[See LEGAL SERVICES reference number 011.008 for records that result in legal action.]</i></p>	Destroy 7 years after action completed

006.001 Accounting (Continued)

The activity of collecting, recording, classifying, summarising and analysing information on financial transactions, and subsequently on the financial position and operating results of the public authority. Includes financial statements, and the implementation, maintenance, monitoring and auditing of the public authority's accounting systems and internal controls.

[Credit cardholder details must be managed in accordance with the PCI DSS.(Payment Card Industry Data Security Standards)]

Entry No.	Description of Records	Disposal Action
006.001.014 ■■■■■■■■■■■■■■■■■■■■	Records relating to the collection of fines and expiation notices.	Destroy 7 years after action completed
006.001.015 ■■■■■■■■■■■■■■■■■■■■	Records relating to the management of unclaimed moneys, including all background information.	Destroy 5 years after action completed
006.001.016 ■■■■■■■■■■■■■■■■■■■■	Accountable forms register Entries in the accountable forms register that document the receipt, issue, transfer, return and destruction of accountable forms.	Destroy 3 years after action completed
006.001.017 ■■■■■■■■■■■■■■■■■■■■	Accountable forms Records relating to the management of accountable forms including vouchers,, cheques, money forms, etc.	Destroy 3 years after the financial year to which the records relate

Records may include, but are not limited to:

- acquisition orders;
- Cabcharge vouchers;
- requests;
- issue receipts;
- approvals.

Note: Surplus accountable forms including blank and obsolete forms can be destroyed in accordance with section 18 - EPHEMERAL DOCUMENTS AND RECORDS once they have been recorded in the accountable forms register.

[See FINANCIAL MANAGEMENT reference number 006.001.002 for records relating to the processing of financial forms.]

006.001 Accounting (Continued)

The activity of collecting, recording, classifying, summarising and analysing information on financial transactions, and subsequently on the financial position and operating results of the public authority. Includes financial statements, and the implementation, maintenance, monitoring and auditing of the public authority's accounting systems and internal controls.

[Credit cardholder details must be managed in accordance with the PCI DSS.(Payment Card Industry Data Security Standards)]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
006.001.018 ■■■■■■■■■■■■■■■■■■■■	Regular or periodic system reports on financial transactions used for routine administrative purposes. Includes consolidated monthly and quarterly financial statements, monthly accrual statements.	Destroy 2 years after action completed

006.002 Acquisition

The process of gaining ownership or use of property, services and other items required in the conduct of business.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
006.002.001 ■■■■■■■■■■■■■■■■■■■■	Acquisition records, including quotations, requisitions, orders, invoices, etc.	Destroy 7 years after action completed
006.002.002 ■■■■■■■■■■■■■■■■■■■■	Duplicate copies of acquisition records (including purchase order book butts) retained in business units or regional offices.	Destroy 2 years after action completed

006.003 Advice

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
006.003.001 ■■■■■■■■■■■■■■■■■■■■	<p>Financial management advice</p> <p>Records relating to advice provided to or received by the public authority on financial management matters.</p> <p><i>[See FINANCIAL MANAGEMENT reference number 006.012 for advice relating to contracts</i></p> <p><i>For high level advice - see 006.009.001</i></p> <p><i>See FINANCIAL MANAGEMENT reference number 006.009.001 for high level advice.]</i></p>	Destroy 8 years after action completed

006.007 Audit (Continued)

The activity of officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of the public authority in a specified period.

[See INFORMATION MANAGEMENT - Inspections for records of audit or inspections by an archival authority or the management of records in response to a discovery order.]

Entry No.	Description of Records	Disposal Action
006.007.003 ■■■■■■■■■■■■■■■■■■■	Financial audits - audit program/plan Records relating to the internal financial audit program/plan. Records may include, but are not limited to: <ul style="list-style-type: none"> • internal financial audit charter; • financial audit program/plan. <i>[See FINANCIAL MANAGEMENT reference number 006.007.002 for records relating to internal and external audits.]</i>	Destroy 7 years after action completed

006.007.004 ■■■■■■■■■■■■■■■■■■■	Register of audit findings Entries in the register of issues arising from financial audits recorded for internal use.	Destroy 7 years after action completed
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006.008 Authorisation

The activity of seeking and granting permission to undertake a requested action.

Entry No.	Description of Records	Disposal Action
006.008.001 ■■■■■■■■■■■■■■■■■■■	Delegations of financial authority to Chief Executives and officers occupying statutory positions.	Retain as Territory Archives

006.008 Authorisation (Continued)

The activity of seeking and granting permission to undertake a requested action.

Entry No.	Description of Records	Disposal Action
006.008.002 ■■■■■■■■■■■■■■■■■■■■	<p>Delegations of power</p> <p>Records relating to delegations of power to public authority staff to authorise financial activities and transactions (e.g. delegation to approve expenditure or authorisation to countersign cheques). Includes delegation reviews.</p> <p><i>[See PERSONNEL AND STAFF MANAGEMENT reference number 012.005 for other records relating to delegations of authority.]</i></p>	<p>Destroy 7 years after delegation is cancelled or superseded</p>
006.008.003 ■■■■■■■■■■■■■■■■■■■■	<p>Register of delegations</p> <p>Entries in the register of financial delegations to authorise financial transactions.</p>	<p>Destroy 7 years after delegation is cancelled or superseded</p>
006.008.004 ■■■■■■■■■■■■■■■■■■■■	<p>Client authorisations</p> <p>Authorisations to conduct financial transactions on behalf of clients (e.g. credit card/direct debit authorisations). Includes amendments to authorisations.</p> <p>Credit cardholder details must be managed in accordance with the PCI DSS (Payment Card Industry Data Security Standards).</p>	<p>Destroy 7 years after action completed</p>

006.011 Compliance (Continued)

The activity of complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements to which the public authority is subject. Includes compliance with legislation and national and international standards.

Entry No.	Description of Records	Disposal Action
006.011.003 ■■■■■■■■■■■■■■■■■■■■	<p data-bbox="496 454 1034 526">Exemptions - Financial Management and Legislation</p> <p data-bbox="496 562 1082 672">Records relating to the agency's exemption from compliance with provisions of financial and management standards and legislation.</p> <p data-bbox="496 703 1066 739">Records may include, but are not limited to:</p> <ul data-bbox="547 777 1054 999" style="list-style-type: none"> • applications to and correspondence with the Treasurer; • legal advice received by the agency relating to grounds for exemption; • application for exemption; • decision notice from AUSTRAC. <p data-bbox="496 1034 1082 1144"><i>[See FINANCIAL MANAGEMENT reference number 006.013 for records relating to cases of fraud or corruption.</i></p> <p data-bbox="496 1176 1070 1285"><i>See FINANCIAL MANAGEMENT reference number 006.024 for records relating to procedural controls to prevent fraud.</i></p> <p data-bbox="496 1317 1070 1426"><i>See FINANCIAL MANAGEMENT reference number 006.025 for records relating to the agency's reporting requirements.</i></p> <p data-bbox="496 1458 1070 1568"><i>See FINANCIAL MANAGEMENT reference number 006.027 for records relating to risk management and the prevention of fraud.</i></p> <p data-bbox="496 1599 1070 1709"><i>See FINANCIAL MANAGEMENT reference number 006.001.012 for taxation-related exemptions.]</i></p>	Destroy 7 years after expiry or refusal of exemption
006.011.004 ■■■■■■■■■■■■■■■■■■■■	Records relating to minor breaches of financial management compliance requirements.	Destroy 6 years after action completed

006.012 Contracting Out

The activity of arranging, procuring and managing the performance of work or the provision of services by an external contractor or consultant, or by using external bureau services. Includes outsourcing.

Note: This section should not be used for contracts relating to services provided by the agency to another organisation as part of the agency's core business functions. Refer to the public authority's core business or sector authority.

[See FINANCIAL MANAGEMENT reference number 006.024 for records relating to acquisition/procurement procedures.

See FINANCIAL MANAGEMENT reference number 006.030 for records relating to tendering.]

Entry No.	Description of Records	Disposal Action
006.012.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to the hiring and use of consultants, contractors and suppliers for outsourcing that is the subject of major public interest and debate.	Retain as Territory Archives
006.012.002 ■■■■■■■■■■■■■■■■■■■■	Highly Significant (landmark) contracts Records relating to contracts that are highly significant and/or have created major public interest and controversy.	Retain as Territory Archives
006.012.003 ■■■■■■■■■■■■■■■■■■■■	Contracts - under seal Records relating to the management of approved contracts under seal. Records may include, but are not limited to: <ul style="list-style-type: none">• contracts;• agreements;• terms and conditions;• guarantees and undertakings;• contract performance;• related correspondence;• contract variations.	Destroy 21 years after expiry or other termination of contract

[See LEGAL SERVICES reference number 011.008 for litigation arising from contractual disputes.

See TECHNOLOGY AND TELECOMMUNICATION reference number 016.030 for records documenting the procurement process prior to the awarding of the contract.]

006.012 Contracting Out (Continued)

The activity of arranging, procuring and managing the performance of work or the provision of services by an external contractor or consultant, or by using external bureau services. Includes outsourcing.

Note: This section should not be used for contracts relating to services provided by the agency to another organisation as part of the agency's core business functions. Refer to the public authority's core business or sector authority.

[See FINANCIAL MANAGEMENT reference number 006.024 for records relating to acquisition/procurement procedures.

See FINANCIAL MANAGEMENT reference number 006.030 for records relating to tendering.]

Entry No.	Description of Records	Disposal Action
006.012.004 ■■■■■■■■■■■■■■■■■■■■	Contract register Entries in the register of contracts. <i>[See FINANCIAL MANAGEMENT reference number 006.001.007 and 006.001.008 for financial commitments for future expenditure which are not yet formalised in a contract.]</i>	Destroy 21 years after last entry
006.012.005 ■■■■■■■■■■■■■■■■■■■■	Contracts - not under seal Records relating to the management of approved contracts not under seal. Records may include, but are not limited to: <ul style="list-style-type: none"> • contracts; • agreements; • terms and conditions; • guarantees and undertakings; • contract performance; • related correspondence; • contract variations. <i>[See LEGAL SERVICES reference number 011.008 for litigation arising from contractual disputes.</i> <i>See TECHNOLOGY AND TELECOMMUNICATION reference number 016.030 for records documenting the procurement process prior to the awarding of the contract.]</i>	Destroy 8 years after expiry or other termination of contract
006.012.006 ■■■■■■■■■■■■■■■■■■■■	Regular or periodic system reports on the contractual and financial obligations of the agency.	Destroy 2 years after action completed

006.013 Corruption

The processes which allow the disclosure of corruption and strategies for the prevention of corruption. Includes involvement in corruption prevention projects undertaken by the Crime and Misconduct Commission and the education of staff about corruption prevention disclosures.

[See STRATEGIC MANAGEMENT reference number 015.007 for records relating to corruption.]

See STRATEGIC MANAGEMENT reference number 015.022 for records relating to agency-wide risk management strategies.

See PERSONNEL AND STAFF DEVELOPMENT for records relating to investigations into individual employees and the resulting disciplinary action.]

006.014 Donations

The activity of managing money, items, artefacts or property donated to the public authority, or by the public authority and/or its staff to charities, etc. Includes managing unsolicited donations.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
006.014.001 ■■■■■■■■■■■■■■■■■■■■	Gifts and benefits - financial records and gift register Records relating to financial transactions involving gifts, benefits and other reportable items received or donated by the public authority and/or its officers. Records may include, but are not limited to: <ul style="list-style-type: none">• gift register;• approvals;• notifications;• terms and conditions.	Destroy 7 years after action completed

[See COMMUNITY RELATIONS reference number 2.007 for other records relating to the management of gifts.]

See PERSONNEL AND STAFF MANAGEMENT for pecuniary interest declarations.]

006.015 Financial Statements

The activity of compiling annual financial statements of the public authority in accordance with accounting standards.

[See FINANCIAL MANAGEMENT reference number 006.025 for other financial reporting requirements.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
006.015.001 ■■■■■■■■■■■■■■■■■■■■	Annual and periodic financial statements Records relating to annual and periodic financial statements prepared by the public authority. Records may include, but are not limited to: <ul style="list-style-type: none"> ● certified financial statements prepared for abolished public authorities; ● certified financial statements prepared for newly formed public authorities; ● agency copies of Auditor-General's reports, comments and agency response; ● working papers relating to the preparation of financial statements. 	Destroy 7 years after the financial year to which the records relate

[See FINANCIAL MANAGEMENT reference number 006.025 for other financial reports.]

See PUBLICATION reference number 014.013 for records relating to the preparation and publication of Annual Reports and legal deposit requirements.]

006.016 Funds Management (Continued)

The activity of managing the funds of a public authority in an efficient and economical manner by ensuring an effective system of internal controls is in operation. Includes investments and loans.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
006.016.003 ■■■■■■■■■■■■■■■■■■■■	Loans and investments	Destroy 7 years after loan finalised

Records relating to the establishment and ongoing management of loan and investment accounts.

Records may include, but are not limited to:

- approvals;
- statements;
- reports;
- reconciliations;
- guarantees and undertakings;
- balances.

[See FINANCIAL MANAGEMENT reference number 006.008.005 for approvals required by statutory bodies (if applicable).

See FINANCIAL MANAGEMENT reference number 006.001.011 for records relating to special payments.]

006.017 Grant Funding

The activity of managing the grants funding process where the agency either receives or administers grants.

[See FINANCIAL MANAGEMENT reference number 006.1 for financial records relating to the receipt or payment of money.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
006.017.001 ■■■■■■■■■■■■■■■■■■■■	Funding received by the agency - successful Records relating to the receipt and administration of grant funds and subsidies received by the public authority including successful applications. Records may include, but are not limited to: <ul style="list-style-type: none">● successful applications;● approvals;● agreements;● notifications;● progress reports.	Destroy 8 years after grant acquitted
006.017.002 ■■■■■■■■■■■■■■■■■■■■	Administered grants - successful applications for funding Records relating to grants and subsidies distributed by the public authority. Includes successful applications. Records may include, but are not limited to: <ul style="list-style-type: none">● applications;● approvals;● agreements;● notifications;● progress reports.	Destroy 8 years after grant acquitted

006.022 Planning

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

[See FINANCIAL MANAGEMENT reference number 006.025 for progress reports on financial management plans.]

See STRATEGIC MANAGEMENT reference number 015.016 for other strategic and corporate plans.]

Entry No.	Description of Records	Disposal Action
006.022.001 ■■■■■■■■■■■■■■■■■■■■	Operational finance plans - final Final version of approved operational, business, regional financial management plans. <i>[See STRATEGIC MANAGEMENT reference number 015.016 for plans relating to the business model of the public authority, (e.g. plans for commercialisation).]</i>	Destroy 7 years after action completed
006.022.002 ■■■■■■■■■■■■■■■■■■■■	Operational finance plans - development Records relating to the development of financial management plans. Records may include, but are not limited to: <ul style="list-style-type: none">• approvals;• draft plans;• reports;• submissions;• amendments;• calculations;• consultation records;• working papers.	Destroy 3 years after action completed

006.023 Policy

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

[See STRATEGIC MANAGEMENT reference number 015.017 for records relating to financial policy.]

006.028 Salaries

The process of managing the payment of salaries to personnel.

[See FINANCIAL MANAGEMENT reference number 006.001.002 for financial records relating to the payment of salaries.]

See PERSONNEL AND STAFF DEVELOPMENT for employee related records.]

006.029 Standards

[See STRATEGIC MANAGEMENT - Standards.]

006.030 Tendering

The activity of receiving and assessing tenders. Includes offers made in writing by one party to another to carry out at an inclusive price or uniform rate, an order for the supply or purchase of goods, or for the production of work.

Note: This authority should not be used for tenders submitted by the agency to provide services to another organisation. Refer to the public authority's core business or sector schedule.

[See FINANCIAL MANAGEMENT reference number 006.012 for records relating to approved contracts.]

Entry No.	Description of Records	Disposal Action
006.030.001 ■■■■■■■■■■■■■■■■■■■■	Approval and granting of official seals of agencies, Ministers or organisations (e.g. seals used by authorities, boards of committees, etc).	Retain as Territory Archives
006.030.002 ■■■■■■■■■■■■■■■■■■■■	Records relating to the receipt and assessment of tenders and letting of landmark contracts that have created major public interest or controversy. Includes successful and non successful tenders as well as contract documents and contract renewals.	Retain as Territory Archives

006.030 Tendering (Continued)

The activity of receiving and assessing tenders. Includes offers made in writing by one party to another to carry out at an inclusive price or uniform rate, an order for the supply or purchase of goods, or for the production of work.

Note: This authority should not be used for tenders submitted by the agency to provide services to another organisation. Refer to the public authority's core business or sector schedule.

[See FINANCIAL MANAGEMENT reference number 006.012 for records relating to approved contracts.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
006.030.005 ████████████████████	Unsuccessful tenders not of high (landmark) significance - not under seal	Destroy 3 years after action completed
	Records relating to the receipt and assessment of unsuccessful tenders that have not created major public interest or controversy and that are not under seal.	
006.030.006 ████████████████████	Tender register	Destroy 21 years after tender process completed
	Entries in the tender register.	

006.031 User Charging

The activity of setting fees and charges for services and goods provided by a public authority.

[See FINANCIAL MANAGEMENT reference number 006.009.002 for records relating to budget planning.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
006.031.001 ████████████████████	Fee schedule and setting fees	Destroy 7 years after the financial year to which the records relate
	Records relating to the scheduling of fees and charges set by the public authority and records relating to charging for goods and services provided by the public authority including identifying goods and services which may be charged for and examining levels of charges. Includes approvals.	
	<i>[See PUBLICATION for records relating to the publication of approved fees and changes.]</i>	

007 FLEET MANAGEMENT

The function relating to the acquisition, supply, use, maintenance, repair, management and disposal of vehicles including boats and aircraft.

[See section 006 - FINANCIAL MANAGEMENT for all financial records relating to the procurement (including tendering and contracting), maintenance and disposal of vehicles.

See section 006.001 for records relating to fuel cards.]

007.001 Accidents

The activities involved in dealing with mishaps causing damage to vehicles.

Entry No.	Description of Records	Disposal Action
007.001.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to mishaps causing damage to agency vehicles.	Destroy 7 years after action completed

[See WORKPLACE HEALTH AND SAFETY reference number 017.001 for accidents involving agency vehicles that result in death.]

007.002 Acquisition

The process of gaining ownership or use of property, services and other items required in the conduct of business where there is no tendering or contracting-out process, i.e. where the cost of the acquisition is below the threshold for tendering.

[See FINANCIAL MANAGEMENT for financial records relating to the procurement process.

See FLEET MANAGEMENT reference number 007.009.001 for records relating to the disposal of vehicles.]

Entry No.	Description of Records	Disposal Action
007.002.001 ■■■■■■■■■■■■■■■■■■■■	Non-financial records relating to the acquisition of vehicles by purchase or lease.	Destroy 7 years after action completed

007.003 Allowances

Payments to individuals relating to the use of vehicles.

[See PERSONNEL AND STAFF DEVELOPMENT reference number 012.002 for records relating to how fleet vehicles are to be used by staff.]

007.010 Infringements

The activities associated with handling breaches of rules. Includes driving or traffic infringements.

Entry No.	Description of Records	Disposal Action
007.010.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to infringements of traffic regulations by agency staff.	Destroy 1 year after action completed

007.011 Insurance

The process of taking out insurance policies to cover loss or damage to vehicles and to cover the agency against damage to another organisation's property.

Entry No.	Description of Records	Disposal Action
007.011.001 ■■■■■■■■■■■■■■■■■■■■	Vehicle insurance policies. Includes records relating to the renewal of insurance policies.	Destroy 7 years after expiry or cancellation of policy
007.011.002 ■■■■■■■■■■■■■■■■■■■■	Records documenting insurance claims regarding damage to vehicles.	Destroy 7 years after action completed

[See COMPENSATION reference number 003.004 for insurance claims relating to individuals.]

007.012 Maintenance

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

Entry No.	Description of Records	Disposal Action
007.012.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to vehicle maintenance including service history (log books). Excludes maintenance contracts. <i>[See FINANCIAL MANAGEMENT for the procurement of maintenance contracts.]</i>	Destroy 1 year after disposal of vehicle Transfer log book to new owner when no longer required
007.012.002 ■■■■■■■■■■■■■■■■■■■■	Registration records. Records relating to vehicle registration and renewal.	Destroy 1 year after renewal

007.013 Meetings

[See STRATEGIC MANAGEMENT - Meetings.]

007.014 Policy

[See STRATEGIC MANAGEMENT - Policy.]

007.015 Procedures

[See STRATEGIC MANAGEMENT - Procedures.]

007.016 Reporting

[See STRATEGIC MANAGEMENT - Reporting.]

007.017 Tendering

[See FINANCIAL MANAGEMENT - Tendering.]

008 GOVERNMENT RELATIONS

The function of administering the formal relationship between the organisation and those processes of government not covered by other general administrative functions. Includes the organisation's relationship with Ministers and Members of Parliament and the political processes of Government; liaison with bodies carrying out investigations and participating in formal inquiries and investigations such as Royal Commissions, and inquiries by Parliamentary Committees and the Ombudsman; and relationships with other Commonwealth or overseas governments.

008.001 Addresses

The activity of giving addresses and presentations at government occasions.

Entry No.	Description of Records	Disposal Action
008.001.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to addresses and presentations given at major occasions, or on matters of substantial public interest and debate.	Retain as Territory Archives
008.001.002 ■■■■■■■■■■■■■■■■■■■■	Records relating to addresses and presentations given by agency representatives at conferences or events arranged by other parts of government or other local, state, commonwealth or overseas governments. Excludes presentations at staff training seminars, workshops, etc. <i>[For presentations at staff training seminars, workshops, etc., use PERSONNEL AND STAFF DEVELOPMENT - Addresses (Presentations).]</i>	Destroy 7 years after action completed
008.001.003 ■■■■■■■■■■■■■■■■■■■■	Records relating to other addresses and presentations, (e.g. for routine promotion of agency services or marketing products).	Destroy 2 years after action completed

008.002 Advice

The activities associated with the offering of opinions by or to the agency as to an action or judgement.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
008.002.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to the provision of high level advice, (e.g. to the relevant Minister or Ministerial Council, government agencies or the Chief Executive), relating to controversial public issues shown to have far-reaching social, economic and/or national implications. Includes records documenting the development of advice.	Retain as Territory Archives
008.002.002 ■■■■■■■■■■■■■■■■■■■■	Records relating to advice provided to agencies that does not contain controversial public issues shown have far reaching social, economic and national implications.	Destroy 8 years after action completed

008.003 Agreements

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
008.003.001 ■■■■■■■■■■■■■■■■■■■■	Highly significant (landmark) agreements Records relating to agreements, including joint ventures and public-private partnerships, in which the agency has been involved that has created major public interest or controversy. Includes agreements and proposed agreements.	Retain as Territory Archives
008.003.002 ■■■■■■■■■■■■■■■■■■■■	Agreements not of high (landmark) significance - under seal Records relating to the agreements in which the agency has been involved that has not created major public interest or controversy.	Destroy 21 years after action completed
008.003.003 ■■■■■■■■■■■■■■■■■■■■	Agreements not of high (landmark) significance - not under seal Records relating to the agreements in which the agency has been involved that has not created major public interest or controversy.	Destroy 8 years after action completed

008.004 Committees

[See *BOARDS AND COMMITTEES*.]

008.005 Compliance

[For compliance in relation to *Information Management*, such as *Right to Information*, *Freedom of Information* or *Privacy* legislation - see *INFORMATION MANAGEMENT - Compliance*

For compliance in relation to *Financial Management* - see *FINANCIAL MANAGEMENT - Compliance*

For compliance with other mandatory or optional accountability, legal, regulatory or quality standards - See *STRATEGIC MANAGEMENT - Compliance*

For compliance in relation to *Workplace Health and Safety* - see *WORKPLACE HEALTH AND SAFETY - Compliance*.]

008.006 Greetings

The activities associated with preparing and sending letters of appreciation or condolences. Includes mailing lists for Christmas cards.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
008.006.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to the preparation and sending of greetings. Also includes greetings received by the agency. Includes address lists.	Destroy 2 years after action completed

008.007 Inquiries

The activities associated with liaising with bodies carrying out inquiries, and participating in them. Inquiries are investigations carried out by persons or bodies that have been empowered to inquire and report on a subject. These include inquiries carried out by Royal Commissions, Parliament and the Ombudsman. Includes the agency's participation in the inquiry by providing evidence in the form of records, submissions or staff.

Note: This retention and disposal authority does not authorise the disposal of records of the formal inquiry body. Contact the relevant archival authority for further advice regarding these records.

Entry No.	Description of Records	Disposal Action
008.007.001 ■■■■■■■■■■■■■■■■■■■■	Formal Inquiries into the Functions of the Agency Records of formal inquiries, such as Royal Commissions, Parliamentary Commissioner for Administrative Investigations (Ombudsman) and Judicial Reviews into functions of the agency (including transcripts of proceedings, minutes, submissions, exhibits, registers, interim and final reports, research papers). Includes records relating to implementation of the findings and recommendations of an inquiry.	Retain as Territory Archives
008.007.002 ■■■■■■■■■■■■■■■■■■■■	Agency submissions or contributions to inquiries which are not related to their functions.	Destroy 7 years after action completed

008.008 Joint Ventures

The activities involved in managing joint operations between departments, either within the agency or with other agencies, or with the interstate governments where there is a contract, joint contribution to funds and/or time. Includes ventures with the private sector and co-research or collaboration between departments or agencies. Includes the development of Memorandums of Understanding.

[See GOVERNMENT RELATIONS reference number 008.003 for records relating to joint ventures.]

008.009 Legislation

[See STRATEGIC MANAGEMENT - Legislation.]

008.010 Meetings

[See STRATEGIC MANAGEMENT - Meetings.]

008.015 Representatives

The activities associated with the nomination, appointment or resignation of individuals or groups of personnel appointed by the agency or their co-workers as official representatives to organisations, offices, unions, workers participation committees, councils or groups. Includes the agency's legal representatives.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
008.015.001 ■■■■■■■■■■■■■■■■■■■■	Nomination, appointment and resignation of agency representatives.	Destroy 2 years after resignation or term of office expires

008.016 Research

[See STRATEGIC MANAGEMENT - Research.]

008.017 Reviewing

[See STRATEGIC MANAGEMENT - Reviewing.]

008.018 Submissions

The preparation and submission of a formal statement (e.g. reports, statistics, etc.) supporting a case or opinion held by an agency to an internal or external body.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
008.018.001 ■■■■■■■■■■■■■■■■■■■■	Ministerial submissions - major Submissions made to the Minister about significant functional issues, contentious issues or issues of major significance to the agency and/or the community at large. Includes Ministerial briefs; reports to the Minister; responses to ministerial enquiries and ministerial speech notes prepared by the agency.	Retain as Territory Archives
008.018.002 ■■■■■■■■■■■■■■■■■■■■	Ministerial submissions - minor Submissions made to the minister of a minor or administrative nature. Includes Ministerial briefs; reports to the Minister; responses to ministerial enquiries and ministerial speech notes prepared by the agency.	Destroy 7 years after action completed
008.018.003 ■■■■■■■■■■■■■■■■■■■■	Records relating to routine Ministerial correspondence.	Destroy 2 years after action completed

008.019 Visits

The activities involved in arranging visits by the Premier, Ministers and agency representatives within the state, interstate and overseas.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
008.019.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting official visits to the agency by dignitaries or delegations from other governments and visits by agency delegates to other governments and overseas.	Retain as Territory Archives
008.019.002 ■■■■■■■■■■■■■■■■■■■■	Arrangements relating to visits by dignitaries to commemorations, exhibitions, etc., organised by the agency. Includes security arrangements and visit reports.	Destroy 7 years after action completed

009.003 Appeals

The activities involved in the process of appeals against industrial relations decisions by application to a higher authority.

Entry No.	Description of Records	Disposal Action
009.003.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to promotion/demotion, grievance and disciplinary appeals resolved within the agency or by an external tribunal or other authority.	Destroy 7 years after action completed

009.004 Claims

The process of administering and managing payments in accordance with an insurance policy as compensation for injury, death, or denial of rights of a person or damage or destruction of property. Includes disputes over rights and ownership, and recompense sought for stolen or lost property.

Entry No.	Description of Records	Disposal Action
009.004.001 ■■■■■■■■■■■■■■■■■■■■	Claims relating to pay and working conditions lodged under legislation on, or specific to, the department or agency.	Destroy 7 years after action completed

009.005 Committees

[See BOARDS AND COMMITTEES.]

009.006 Compliance

[For compliance in relation to Information Management, such as Right to Information, Freedom of Information or Privacy legislation - see INFORMATION MANAGEMENT - Compliance.]

For compliance in relation to Financial Management - see FINANCIAL MANAGEMENT - Compliance.]

For compliance with other mandatory or optional accountability, legal, regulatory or quality standards - See STRATEGIC MANAGEMENT - Compliance.]

For compliance in relation to Workplace Health and Safety - see WORKPLACE HEALTH AND SAFETY - Compliance.]

009.007 Disputes

The activities associated with the resolution of disputes relating to dissatisfaction about a work situation.

Entry No.	Description of Records	Disposal Action
009.007.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to industrial disputes which have a major impact on the agency's operations.	Retain as Territory Archives
009.007.002 ■■■■■■■■■■■■■■■■■■■■	Records relating to major disputes involving the agency's staff.	Retain as Territory Archives
009.007.003 ■■■■■■■■■■■■■■■■■■■■	Records relating to minor disputes involving the agency's staff.	Destroy 7 years after action completed

009.008 Enterprise Bargaining

The process where employees negotiate increased pay or other benefits with their employers in exchange for the implementation of working arrangements that improve the performance of the agency. Includes the activities associated with establishing and implementing an enterprise agreement.

[See STRATEGIC MANAGEMENT for records of workplace consultative committees.]

Entry No.	Description of Records	Disposal Action
009.008.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to successful enterprise bargaining, including policy, case/examples of implementation, negotiations and enterprise agreements.	Retain as Territory Archives
009.008.002 ■■■■■■■■■■■■■■■■■■■■	Records relating to the development of an enterprise agreement. Includes records of cases that did not result in an agreement.	Destroy 9 years after action completed
009.008.003 ■■■■■■■■■■■■■■■■■■■■	Enterprise bargaining working papers.	Destroy 2 years after action completed

009.009 Industrial Action

The activities associated with dealing with a failure or refusal to attend or perform work in association with a dispute between management and workers. Includes lock-outs, strikes etc.

Entry No.	Description of Records	Disposal Action
009.009.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to industrial action that had a major impact on agency operations, (e.g. strikes involving a substantial number of agency staff and having a major impact on agency operations). Includes conciliation and dispute resolution processes.	Retain as Territory Archives
009.009.002 ■■■■■■■■■■■■■■■■■■■■	Records relating to industrial action resolved with minimal impact on agency operations.	Destroy 9 years after action completed

009.010 Meetings

[See STRATEGIC MANAGEMENT - Meetings.]

009.011 Planning

[See STRATEGIC MANAGEMENT - Planning.]

009.012 Policy

[See STRATEGIC MANAGEMENT - Policy.]

009.013 Procedures

[See STRATEGIC MANAGEMENT - Procedures.]

009.014 Reporting

[See STRATEGIC MANAGEMENT - Reporting.]

009.015 Research

[See STRATEGIC MANAGEMENT - Research.]

010 INFORMATION MANAGEMENT

The function of providing services based on information and information products. Includes library and records management services.

010.001 Acquisition

The process of gaining ownership or use of information resources or the provision of information services through purchases.

Entry No.	Description of Records	Disposal Action
010.001.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to the acquisition of external publications and library materials, including subscriptions to journals, orders, approvals, etc.	Destroy 7 years after action completed

010.002 Audit

The activities associated with officially checking records to ensure they have been kept and maintained in accordance with agreed or legislated standards.

Entry No.	Description of Records	Disposal Action
010.002.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to official audits of information systems, facilities and processes. Includes working papers, audit trail records, and system reports.	Destroy 7 years after action completed

010.003 Committees

[See *BOARDS AND COMMITTEES.*]

010.004 Compliance

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

[See COMMUNITY RELATIONS reference number 2.008 for general enquiries and requests for information received by the agency.]

Entry No.	Description of Records	Disposal Action
010.004.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to the management of serious breaches of compliance requirements.	Retain as Territory Archives
010.004.002 ■■■■■■■■■■■■■■■■■■■■	Records relating to agency compliance with mandatory standards or statutory requirements. Includes proof of compliance.	Destroy 7 years after action completed
010.004.003 ■■■■■■■■■■■■■■■■■■■■	Records relating to the management of minor breaches of compliance requirements.	Destroy 5 years after action completed
010.004.004 ■■■■■■■■■■■■■■■■■■■■	Right to Information applications - precedent-setting Application files relating to the management of precedent-setting cases or cases generating substantial public interest.	Retain as Territory Archives
010.004.005 ■■■■■■■■■■■■■■■■■■■■	Right to Information applications Application files relating to the management of cases that are not precedent-setting or cases that do not generate substantial public interest. Includes application files for access/amendment to records requested under Right to Information or Freedom of Information which may or may not have been subject to internal or external review Includes copies of documents provided to applicant.	Destroy 8 years after action completed
010.004.006 ■■■■■■■■■■■■■■■■■■■■	Right to Information - routine correspondence Routine correspondence dealing with minor matters related to Right to Information or Freedom of Information.	Destroy 2 years after action completed

010.004 Compliance (Continued)

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

[See *COMMUNITY RELATIONS* reference number 002.008 for general enquiries and requests for information received by the agency.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
010.004.007 ■■■■■■■■■■■■■■■■■■■■	Right to Information applications - withdrawn or referred Application files relating to the management of withdrawn applications or applications referred to other agencies.	Destroy 2 years after action completed
010.004.008 ■■■■■■■■■■■■■■■■■■■■	Privacy - precedent-setting cases Records relating to individual privacy cases that are of a contentious or precedent-setting nature.	Retain as Territory Archives
010.004.009 ■■■■■■■■■■■■■■■■■■■■	Privacy - confidentiality agreements Confidentiality agreements between the agency and external bodies, and related records.	Destroy 7 years after action completed or lapsing of agreement, whichever is later
010.004.010 ■■■■■■■■■■■■■■■■■■■■	Privacy - plans Plans for the implementation of privacy controls/principles for the collection, use, storage and disclosure of personal information.	Destroy 5 years after superseded
010.004.011 ■■■■■■■■■■■■■■■■■■■■	Privacy - investigations Investigations into alleged privacy breaches, including unauthorised disposal of records containing personal information.	Destroy 5 years after action completed
010.004.012 ■■■■■■■■■■■■■■■■■■■■	Privacy - other cases Records relating to individual privacy cases privacy cases that are not of a contentious or precedent-setting nature.	Destroy 2 years after action completed

010.004 Compliance (Continued)

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

[See COMMUNITY RELATIONS reference number 002.008 for general enquiries and requests for information received by the agency.]

Entry No.	Description of Records	Disposal Action
010.004.013 ■■■■■■■■■■■■■■■■■■■■	General information management - guidelines and procedures Guidelines and procedures developed by the agency for Right to Information or Freedom of Information. Includes the right to information privacy.	Destroy 1 year after superseded

010.005 Conservation

The activities involved in the preservation, protection, maintenance, restoration and enhancement of information resources and artefacts.

Entry No.	Description of Records	Disposal Action
010.005.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting specialised preservation treatment undertaken on permanent records, (e.g. for specific formats such as photographs).	Retain as Territory Archives
010.005.002 ■■■■■■■■■■■■■■■■■■■■	Records relating to agency conservation plans for the preservation of records and other information resources. Also includes disaster plans and identification of vital records.	Destroy 2 years after plan superseded
010.005.003 ■■■■■■■■■■■■■■■■■■■■	Records relating to routine preservation activities undertaken on agency records, including bookbinding and repairs.	Destroy 2 years after action completed

010.006 Contracting Out

[See FINANCIAL MANAGEMENT - Contracting out.]

010.007 Control

The activity 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
010.007.001 ■■■■■■■■■■■■■■■■■■■■	<p>Primary control records</p> <p>Primary control records for records required as State Archives which are required to facilitate access and give meaning and context to the records over time. Records include: indexes, correspondence file registers or registration systems and mandatory recordkeeping metadata standard data elements.</p> <p><i>[See INFORMATION MANAGEMENT reference number 010.010.001 for records relating to the disposal of public records.]</i></p>	Retain as Territory Archives
010.007.002 ■■■■■■■■■■■■■■■■■■■■	Primary control records for records which are required as State archives but which are not required to facilitate access and give meaning and context to the records over time.	Destroy 20 years after records to which they relate are finally disposed of
010.007.003 ■■■■■■■■■■■■■■■■■■■■	Primary control records for records not required as State archives.	Destroy 20 years after records to which they relate are destroyed or finally disposed of

010.007 Control (Continued)

The activity 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.

[For records relating to the management of a collection operated for the benefit of the public, please refer to the agency's core business Retention and Disposal Authority.]

Entry No.	Description of Records	Disposal Action
010.007.004 ■■■■■■■■■■■■■■■■■■■■	Secondary control records. Records include: <ul style="list-style-type: none"> • file or container movement records (if secondary to the main registers and indexes); • reference sets of control records (e.g. within branches/regions of organisation where master control records are retained centrally); • resubmit, barcode and location lists • superseded sets of control records where information has been fully transferred to a new system; • workflow tracking systems facilitating the tracking and monitoring of cases where the systems are not acting as records management systems, (e.g. Ministerial tracking systems, minor case management tracking systems). 	Destroy after administrative or reference use ceases
010.007.005 ■■■■■■■■■■■■■■■■■■■■	Control records documenting library collections (e.g. library catalogue).	Destroy 1 year after collection is disposed of
010.007.006 ■■■■■■■■■■■■■■■■■■■■	Secure document handling Registers of, and receipts for, classified or confidential files, correspondence or safe-hand material, including access registers and destruction certificates for classified material.	Destroy 5 years after action completed
010.007.007 ■■■■■■■■■■■■■■■■■■■■	File retrieval Documentation relating to the withdrawal or return of records from Archives or other records storage providers.	Destroy 2 years after action completed

010.007 Control (Continued)

The activity 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.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
010.007.008 ■■■■■■■■■■■■■■■■■■■■	Secondary control records Secondary control, processing and reference records maintained in either electronic or hard copy format. Records may include, but are not limited to: <ul style="list-style-type: none">• file transit and requisition advice;• resubmit books, cards and diaries;• file movement cards or metadata (not showing the ultimate disposal of files);• file census sheets;• reference or duplicate control records maintained at sub-registries or other elements of the agency (e.g. branches, sections, outposted staff);• reports generated from master control records.	Destroy 1 year after action completed
010.007.009 ■■■■■■■■■■■■■■■■■■■■	Loans and control records Loan records and reference material, including accession lists, lists of holdings of other libraries, inter-library loans, publishers' catalogues and price lists, etc.	Destroy 1 year after action completed

010.008 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
010.008.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to the management of specialised customer services, (e.g. help/information desks, websites, interpreters, facilities for disabled customers, changes to opening hours, outreach services, etc.).	Destroy 5 years after action completed
010.008.002 ■■■■■■■■■■■■■■■■■■■■	Records relating to the development and implementation of quality management practices relating to meeting customer needs.	Destroy 2 years after action completed
010.008.003 ■■■■■■■■■■■■■■■■■■■■	Enquiries Management Records relating to enquiries directed to an agency.	Destroy 2 years after action completed

010.009 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 and the application of vital records and counter disaster plan objectives to safeguard against data loss or corruption.

[See STRATEGIC MANAGEMENT reference number 015.009 for records relating to Disaster Recovery.]

Entry No.	Description of Records	Disposal Action
010.009.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to the planning and coordination of information systems. Includes migration of data to successor systems.	Destroy 7 years after system closed or superseded, or data migrated to successor system
010.009.002 ■■■■■■■■■■■■■■■■■■■■	Records relating to administrative support for the maintenance of data standards, data definitions and data dictionaries. Includes records that explain the meaning, purpose, logical relationships, use and origin of data.	Destroy 2 years after system closed or superseded, or data migrated to successor system
010.009.003 ■■■■■■■■■■■■■■■■■■■■	Periodic data reports and related records used for checking, monitoring, and other routine administrative purposes. Includes data logs.	Destroy 1 year after action completed

010.020 Privacy

The activity 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.

[See *INFORMATION MANAGEMENT* reference number 010.004 for records relating to privacy.]

010.0021 Research

[See *STRATEGIC MANAGEMENT - Research.*]

010.022 Reviewing

[See *STRATEGIC MANAGEMENT - Reviewing.*]

010.023 Risk Management

[See *STRATEGIC MANAGEMENT - Risk Management.*]

010.024 Security

The activities associated with measures taken to protect information from accidental or intentional damage or from unauthorised access.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
010.024.001 ■■■■■■■■■■■■■■■■■■■■	Security arrangements for records including sensitive, financial and critical records.	Destroy 5 years after superseded

010.025 Standards

[See *STRATEGIC MANAGEMENT - Standards.*]

011 LEGAL SERVICES

The function of providing legal services to the organisation regarding administrative matters. Includes the interpretation and provision of advice to the organisation regarding legal matters, the drawing up of legal agreements and the handling of legal action and disputes. Also includes legal advice received from in-house consultants and external sources including Crown Law.

011.001 Advice

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

Entry No.	Description of Records	Disposal Action
011.001.001 ■■■■■■■■■■■■■■■■■■■■	Legal advice from inside and outside the agency relating to interpretations of legislation administered by the agency; proposals for new or amended legislation; major issues of public interest, precedents or matters which have a major impact on the agency's policy and procedures.	Retain as Territory Archives
011.001.002 ■■■■■■■■■■■■■■■■■■■■	Legal advice from inside and outside the agency relating to interpretations of legislation administered by the agency; which have a minor impact on the agency's policy and procedures.	Destroy 10 years after action completed

011.002 Agreements

[See STRATEGIC MANAGEMENT - Agreements.]

011.003 Committees

[See BOARDS AND COMMITTEES.]

011.004 Compliance

[For compliance in relation to Information Management, such as Right to Information, Freedom of Information or Privacy legislation - see INFORMATION MANAGEMENT - Compliance.]

For compliance in relation to Financial Management - see FINANCIAL MANAGEMENT - Compliance.

For compliance with other mandatory or optional accountability, legal, regulatory or quality standards - See STRATEGIC MANAGEMENT - Compliance.

For compliance in relation to Workplace Health and Safety - see WORKPLACE HEALTH AND SAFETY - Compliance.]

011.005 Contracting Out

[See FINANCIAL MANAGEMENT - Contracting out.]

011.006 Inquiries

[See GOVERNMENT RELATIONS - Inquiries.]

011.007 Intellectual Property

[See INFORMATION MANAGEMENT - Intellectual Property.]

011.008 Litigation

The activities involved in managing lawsuits or legal proceedings between the agency and other parties in a court or other tribunal. Includes briefs for counsel, copies of documents required by or lodged with a court, consultation with the Attorney - General's department and other agencies, and records documenting compliance with court instructions, (e.g. subpoenas and discovery orders).

Note: Records that are or may be needed in evidence in a judicial proceeding, including any reasonably possible judicial proceeding, must be retained for longer.

Entry No.	Description of Records	Disposal Action
011.008.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to major issues of public interest or controversy; claims or matters which are of a precedent-setting nature or which have a major impact on the agency's policy and procedures.	Retain as Territory Archives
011.008.002 ■■■■■■■■■■■■■■■■■■■■	Public interest disclosures – substantiated Records relating to public interest disclosures made which are substantiated.	Retain as Territory Archives
011.008.003 ■■■■■■■■■■■■■■■■■■■■	Records created and received during the legal discovery process. Includes subpoenas and discovery orders also includes arrangements for agency witnesses to attend court.	Destroy 10 years after action completed
011.008.004 ■■■■■■■■■■■■■■■■■■■■	Records relating to the provision of access to records for legal purposes, including implementation of discovery orders, court subpoenas, requests from tribunals, Ombudsman's Office, etc.	Destroy 10 years after action completed
011.008.005 ■■■■■■■■■■■■■■■■■■■■	Records relating to issues, claims or case matters which are not major matters or issues of public interest or controversy. Includes claims of a minor nature.	Destroy 7 years after action completed
011.008.006 ■■■■■■■■■■■■■■■■■■■■	Public interest disclosures - unproven Records relating to public interest disclosures which are unfounded or unsubstantiated after necessary action has been taken.	Destroy 3 years after action completed

011.009 Meetings

[See STRATEGIC MANAGEMENT - Meetings.]

011.010 Planning

[See STRATEGIC MANAGEMENT - Planning.]

011.011 Policy

[See STRATEGIC MANAGEMENT - Policy.]

011.012 Reporting

[See STRATEGIC MANAGEMENT - Reporting.]

011.013 Research

[See STRATEGIC MANAGEMENT - Research.]

011.014 Reviewing

[See STRATEGIC MANAGEMENT - Reviewing.]

011.015 Submissions

[See GOVERNMENT RELATIONS - Submissions.]

012 PERSONNEL AND STAFF DEVELOPMENT

The function of managing all employees in the organisation. Employees include Ministerial, permanent, temporary and part-time employees, people working under scholarships, traineeships, apprenticeships and similar relationships. Includes appeals, overtime, salaries, superannuation and working hours when related to people rather than to Industrial Relations. Also includes arrangements for staff travel and the provision of childcare by the agency.

The function of encouraging staff to develop their skills and abilities (through activities, programs and events) to maximise their potential and increase their productivity. Includes identifying and implementing all aspects of training needs and programs (internal and external) available to staff.

012.001 Addresses (Presentations)

The activity of giving addresses for training, professional, community relations or sales purposes. Includes speeches and multi-media presentations.

[See COMMUNITY RELATIONS reference number 002.001 and GOVERNMENT RELATIONS reference number 008.001 for records relating to addresses and presentations.]

012.002 Allowances

The activities involved in arranging and managing money paid to employees in addition to salary to cover expenses incurred in the course of employment, (e.g. travelling allowances).

Entry No.	Description of Records	Disposal Action
012.002.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to allowances paid to agency staff and volunteers. Includes allowances for travelling, moving, shifts, meals, etc. Also includes rejected applications for allowances.	Destroy 7 years after action completed

012.003 Arrangements

The activities involved in arranging for a journey or trip. Includes preparing travel itineraries, authorisations, entitlements etc.

[See FINANCIAL MANAGEMENT for payments relating to staff travel.]

Entry No.	Description of Records	Disposal Action
012.003.001 ■■■■■■■■■■■■■■■■■■■■	Administrative arrangements and specific files relevant to domestic and overseas travel, including itineraries, visas and passport applications. Also includes records relating to the authorisation of staff travel.	Destroy 7 years after action completed
012.003.002 ■■■■■■■■■■■■■■■■■■■■	Visit reports where the information is required to fulfil finance and accounting requirements.	Destroy 2 years after action completed

012.004 Audit

[See STRATEGIC MANAGEMENT - Audit.]

012.005 Authorisation

The process of seeking and granting permission to undertake a requested action.

[See FINANCIAL MANAGEMENT reference number 006.008 for financial delegations.]

Entry No.	Description of Records	Disposal Action
012.005.001 ■■■■■■■■■■■■■■■■■■■■	<p>Delegations - High level</p> <p>Records relating to delegations of authority relating to the functional or administrative responsibilities of the agency where the delegation is issued:</p> <ul style="list-style-type: none">• to a Chief Executive Officer; or• to a statutory office holder; or• by a Minister and maintained in the Department. <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none">• Instrument of Delegation;• Register of Delegations and Authorisations.	Retain as Territory Archives
012.005.002 ■■■■■■■■■■■■■■■■■■■■	<p>Delegations - Other</p> <p>Records relating to other delegations of authority relating to the functional or administrative responsibilities of the agency issued to officers that are not covered by reference number 012.005.001. Excludes financial delegations.</p> <p>[See FINANCIAL MANAGEMENT reference number 006.008.0 for financial delegations.]</p>	Destroy 7 years after delegation is superseded or revoked

012.006 Committees

[See BOARDS AND COMMITTEES.]

012.007 Compliance

[For compliance in relation to Information Management, such as Right to Information, Freedom of Information or Privacy legislation - see INFORMATION MANAGEMENT - Compliance.

For compliance in relation to Financial Management - see FINANCIAL MANAGEMENT - Compliance.

For compliance with other mandatory or optional accountability, legal, regulatory or quality standards - See STRATEGIC MANAGEMENT - Compliance.

For compliance in relation to Workplace Health and Safety - see WORKPLACE HEALTH AND SAFETY - Compliance.]

012.008 Conferences

[See COMMUNITY RELATIONS - Conferences.]

012.009 Contracting Out

[See FINANCIAL MANAGEMENT - Contracting out.]

012.010 Counselling

The activities associated with giving advice or guidance to employees for various reasons.

Entry No.	Description of Records	Disposal Action
012.010.001 ■■■■■■■■■■■■■■■■■■■■	Employee assistance - case files Name-specific files raised regarding employee assistance and personal welfare matters (e.g. hardship relief, welfare counselling, bereavement, travel). <i>Note: Some agencies may need to retain these records longer, (e.g. the Police).</i>	Destroy 7 years after action completed

012.011 Discipline

The activities and actions associated with the discipline process. Includes investigations, charges, formal enquiries, punishment and appeals resolved within the agency or by an external authority.

[See PERSONNEL AND STAFF DEVELOPMENT reference number 012.013 for grievances not relating to a discipline process.]

See PERSONNEL AND STAFF DEVELOPMENT reference number 012.019 for managing diminished performance and other performance issues.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
012.011.001 ■■■■■■■■■■■■■■■■■■■■	Landmark Disciplinary Action Records of disciplinary cases that generate substantial public interest and debate/or result in changes to agency policy or procedures. Includes summary sheets, interview records, investigation notes or assessments, personal statements, final reports and appeals.	Retain as Territory Archives
012.011.002 ■■■■■■■■■■■■■■■■■■■■	Disciplinary Action - Informal Records relating to the management of cases where employees not formally disciplined. Includes records relating to internal enquiries and ongoing disciplinary action. Includes summary sheets, interview records, unsubstantiated investigation notes or assessments, personal statements and final reports.	Destroy 7 years after action completed
012.011.003 ■■■■■■■■■■■■■■■■■■■■	Disciplinary Action - Formal Records relating to the management of cases where employees are formally disciplined. Includes records relating to internal enquiries and ongoing disciplinary action. Includes summary sheets, interview records, investigation notes or assessments, personal statements, final reports and appeals.	Destroy 7 years after action completed unless destruction required earlier as part of an agreement

012.012 Employment Conditions (Continued)

The activities associated with managing the general conditions of employment for personnel.

Entry No.	Description of Records	Disposal Action
012.012.005 ■■■■■■■■■■■■■■■■■■■■	Work diaries - Chief Executive Officer Work diaries of Chief Executive Officers of public authorities which record the occurrence of official duties. Includes electronic diaries. <i>Note: Private appointment diaries not related to recording of official duties are not included.</i>	Destroy 7 years after action completed
012.012.006 ■■■■■■■■■■■■■■■■■■■■	Work diaries - other Work diaries of all employees that are not Chief Executive Officers all other officers. Includes electronic diaries.	Destroy 2 years after action completed

012.013 Grievances

The activities associated with issues or complaints raised by employees in relation to any workplace action or decision which directly affects them and which they perceive to be unfair or unreasonable.

[See PERSONNEL AND STAFF DEVELOPMENT reference number 012.011 for grievances which result in disciplinary action.

See PERSONNEL AND STAFF DEVELOPMENT reference number 012.019 for managing diminished performance and other performance issues.

See INDUSTRIAL RELATIONS reference number 009.003.001 for appeals to external tribunals or other authorities.]

Entry No.	Description of Records	Disposal Action
012.013.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to grievances and complaints generating substantial public interest and debate and resulting in changes to agency policy and procedures.	Retain as Territory Archives

012.013 Grievances (Continued)

The activities associated with issues or complaints raised by employees in relation to any workplace action or decision which directly affects them and which they perceive to be unfair or unreasonable.

[See PERSONNEL AND STAFF DEVELOPMENT reference number 012.011 for grievances which result in disciplinary action.]

See PERSONNEL AND STAFF DEVELOPMENT reference number 012.019 for managing diminished performance and other performance issues.

See INDUSTRIAL RELATIONS reference number 009.003.001 for appeals to external tribunals or other authorities.]

Entry No.	Description of Records	Disposal Action
012.013.002 ■■■■■■■■■■■■■■■■■■■■	Internal grievances and Discrimination Records relating to the internal management of grievance cases and complaints which do not generate substantial public interest and debate or result in changes to agency policy and procedures. Includes incidences of discrimination and sexual harassment. <i>[See STRATEGIC MANAGEMENT for records relating to policy.]</i>	Destroy 7 years after action completed

012.014 Infringements

The activities associated with handling breaches of the agency's rules by staff.

[See PERSONNEL AND STAFF DEVELOPMENT reference number 012.010 for infringement activities that result in counselling.]

See PERSONNEL AND STAFF DEVELOPMENT reference number 012.011 for infringement activities that result in discipline.

See LEGAL SERVICES reference number 011.008 for infringement activities that result in litigation.]

Entry No.	Description of Records	Disposal Action
012.014.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to infringements not resulting in counselling, discipline or litigation.	Destroy 1 year after action completed

012.015 Insurance

The process of taking out premiums to cover loss or damage to property or premises, and to cover customers and staff against injury or death resulting from incidents on the agency's premises or whilst engaged during employment.

[See COMPENSATION reference number 003.007 for records relating to insurance.]

012.016 Leave

The process of administering leave for which staff are eligible. Includes unauthorised leave taken by staff.

[See FINANCIAL MANAGEMENT reference number 006.001 for financial records relating to employee leave payments.]

Entry No.	Description of Records	Disposal Action
012.016.001 ■■■■■■■■■■■■■■■■■■■■	Leave application forms. Includes supporting documentation in accordance with relevant legislation, awards, industrial agreements and agency policies where required (e.g. medical certificates). Records of consolidated leave should be included on the personnel file.	Destroy 7 years after action completed

012.017 Marketing

The process of analysing, creating and selling services. Includes market research, advertising, media releases, promotion, etc.

[See PERSONNEL AND STAFF DEVELOPMENT reference number 002.013 for records relating to marketing employment opportunities to personnel.]

012.018 Meetings

[See STRATEGIC MANAGEMENT - Meetings.]

012.019 Performance Management (Continued)

The process of identifying, evaluating, and developing corporate and employee work performance so that the agency's goals and objectives are achieved and also benefitting employees through recognition, performance feedback, catering for work needs and offering career guidance.

[See PERSONNEL AND STAFF DEVELOPMENT reference number 012.013 for internal grievances not relating to a discipline process.

See PERSONNEL AND STAFF DEVELOPMENT reference number 012.011 for grievances which result in discipline action.

See STRATEGIC MANAGEMENT reference number 015.015 for agency performance management.

See INDUSTRIAL RELATIONS reference number 009.003.001 for appeals to external tribunals or other authorities.]

Entry No.	Description of Records	Disposal Action
012.019.004 ■■■■■■■■■■■■■■■■■■■■	Diminished performance - no disciplinary action Documentation relating to diminished performance cases resulting in no disciplinary action, rescission/termination of appointment or non-approval of salary increment.	Destroy 7 years after action completed
012.019.005 ■■■■■■■■■■■■■■■■■■■■	Records relating to performance improvement.	Destroy 7 years after action completed

012.020 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
012.020.001 ■■■■■■■■■■■■■■■■■■■■	Records of employment plans, succession planning and workforce planning.	Destroy 5 years after superseded

012.021 Policy

[See STRATEGIC MANAGEMENT - Policy.]

012.022 Procedures

[See STRATEGIC MANAGEMENT - Procedures.]

012.025 Reviewing

[See STRATEGIC MANAGEMENT - Reviewing.]

012.026 Salaries

The process of managing the payment of salaries to personnel.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
012.026.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting employees' salaries. Includes taxation declarations, group certificates, payroll deduction authorities, records relating to the recovery of overpayments and employee pay history records.	Destroy 7 years after action completed
012.026.002 ■■■■■■■■■■■■■■■■■■■■	Employment declaration forms.	Destroy 1 year after superseded or 1 year after separation

012.027 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 records checks.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
012.027.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to classifying security levels of staff and volunteers.	Destroy 7 years after separation from the ACTPS
012.027.002 ■■■■■■■■■■■■■■■■■■■■	Records relating to the issue of security passes, keys, etc to staff and volunteers. Includes registers of pass and key holders.	Destroy 1 year after arrangements superseded

012.028 Separations

The activities associated with managing any method of leaving an organisation. Includes resignation, retirement, dismissal, death, redundancy, retrenchment and dispensations of services of temporary personnel.

Entry No.	Description of Records	Disposal Action
012.028.001 ■■■■■■■■■■■■■■■■■■■■	Redundancy case files, i.e. files documenting individual redundancy cases.	Destroy 85 years from date of birth; or 7 years from date of separation/retirement whichever is later; or 7 years after death
012.028.002 ■■■■■■■■■■■■■■■■■■■■	Records relating to the administration of redundancy. Includes documentation on the selection of positions to be abolished and the process of offering redundancy to personnel, including expressions of interest not acted upon.	Destroy 7 years after action completed
012.028.003 ■■■■■■■■■■■■■■■■■■■■	Routine correspondence relating to transfer, resignation, secondment and promotion.	Destroy 2 years after action completed

012.029 Social Clubs

The activities involved in the organisation's relationship with social clubs.

Entry No.	Description of Records	Disposal Action
012.029.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to social clubs including support and/or sponsorship given by the agency.	Destroy 7 years after action completed

012.030 Suggestions

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

Entry No.	Description of Records	Disposal Action
012.030.001 ■■■■■■■■■■■■■■■■■■■■	Suggestions from staff, including staff surveys.	Destroy 2 years after action completed

012.031 Training

The activities associated with all aspects of training (external/internal) available to staff for their development.

[See *PERSONNEL AND STAFF DEVELOPMENT* reference number 012.012 where training records are maintained on employee files.]

Entry No.	Description of Records	Disposal Action
012.031.001 ■■■■■■■■■■■■■■■■■■■■	Training - Workplace Health and Safety (WHS) and hazardous materials Records relating to the training of staff in WHS matters, including hazardous occupations, the handling of dangerous equipment and training of managers on their WHS responsibilities. Includes the register of WHS training arranged by or for the agency.	Destroy 50 years after last action
012.031.002 ■■■■■■■■■■■■■■■■■■■■	External training - attendance Records relating to arrangements for employee attendance at seminars or workshops, etc., conducted by another agency or organisation, including the provision of speakers, follow-up of contacts and administrative assistance.	Destroy 7 years after action completed

013 PROPERTY MANAGEMENT

The function of managing land and working, storage or living space within premises, and of acquiring, constructing, fitting-out, managing, maintaining, protecting and disposing of property. Includes buildings and land allotments owned, rented or leased by the agency. Also includes removal of pollutants and waste.

[See section 4 - EQUIPMENT AND STORES for records relating to equipment and stores.]

See section 6 - FINANCIAL MANAGEMENT for all financial records relating to the procurement (including tendering and contracting), maintenance and disposal of property.]

013.001 Acquisition

The process of gaining ownership or use of property, services and other items required in the conduct of business where there is no tendering or contracting-out process, i.e. where the cost of the acquisition is below the threshold for tendering.

[See FINANCIAL MANAGEMENT for financial records relating to the acquisition process.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
013.001.001 ■■■■■■■■■■■■■■■■■■■■	Non-financial records relating to the acquisition of buildings and structures of historical significance which: <ul style="list-style-type: none">• are listed on a Commonwealth, State or Territory Heritage register;• are listed on the National Trust list;• are listed with the Australian Heritage Commission;• are major or compulsory acquisitions;or• have been subject to controversy or received architectural or design awards. <p><i>[See FINANCIAL MANAGEMENT for financial records relating to the acquisition process.]</i></p>	Retain as Territory Archives
013.001.002 ■■■■■■■■■■■■■■■■■■■■	Deeds and Certificates of Title relating to agency-owned land and buildings.	Transfer after land sold to new owner

013.001 Acquisition (Continued)

The process of gaining ownership or use of property, services and other items required in the conduct of business where there is no tendering or contracting-out process, i.e. where the cost of the acquisition is below the threshold for tendering.

[See *FINANCIAL MANAGEMENT* for financial records relating to the acquisition process.]

Entry No.	Description of Records	Disposal Action
013.001.003 ■■■■■■■■■■■■■■■■■■■■	Non-financial records relating to the acquisition of capital assets not relating to the acquisition of buildings and structures of historical significance which: <ul style="list-style-type: none">• are listed on a Commonwealth, State or Territory Heritage register;• are listed on the National Trust list;• are listed with the Australian Heritage Commission;• are major or compulsory acquisitions; or <ul style="list-style-type: none">• have been subject to controversy or received architectural or design awards.	Destroy 7 years after disposal of asset
	[See <i>FINANCIAL MANAGEMENT</i> for financial records relating to the acquisition process.]	
013.001.004 ■■■■■■■■■■■■■■■■■■■■	Maps, charts and plans Including all plans and charts which relate to tenure records relating to capital assets required for administrative purposes of the agency (excluding tenure of land which reflects a major functional activity of the agency, such as Natural Resources and Water, Main Roads).	Destroy 5 years after disposal of property or expiration of lease
013.001.005 ■■■■■■■■■■■■■■■■■■■■	Routine correspondence records relating to land matters.	Destroy 2 years after disposal of property or expiration of lease

013.002 Arrangements

The arrangements made for the usage of facilities and space.

Entry No.	Description of Records	Disposal Action
013.002.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to arrangements that establish and document the usage of facilities, equipment and space. Includes memoranda of understanding.	Destroy 8 years after action completed
013.002.002 ■■■■■■■■■■■■■■■■■■■■	Records relating to routine usage of properties, (e.g. log books, booking registers, running sheets, parking arrangements, etc.).	Destroy 1 year after action completed

013.003 Committees

[See BOARDS AND COMMITTEES.]

013.004 Compliance

[For compliance in relation to Information Management, such as Right to Information, Freedom of Information or Privacy legislation - see INFORMATION MANAGEMENT - Compliance.]

For compliance in relation to Financial Management - see FINANCIAL MANAGEMENT - Compliance.]

For compliance with other mandatory or optional accountability, legal, regulatory or quality standards - See STRATEGIC MANAGEMENT - Compliance.]

For compliance in relation to Workplace Health and Safety - see WORKPLACE HEALTH AND SAFETY - Compliance.]

013.008 Disposal

The process of disposing of property no longer required by the agency, by sale, transfer, auction, donation or destruction.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
013.008.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to the sale, transfer or demolition of buildings and structures of historical significance which are listed in the heritage register or which are included in the National Trust list or listed with the Australian Heritage Commission; or which have been subject to controversy or received architectural or design awards.	Retain as Territory Archives
013.008.002 ■■■■■■■■■■■■■■■■■■■■	Records relating to the sale, transfer or demolition of buildings or structures not listed in the heritage register; or which are not included in the National Trust list or not listed with the Australian Heritage Commission; or which have not been subject to controversy or received architectural or design awards.	Destroy 7 years after disposal of building or structure

013.009 Fit outs

The process of refurbishing a workplace that does not affect the overall structure of the property. Includes painting, floor coverings, furnishings, furniture, partitions and wall fittings and equipment.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
013.009.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to the management of fit outs, installations, refurbishment and “make good” activities in agency premises that contain hazardous material, such as asbestos.	Destroy 100 years after action completed
013.009.002 ■■■■■■■■■■■■■■■■■■■■	Records relating to the management of fit-outs, installations, refurbishment and "make good" activities in agency premises that do not contain hazardous materials such as asbestos.	Destroy 7 years after action completed

013.010 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
013.010.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to inspections of agency owned or leased property that contains hazardous material, such as asbestos.	Destroy 100 years after action completed
013.010.002 ■■■■■■■■■■■■■■■■■■■■	Records relating to inspections of agency owned or leased property that does not contain hazardous material, such as asbestos.	Destroy 7 years after action completed

013.011 Installation

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

Entry No.	Description of Records	Disposal Action
013.011.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to the installation of equipment in agency premises requiring the disturbance of ceilings, walls, wet areas or floor coverings (including cabling and ducting for air conditioning, technology or telecommunications equipment) that contains hazardous material, such as asbestos. Includes installation in workshops, plant rooms, storage areas, etc. and records relating to the modification and installation of utilities, (e.g. air conditioning, ventilation, lighting).	Destroy 100 years after action completed
013.011.002 ■■■■■■■■■■■■■■■■■■■■	Records relating to the installation of equipment in agency premises that does not disturb fit-out and contains hazardous material, such as asbestos.	Destroy 100 years after action completed

013.011 Installation (Continued)

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

Entry No.	Description of Records	Disposal Action
013.011.003 ■■■■■■■■■■■■■■■■■■■■	Records relating to the installation of equipment in agency premises requiring the disturbance of ceilings, walls, wet areas or floor coverings (including cabling and ducting for air conditioning, technology or telecommunications equipment) that do not contain hazardous material, such as asbestos. Includes installation in workshops, plant rooms, storage areas, etc. and records relating to the modification and installation of utilities, (e.g. air conditioning, ventilation, lighting).	Destroy 7 years after action completed
013.011.004 ■■■■■■■■■■■■■■■■■■■■	Records relating to the installation of equipment in agency premises that does not disturb fit-out and does not contain hazardous material, such as asbestos.	Destroy 7 years after action completed

013.012 Insurance

The process of taking out insurance policies to cover loss or damage to property.

Entry No.	Description of Records	Disposal Action
013.012.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to the management of insurance policies covering loss or damage to property, including public liability insurance.	Destroy 7 years after term of insurance policy expires
013.012.002 ■■■■■■■■■■■■■■■■■■■■	Records documenting insurance claims.	Destroy 7 years after term of insurance policy expires

013.013 Leasing

The activities involved in leasing accommodation, premises or real estate from another organisation.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
013.013.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to leasing of premises, including land, under seal. Includes special leases, licences, tenancy and permissive occupancy agreements, contracts, agreements and conditions, documents of investigations and negotiations relating to leased premises.	Destroy 21 years after action completed
013.013.002 ■■■■■■■■■■■■■■■■■■■■	Records relating to leasing of premises, including land, not under seal. Includes special leases, licences, tenancy and permissive occupancy agreements, contracts, agreements and conditions, documents of investigations and negotiations relating to leased premises.	Destroy 8 years after action completed

013.014 Leasing Out

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
013.014.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to leasing-out arrangements under seal (i.e. where the agency is the lessor), including leased residential accommodation. Includes negotiations and individual signed leases.	Destroy 21 years after action completed
013.014.002 ■■■■■■■■■■■■■■■■■■■■	Records relating to leasing-out arrangements not under seal (i.e. where the agency is the lessor), including leased residential accommodation. Includes negotiations and individual signed leases.	Destroy 8 years after action completed
013.014.003 ■■■■■■■■■■■■■■■■■■■■	Records relating to the tenancy and vacation of residential houses allocated to personnel. Includes correspondence in relation to rent and maintenance.	Destroy 1 year after action completed

[See FINANCIAL MANAGEMENT for records relating to Fringe Benefits Tax.]

013.018 Planning

The process of formulating ways in which objectives can be achieved.

Entry No.	Description of Records	Disposal Action
013.018.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to strategic plans for buildings, structures and environs that have been heritage listed, received a prestigious State, National or International design awards, are important local or regional landmarks, were precedent setting, involve specialised buildings or involved in major public interest or controversy.	Retain as Territory Archives
013.018.002 ■■■■■■■■■■■■■■■■■■■■	Records relating to planning and feasibility studies for the acquisition of capital assets.	Destroy 7 years after action completed
013.018.003 ■■■■■■■■■■■■■■■■■■■■	Records relating to strategic planning for buildings, structures and environs that have not been heritage listed, received a prestigious State, National or International design awards, are important local or regional landmarks, were precedent setting, involve specialised buildings or involved in major public interest or controversy.	Destroy 7 years after action completed
013.018.004 ■■■■■■■■■■■■■■■■■■■■	Physical asset maintenance plan.	Destroy 7 years after action completed
013.018.005 ■■■■■■■■■■■■■■■■■■■■	Records relating to future planning and development in relation to premises.	Destroy 3 years after action completed
013.018.006 ■■■■■■■■■■■■■■■■■■■■	Records relating to the development of the physical asset strategic plan.	Destroy 3 years after action completed
013.018.007 ■■■■■■■■■■■■■■■■■■■■	Routine correspondence relating to the provision of recreation areas for personnel and visitors.	Destroy 2 years after action completed
013.018.008 ■■■■■■■■■■■■■■■■■■■■	Requests from other agencies for temporary use of agency premises.	Destroy 2 years after action completed
013.018.009 ■■■■■■■■■■■■■■■■■■■■	Records relating to the use of building space and land, including arrangements for the accommodation of conferences and meetings, vehicle parking, allocation of office space, etc.	Destroy 1 year after action completed

013.023 Security (Continued)

Records relating to the security of premises. Includes protecting property from accidental or intentional damage as well as from unauthorised access.

Entry No.	Description of Records	Disposal Action
013.023.006 ■■■■■■■■■■■■■■■■■■■■	Records relating to minor breaches of security or incidents not resulting in the laying of charges nor where sabotage is suspected.	Destroy 5 years after action completed
013.023.007 ■■■■■■■■■■■■■■■■■■■■	Records relating to arrangements for fire safety and other emergency services, including fire warden training, safety certification, maintenance and renovations for fire prevention and access to water supplies.	Destroy 5 years after arrangements have been superseded
013.023.008 ■■■■■■■■■■■■■■■■■■■■	Routine security arrangements, including issuing and registration of security passes, security reports, access, staff rosters.	Destroy 5 years after arrangements have ceased or been superseded
013.023.009 ■■■■■■■■■■■■■■■■■■■■	Surveillance video tapes used for monitoring security of premises which are not required for investigations.	Destroy after tape has been verified by agency that it has no further administrative use

014.004 Distribution

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

Entry No.	Description of Records	Disposal Action
014.004.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to the distribution of agency publications, including inventories.	Destroy 5 years after action completed

014.005 Drafting

The activities associated with preparing preliminary drafts or outlines of reports, articles, etc prior to publication.

Entry No.	Description of Records	Disposal Action
014.005.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting the drafting process of agency publications (including annual reports).	Destroy 3 years after action completed

014.006 Enquiries

[See INFORMATION MANAGEMENT - Enquiries.]

014.007 Intellectual Property

[See INFORMATION MANAGEMENT - Intellectual Property.]

014.008 Joint Ventures

[See STRATEGIC MANAGEMENT - Joint Ventures.]

014.009 Marketing

[See COMMUNITY RELATIONS - Marketing.]

014.010 Meetings

[See STRATEGIC MANAGEMENT - Meetings.]

014.011 Planning

[See STRATEGIC MANAGEMENT - Planning.]

014.012 Policy

[See STRATEGIC MANAGEMENT - Policy.]

014.013 Production

The process involved in turning material into a publication. Includes design, layout, typesetting, desktop publishing, printing, binding etc.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
014.013.001 ■■■■■■■■■■■■■■■■■■■■	Records that demonstrate the structure of the organisation's websites that are created for the use of the general public and agency clients. Includes records of substantial changes made (e.g. site maps).	Retain as Territory Archives
014.013.002 ■■■■■■■■■■■■■■■■■■■■	Records that demonstrate the structure and organisation of websites that are created for the use of internal agency employees. Includes records of substantial changes made.	Destroy 5 years after action completed
014.013.003 ■■■■■■■■■■■■■■■■■■■■	External publications - master Publications and material published by the agency to the general public required for Legal Deposit. Includes Annual Reports, newsletters, pamphlets, magazines, journals, maps, plans, charts; also non-print material such as audio tapes, video recordings, films, disks, microfilms or microfiche.	One copy to be deposited with the relevant collecting library in accordance with legislation; and one copy to be deposited with the National Library of Australia in accordance with the Copyright Act 1968.
014.013.004 ■■■■■■■■■■■■■■■■■■■■	External publications - agency contributions Significant articles contributed to journals, magazines, newspapers, etc., about the agency or functions.	Destroy 10 years after action completed
014.013.005 ■■■■■■■■■■■■■■■■■■■■	Arrangements for design, art work, printing, copying, binding and similar, including file copies of relevant quotes and orders, etc.	Destroy 5 years after action completed
014.013.006 ■■■■■■■■■■■■■■■■■■■■	Internal publications - master Master copy of internal agency publications.	Destroy 5 years after action completed
014.013.007 ■■■■■■■■■■■■■■■■■■■■	Galley proofs, bromides, camera-ready copies, minor art work, mock-ups, etc.	Destroy 1 year after action completed
014.013.008 ■■■■■■■■■■■■■■■■■■■■	External and internal publications - agency copies Copies of the agency's external and internal publications.	Destroy 1 year after action completed

014.014 Public Reaction

[See COMMUNITY RELATIONS - Public Reaction.]

014.015 Reporting

[See STRATEGIC MANAGEMENT - Reporting.]

014.016 Research

[See STRATEGIC MANAGEMENT - Research.]

014.017 Reviewing

[See STRATEGIC MANAGEMENT - Reviewing.]

014.018 Tendering

[See FINANCIAL MANAGEMENT - Tendering.]

015.003 Authorisation

[See *PERSONNEL - Authorisation.*]

015.004 Committees

[See *BOARDS AND COMMITTEES.*]

015.005 Compliance

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
015.005.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to serious breaches of compliance requirements.	Retain as Territory Archives
015.005.002 ■■■■■■■■■■■■■■■■■■■■	Code of conduct - development and master Records relating to the development of the agency's code of conduct. Includes the master/final approved copy.	Destroy 10 years after action completed
015.005.003 ■■■■■■■■■■■■■■■■■■■■	Records relating to agency compliance with mandatory standards or statutory requirements. Includes proof of compliance.	Destroy 5 years after action completed
015.005.004 ■■■■■■■■■■■■■■■■■■■■	Records relating to minor breaches of compliance requirements.	Destroy 5 years after action completed

015.006 Contracting Out

[See *FINANCIAL MANAGEMENT - Contracting Out.*]

015.007 Corruption

The process that allows the disclosure of corruption, and strategies for the prevention of corruption. Includes involvement in corruption prevention projects undertaken by external authorities and the education of staff about corruption prevention disclosures.

[See *LEGAL SERVICES* reference number 011.008 for records of public interest disclosures.]

Entry No.	Description of Records	Disposal Action
015.007.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to the development and implementation of strategies for the prevention of corruption within the agency.	Retain as Territory Archives
015.007.002 ■■■■■■■■■■■■■■■■■■■■	<p>Corruption - significant cases</p> <p>Records relating to significant cases of financial misappropriation, fraud, theft or negligence. Factors which may determine significance include cases which:</p> <ul style="list-style-type: none">• have significant public interest;• identify significant systemic issues resulting in major changes to the structure, policies and/or procedures of the agency;• have been investigated as a case of whistleblower or public interest disclosure and are found to have substance;• result in the dismissal of an employee• proceed to a Royal Commission or Parliamentary Inquiry; or• result in changes to legislation or the implementation of new corruption prevention systems within the agency. <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none">• investigation records;• records of liaison with external agencies;• reports. <p>[See <i>FINANCIAL MANAGEMENT</i> reference number 006.001.010 for records relating to the identification and management of material losses.</p> <p>See <i>PERSONNEL AND STAFF DEVELOPMENT</i> reference number 012.011.0 for discipline records relating to employees involved in cases of corruption.]</p>	Retain as Territory Archives

015.009 Disaster Recovery

Entry No.	Description of Records	Disposal Action
015.009.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to the implementation of disaster recovery plans after disasters, such as fire, flood, etc.	Retain as Territory Archives
015.009.002 ■■■■■■■■■■■■■■■■■■■■	Disaster recovery plan - development and final plan Records relating to the development and implementation of the agency's disaster recovery plans, such as disaster preparedness and recovery plans. Includes the final agency disaster recovery plan and procedures including those for protection and reestablishment of data in case of a disaster.	Destroy 3 years after action completed
015.009.003 ■■■■■■■■■■■■■■■■■■■■	Records relating to agency contribution to essential services contingency plans.	Destroy 2 years after plan revoked or action completed

015.010 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 ongoing monitoring.

Entry No.	Description of Records	Disposal Action
015.010.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to program evaluation.	Destroy 7 years after action completed

015.011 Grant Funding

[See FINANCIAL MANAGEMENT - Grant Funding.]

015.012 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 monitoring to ensure that the implementation goes according to schedule and that standards are met.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
015.012.001 ■■■■■■■■■■■■■■■■■■■■	Government-wide policies Records relating to the implementation of government-wide policies concerning major programs and initiatives such as Anti-discrimination, Freedom of Information, Judicial Review, Equal Employment Opportunity, Corporatisation, Privatisation, Performance Planning and Review, Waste Management, GST, Environment, etc.	Destroy 10 years after action completed
015.012.002 ■■■■■■■■■■■■■■■■■■■■	Standards Records related to the implementation of practices and procedures based on standards.	Destroy 3 years after action completed

015.013 Legislation

The process of making laws. Includes Acts, Bills and subsections to Acts, and amendments to each.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
015.013.001 ■■■■■■■■■■■■■■■■■■■■	Proposals for new legislation and amendments to existing legislation administered by agency (includes Acts, Regulations and Ordinances), together with summary records of consultations and discussions, explanatory notes, drafts which document significant amendments, submissions and supporting documentation.	Retain as Territory Archives
015.013.002 ■■■■■■■■■■■■■■■■■■■■	Working papers for Minister's second reading speech, explanatory memorandum, etc.	Retain as Territory Archives
015.013.003 ■■■■■■■■■■■■■■■■■■■■	Records documenting the development of Regulatory Impact Statements that directly relate to an agency's functions.	Retain as Territory Archives

015.013 Legislation (Continued)

The process of making laws. Includes Acts, Bills and subsections to Acts, and amendments to each.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
015.013.004 ■■■■■■■■■■■■■■■■■■■■	Records relating to the development of legislation and regulations concerning the operations and functions of the agency. Includes drafting instructions, draft legislation, regulation and amendments, submissions to the Minister, reports, comments received from other agencies and any other papers containing substantial input from the agency.	Retain as Territory Archives
015.013.005 ■■■■■■■■■■■■■■■■■■■■	Records documenting detailed responses or submissions to requests for comment on legislation other than that directly relating to the agency's function.	Destroy 10 years after action completed
015.013.006 ■■■■■■■■■■■■■■■■■■■■	Records relating to the development of legislation not directly related to agency operations. Includes comments by the agency documenting a minor or nil response to a request for comment on legislation other than that directly relating to the agency's functions.	Destroy 2 years after action completed
015.013.007 ■■■■■■■■■■■■■■■■■■■■	Records relating to legislation related to the agency's operations, but formulated by other agencies for which the agency provides advice or makes submissions.	Destroy 7 years after action completed
015.013.008 ■■■■■■■■■■■■■■■■■■■■	Copies of legislation kept for reference purposes.	Destroy 3 months after action completed

015.014 Meetings

The activities associated with gatherings held to formulate, discuss, update, or resolve issues.

Entry No.	Description of Records	Disposal Action
015.014.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to non-committee based, high level meetings that focus on the core functions of the agency, discuss issues that will have a major effect on the agency and highlight changes to structure and operations; or issues affecting staff or volunteer relationships; or issues affecting the agency relationship with the public and/or its clients. Includes issues of major public interest, controversy or have resulted in change to policies or procedures.	Retain as Territory Archives
015.014.002 ■■■■■■■■■■■■■■■■■■■■	Records relating to routine non-committee based meetings.	Destroy 5 years after action completed
015.014.003 ■■■■■■■■■■■■■■■■■■■■	Records relating to administrative arrangements for meetings.	Destroy 2 years after action completed

015.015 Performance Management

The process of identifying, evaluating and developing corporate and employee and work performance so that the agency's goals and objectives are achieved and also benefiting employees through recognition, performance feedback, catering for work needs and offering career guidance.

[See *PERSONNEL AND STAFF DEVELOPMENT* reference number 012.019 for performance management of individual employees.]

Entry No.	Description of Records	Disposal Action
015.015.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to summary reporting of agency performance management systems, training and development analysis and the implementation of performance management programs in the agency.	Destroy 5 years after action completed

015.018 Procedures

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

Entry No.	Description of Records	Disposal Action
015.018.001 ■■■■■■■■■■■■■■■■■■■■	Procedures - core functions - final Operational procedures related to the administration of core functions.	Retain as Territory Archives
015.018.002 ■■■■■■■■■■■■■■■■■■■■	Procedures - financial procedures and administrative functions - final Final version of approved internal procedures, instructions, handbooks, guidelines and circulars relating to financial management and general administrative functions. Includes financial management practice manuals prepared in response to a statutory requirement including amendments, variations and alterations. Records may include, but are not limited to: <ul style="list-style-type: none">• financial management practice manuals;• procurement manuals;• asset disposal manuals. Includes documented business rules for financial management systems.	Destroy 7 years after action completed
015.018.003 ■■■■■■■■■■■■■■■■■■■■	Procedures - development Records relating to the development of procedures for the administration of either core or administrative functions as well as the development of internal procedures, instructions, handbooks, circulars and manuals relating to financial management.	Destroy 5 years after action completed
015.018.004 ■■■■■■■■■■■■■■■■■■■■	Quality procedures Records relating to quality management as described in the Australian Standards 9000 series. Includes the Quality Manual.	Destroy 3 years after action completed

015.018 Procedures (Continued)

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

Entry No.	Description of Records	Disposal Action
015.018.005 ■■■■■■■■■■■■■■■■■■■■	<p>External procedures</p> <p>Records relating to procedures, policies, circulars and instructions provided to the public authority from an external source with which they must comply.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • financial and human resources requirements; • circulars issued by the Auditor-General; • circulars issued by the Treasurer. <p>Excludes Ministerial directions given to the public authority.</p>	<p>Destroy 1 year after action completed</p>

015.019 Reporting

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and to provide formal statements or findings of the results of their examination or investigation.

Entry No.	Description of Records	Disposal Action
015.019.001 ■■■■■■■■■■■■■■■■■■■■	<p>Records that contain strategic information not held elsewhere or that has created major public interest or controversy. Includes major drafts and research records.</p>	<p>Retain as Territory Archives</p>
015.019.002 ■■■■■■■■■■■■■■■■■■■■	<p>Formal reports to external agencies required as a statutory obligation, such as annual or other reports required by central control agencies on a regular basis, (e.g. reports relating to budget estimates, WHS, EEO management plan, financial statements, FOI, human resources, etc.). Includes major drafts and research records.</p>	<p>Destroy 7 years after action completed</p>

015.019 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), and to provide formal statements or findings of the results of their examination or investigation.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
015.019.003 ■■■■■■■■■■■■■■■■■■■■	Periodic internal or system reports on all general administrative matters used to monitor and document recurring activities. Includes cumulative and summary reports, work progress, backlog and production reports, etc.	Destroy 2 years after action completed
015.019.004 ■■■■■■■■■■■■■■■■■■■■	Responses to surveys requested by other agencies, including central control agencies.	Destroy 2 years after action completed

015.020 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 the development of projects, standards, guidelines, etc. and the business activities of the agency in general. Includes following up enquiries relating to agency programs, projects, working papers, literature searches, etc.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
015.020.001 ■■■■■■■■■■■■■■■■■■■■	Landmark Research Records of major new (unique) research projects relating to agency-wide issues, critical agency functions or strategic issues. These records contain information that is unique or difficult to replicate. Includes responses to legislative audits, program audits, executive orders or court orders.	Retain as Territory Archives
015.020.002 ■■■■■■■■■■■■■■■■■■■■	Detailed Research Records relating to detailed research conducted in the agency, such as research into agency business functions and processes in order to form an understanding of what the agency does and how it documents its activities and/or determines future needs. This can occur in response to enquiries, or for background material for projects, etc. Includes functional analysis.	Destroy 7 years after action completed
015.020.003 ■■■■■■■■■■■■■■■■■■■■	Minor Research Records of minor research projects where the information involved is not unique or difficult to replicate.	Destroy 5 years after action completed

015.0021 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
015.021.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to major (landmark) reviews of functions and activities that have created major public interest or controversy or have resulted in changes in policy or procedures.	Retain as Territory Archives
015.021.002 ■■■■■■■■■■■■■■■■■■■■	Records relating to other (non - landmark) reviews of functions and activities that have not created major public interest or controversy or have not resulted in changes in policy or procedures. <i>[See FINANCIAL MANAGEMENT for records of financial audits.]</i>	Destroy 7 years after action completed

015.022 Risk Management

The process involving the identification of risks, the likelihood and consequences of those risks and the implementation of appropriate practices and procedures to treat the risks. Includes financial risk.

[See COMPENSATION for records relating to insurance.]

Entry No.	Description of Records	Disposal Action
015.022.001 ■■■■■■■■■■■■■■■■■■■■	Risk Management Plan/strategy - final Master agency-wide Risk Management Plan/Strategy. Includes the master copy of agency financial management risk management plans.	Retain as Territory Archives
015.022.002 ■■■■■■■■■■■■■■■■■■■■	Records relating to hazard identification, risk assessment and risk management of foreseeable hazards in agency workplaces (e.g. dangerous chemicals, air-borne asbestos, radiation, etc.). Includes risk assessment reports, surveillance and monitoring of workplace environments and measures taken to prevent or minimise exposure Includes measures taken to eliminate or control risks. Also includes maintenance and distribution of hazardous substances notices and labels, and material safety data sheets.	Destroy 100 years after action completed

015.022 Risk Management (Continued)

The process involving the identification of risks, the likelihood and consequences of those risks and the implementation of appropriate practices and procedures to treat the risks. Includes financial risk.

[See COMPENSATION for records relating to insurance.]

Entry No.	Description of Records	Disposal Action
015.022.003 ■■■■■■■■■■■■■■■■■■■■	<p>Risk assessment</p> <p>Records relating to the identification, assessment, monitoring and review of risk. Includes the identification and assessment of financial management risks including the implementation of practices and processes to reduce risk.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • results; • recommendations; • internal control measures; • treatment schedules; • action plans; • implementation plans. 	Destroy 7 years after action completed
015.022.004 ■■■■■■■■■■■■■■■■■■■■	<p>Risk register</p> <p>Entries in the register of agency-wide risks. Includes the financial management risk register.</p> <p><i>[See FINANCIAL MANAGEMENT for records relating to financial risks.]</i></p>	Destroy 7 years after action completed
015.022.005 ■■■■■■■■■■■■■■■■■■■■	Records relating to the development of risk management plans in the agency.	Destroy 5 years after action completed

015.023 Standards

The process of developing standards to enhance the quality and efficiency of the organisation.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
015.023.001 ■■■■■■■■■■■■■■■■■■■■	Standards - final Master copy of official standards developed by the agency.	Retain as Territory Archives
015.023.002 ■■■■■■■■■■■■■■■■■■■■	Records related to the development of standards, guidelines and advisory products issued with substantial input from the agency for implementation across Government.	Retain as Territory Archives
015.023.003 ■■■■■■■■■■■■■■■■■■■■	Records related to the development of standards, guidelines and advisory products issued with minor input from the agency for implementation across Government.	Destroy 2 years after action completed
015.023.004 ■■■■■■■■■■■■■■■■■■■■	Standards development Records related to the development of standards, guidelines and advisory products for core functional activities.	Destroy 20 years after action completed
015.023.005 ■■■■■■■■■■■■■■■■■■■■	Records relating to the implementation of practices in the agency in accordance with an industry or agency standard, code of practice, etc.	Destroy 2 years after action completed

016 TECHNOLOGY AND TELECOMMUNICATIONS

Records relating to the acquisition or development, implementation, maintenance, use and disposal of information and communications technology and systems.

016.001 Acquisition

The process of gaining ownership or use of property, services and other items required in the conduct of business where there is no tendering or contracting-out process, i.e. where the cost of the acquisition is below the threshold for tendering.

[See FINANCIAL MANAGEMENT for financial records relating to the acquisition process.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
016.001.001 ■■■■■■■■■■■■■■■■■■■■	Non-financial records relating to the acquisition of information and communications technology and systems, including planning, selection, specifications, systems documentation and purchase. Includes software licences and up-grade agreements. <i>[See FINANCIAL MANAGEMENT for financial records relating to the acquisition process.]</i>	Destroy 5 years after system is superseded or decommissioned
016.001.002 ■■■■■■■■■■■■■■■■■■■■	Records relating to research into acquisition or modifications of systems and applications not proceeded with.	Destroy 2 years after action completed

016.002 Advice

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
016.002.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to the provision of high level advice on technology and telecommunications, (e.g. to the Minister or Chief Executive), relating to substantive aspects of agency policies, procedures, functions, obligations and liabilities.	Retain as Territory Archives
016.002.002 ■■■■■■■■■■■■■■■■■■■■	Records relating to advice concerning routine operational matters, excluding legal advice.	Destroy 8 years after action completed

016.003 Application Development

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
016.003.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting the development or modification of specific information and communications technology and systems, including testing documentation.	Destroy 7 years after system is superseded or decommissioned
016.003.002 ■■■■■■■■■■■■■■■■■■■■	Records relating to the development of databases and usage protocols.	Destroy 7 years after system closed or superseded, or data migrated to successor system

016.004 Application Management

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
016.004.001 ■■■■■■■■■■■■■■■■■■■■	Data logging records for on-line and internet resources that provide information or advice which may have possible legal significance (e.g. system access logs, internet access logs, system change logs and audit trails, which show a history of access or change to data).	Destroy 7 years after action completed
016.004.002 ■■■■■■■■■■■■■■■■■■■■	Records relating to the maintenance of data integrity, including data logging records.	Destroy 2 years after action completed
016.004.003 ■■■■■■■■■■■■■■■■■■■■	Records relating to the ongoing management of databases including routine reports monitoring usage.	Destroy 2 years after action completed
016.004.004 ■■■■■■■■■■■■■■■■■■■■	Records relating to the migration of information and communications systems and data from one platform to another.	Destroy 1 generation after migration

016.005 Audit

[See STRATEGIC MANAGEMENT - Audit.]

016.006 Committees

[See BOARDS AND COMMITTEES.]

016.007 Compliance

[For compliance in relation to Information Management, such as Right to Information, Freedom of Information or Privacy legislation - see INFORMATION MANAGEMENT - Compliance.

For compliance in relation to Financial Management - see FINANCIAL MANAGEMENT - Compliance.

For compliance with other mandatory or optional accountability, legal, regulatory or quality standards - See STRATEGIC MANAGEMENT - Compliance.

For compliance in relation to Workplace Health and Safety - see WORKPLACE HEALTH AND SAFETY - Compliance.]

016.008 Contracting Out

[See FINANCIAL MANAGEMENT - Contracting Out.]

016.009 Control

The activities associated with creating, maintaining and evaluating control mechanisms.

Entry No.	Description of Records	Disposal Action
016.009.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to control of technology and telecommunications systems supporting general administrative functions.	Destroy 7 years after system closed or superseded, or data migrated to successor system

016.010 Customer Service

[See INFORMATION MANAGEMENT - Customer Service.]

016.011 Disposal

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

Entry No.	Description of Records	Disposal Action
016.011.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to disposal of technology and telecommunications systems, applications and equipment. Includes salvage of hardware components.	Destroy 5 years after action completed

016.012 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 ongoing monitoring.

Entry No.	Description of Records	Disposal Action
016.012.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to evaluation of information and communications technology and systems.	Destroy 7 years after action completed

016.013 Implementation

[See INFORMATION MANAGEMENT - Implementation.]

Entry No.	Description of Records	Disposal Action
016.013.001 ■■■■■■■■■■■■■■■■■■■■	Non key documents involved in the implementation of technology and telecommunications systems. Such as, project management of implementation, communication, training etc. Includes agency-wide and individual deployments.	Destroy 7 years after action completed
016.013.002 ■■■■■■■■■■■■■■■■■■■■	Key documents involved in the implementation of technology and telecommunications systems. Such as, document configuration decisions, final implementation reports, implementation plans, database schemas etc. Includes agency-wide and individual deployments.	Destroy after system closed or superseded

016.014 Inspections

[See INFORMATION MANAGEMENT - Inspections.]

016.015 Installation

[See INFORMATION MANAGEMENT - Implementation.]

016.016 Intellectual Property

[See INFORMATION MANAGEMENT - Intellectual Property.]

016.022 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
016.022.001 ■■■■■■■■■■■■■■■■■■■■	Operation manuals for information and communications technology hardware and software.	Destroy 1 year after the life of the system
016.022.002 ■■■■■■■■■■■■■■■■■■■■	Records relating to routine operation of information and communications technology, including administration of user access/permissions.	Destroy 2 years after action completed

016.023 Planning

[See STRATEGIC MANAGEMENT - Planning.]

016.024 Policy

[See STRATEGIC MANAGEMENT - Policy.]

016.025 Privacy

[See TECHNOLOGY AND TELECOMMUNICATIONS - Security.]

016.026 Procedures

[See STRATEGIC MANAGEMENT - Procedures.]

016.027 Reporting

[See STRATEGIC MANAGEMENT - Reporting.]

016.028 Research

[See STRATEGIC MANAGEMENT - Research.]

016.029 Reviewing

[See STRATEGIC MANAGEMENT - Reviewing.]

016.030 Security

The measures taken to protect equipment or information from accidental or intentional damage or from unauthorised access. Includes responses to any security breaches.

Entry No.	Description of Records	Disposal Action
016.030.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to serious breaches of security, including unauthorised access to a computer network, alteration of data, etc.	Retain as Territory Archives
016.030.002 ■■■■■■■■■■■■■■■■■■■■	Records relating to the monitoring of internet users' serious breaches of access rights, including system logs.	Destroy 7 years after action completed
016.030.003 ■■■■■■■■■■■■■■■■■■■■	Records relating to the implementation of information privacy controls in agency information and communication technology and systems.	Destroy 5 years after superseded
016.030.004 ■■■■■■■■■■■■■■■■■■■■	Records relating to security of information and communication technology and systems.	Destroy 2 years after change or disposal of system
016.030.005 ■■■■■■■■■■■■■■■■■■■■	Records relating to minor breaches of security, including unauthorised access to a computer network, alteration of data, etc.	Destroy 5 years after action completed
	<i>[See PERSONNEL AND STAFF DEVELOPMENT reference number 012.011.0 for employee discipline records.]</i>	
016.030.006 ■■■■■■■■■■■■■■■■■■■■	Records relating to the monitoring of internet users' minor breaches of access rights, including system logs.	Destroy 1 year after action completed

016.031 Standards

[See STRATEGIC MANAGEMENT - Standards.]

016.032 Tendering

[See FINANCIAL MANAGEMENT - Tendering.]

017.003 Committees

[See *BOARDS AND COMMITTEES*.]

017.004 Compliance

The activities associated with complying with mandatory or optional accountability, fiscal, regulatory or quality standards or requirements to which the agency is subject in relation to WHS.

Entry No.	Description of Records	Disposal Action
017.004.001 ■■■■■■■■■■■■■■■■■■■■	Register of hazardous substances at agency workplaces, (e.g. asbestos register).	Retain as Territory Archives
017.004.002 ■■■■■■■■■■■■■■■■■■■■	Records documenting breaches of WHS compliance requirements.	Retain as Territory Archives
017.004.003 ■■■■■■■■■■■■■■■■■■■■	Radiation exposure monitoring Records relating to directions received from health authorities in accordance with legislation and standards regarding the keeping of radiation exposure monitoring records.	Retain as Territory Archives
017.004.004 ■■■■■■■■■■■■■■■■■■■■	Major hazards - use and presence Records relating to the use, or presence, of major hazards, such as asbestos, lead and radiation in buildings or other infrastructure.	Destroy 100 years after action completed
017.004.005 ■■■■■■■■■■■■■■■■■■■■	Major hazards - acquisition, neutralisation and removal Records relating to neutralisation and removal of major hazards, such as asbestos from buildings, plant and workplaces and the acquisition, storage and disposal of radioactive substances and radiation equipment (including X-ray equipment) in accordance with legislation and standards.	Destroy 100 years after action completed
017.004.006 ■■■■■■■■■■■■■■■■■■■■	Major hazards - staff exposure Registers and files maintained on staff and contractors which document exposure or potential exposure to major hazards, such as asbestos, lead and radiation.	Destroy 100 years after action completed

017.004 Compliance (Continued)

The activities associated with complying with mandatory or optional accountability, fiscal, regulatory or quality standards or requirements to which the agency is subject in relation to WHS.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
017.004.007 ■■■■■■■■■■■■■■■■■■■■	Radiation Safety and Protection Plan Approved Radiation Safety and Protection Plan endorsed by health authorities in accordance with legislation and standards. Includes any applications by the agency for amendments and notices of decisions.	Destroy 100 years after action completed
017.004.008 ■■■■■■■■■■■■■■■■■■■■	Radioactive substances - licensing and certification Records relating to licences and certificates of compliance held by the agency in accordance with the legislation and standards.	Destroy 100 years after action completed
017.004.009 ■■■■■■■■■■■■■■■■■■■■	Radioactive substances - quality and safety Records relating to the monitoring of quality and safety procedures against the agency's Radiation Safety and Protection Plan. Includes outcomes of safety audits, radiation level monitoring, safety device checks and notifications.	Destroy 100 years after action completed
017.004.10 ■■■■■■■■■■■■■■■■■■■■	Records relating to agency compliance with mandatory standards or statutory requirements for hazardous materials. Includes proof of compliance and Material Safety Data Sheets (MSDS).	Destroy 100 years after action completed
017.004.11 ■■■■■■■■■■■■■■■■■■■■	Records relating to the provision of health and safety facilities and equipment and the appointment of first aid officers, fire wardens and safety officers.	Destroy 7 years after action completed

017.005 Contracting Out

[See FINANCIAL MANAGEMENT - Contracting Out.]

017.006 Health Promotion (Continued)

The process of promotion by the agency of programs which encourage the establishment and maintenance of a healthy work environment.

Entry No.	Description of Records	Disposal Action
017.006.007 ■■■■■■■■■■■■■■■■■■■■	Records relating to the appointment of first aid officers, emergency evacuation wardens, safety officers, etc.	Destroy 7 years after action completed
017.006.008 ■■■■■■■■■■■■■■■■■■■■	Records relating to the management of routine health related screening programs delivered by agency first aid or medical centres, (e.g. blood pressure and cholesterol testing, etc.).	Destroy 1 year after action completed

017.007 Investigations/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
017.007.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to inspections and investigations into major workplace health and safety hazards or issues that resulted in major changes.	Retain as Territory Archives
017.007.002 ■■■■■■■■■■■■■■■■■■■■	Records relating to inspections and investigations into major workplace health and safety hazards or issues that did not result in major changes.	Destroy 30 years after action completed
017.007.003 ■■■■■■■■■■■■■■■■■■■■	Records relating to inspections and investigations into minor workplace health and safety hazards or issues that resulted in major changes.	Destroy 15 years after action completed
017.007.004 ■■■■■■■■■■■■■■■■■■■■	Records relating to inspections and investigations into minor workplace health and safety hazards or issues that did not result in major changes.	Destroy 15 years after action completed

017.008 Meetings

[See STRATEGIC MANAGEMENT - Meetings.]

017.009 Planning

[See STRATEGIC MANAGEMENT - Planning.]

017.010 Policy

[See STRATEGIC MANAGEMENT - Policy.]

017.011 Procedures

[See STRATEGIC MANAGEMENT - Procedures.]

017.012 Reporting

[See STRATEGIC MANAGEMENT - Reporting.]

017.013 Research

[See STRATEGIC MANAGEMENT - Research.]

017.014 Reviewing

[See STRATEGIC MANAGEMENT - Reviewing.]

017.015 Risk Management

[See STRATEGIC MANAGEMENT - Risk Management.]

017.016 Standards

[See STRATEGIC MANAGEMENT - Standards.]

018 EPHEMERAL DOCUMENTS

Ephemeral documents are items of short term, temporary informational value. They should not be incorporated into an agency's recordkeeping system. Their authorised destruction is often referred to as Normal Administrative Practice (NAP) - which is the routine destruction of ephemeral material of a facilitative or duplicate nature created, acquired or collected by public sector employees during the course of their duties.

The below list is not finite but contains examples of ephemeral documents which may be routinely disposed of.

Calendars and diaries - personal

Desk calendars and office diaries where no entries pertaining to work activities have been recorded.

Contact lists

Reference sets of directories, address and contact lists, including directories and lists produced by the agency, other agencies and organisations or suppliers.

Copies

Duplicate copies created for reference.

Drafts not required as public records

Drafts of reports, correspondence, routine calculations not circulated as final documents internally or externally and of which a final draft has been produced and which becomes the record of the agency.

Informational material

Informational material, including lists of suppliers, catalogues, etc.

Manuals and instructions - superseded

Superseded manuals and instructions (except for a master set which includes superseded portions).

Telephone message slips

Telephone message slips when the message does not relate to the business functions of the agency.

Transitory messages

Transitory messages of minor importance, the sole purpose of which was to provide information of temporary, short-term value or information already recorded and available in an acceptable medium (i.e. paper-based or electronic) elsewhere in the agency.

Unsolicited brochures

Brochures received regarding goods and services.

Working documents

Rough notes and diagrams which have been used solely to assist in the preparation of other records, such as correspondence, reports and statistical tabulations.

RETAIN AS TERRITORY ARCHIVES

001 BOARDS AND COMMITTEES

The function of establishing and administering boards committees or similar groups.

001.001 Boards or major committees

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
001.001.001 ■■■■■■■■■■■■■■■■■■■■	Records of boards or major internal, external or inter-agency committees, or similar groups which the agency manages and/or which determine strategic and core policy and/or which implement major programs or initiatives. For example, an internal committee formed to oversee the development and management of a core function or major program or an external committee managed by the agency and/or where the agency provides key input due to their expertise. Includes agendas, minutes and related papers, excluding working papers.	Retain as Territory Archives

001. 003 Boards or committees - appointment of members for boards or major committees

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
001.003.001 ■■■■■■■■■■■■■■■■■■■■	Correspondence relating to the appointment of external and internal board or committee members, including conditions of appointments and entitlements.	Retain as Territory Archives

002 COMMUNITY RELATIONS

The function of establishing rapport with the community and raising and maintaining the organisation's broad public profile. Includes marketing, advertising, media liaison, exhibitions, celebrations, ceremonies, speeches, official representation at functions and participation in community activities. Also includes relationships with professional bodies and industry, the management of customer services, handling reactions to those services, customer consultation and feedback.

002.001 Addresses (Presentations)

The activity of giving addresses for community relations purposes.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
002.001.001 ■■■■■■■■■■■■■■■■■■■■	<p>Addresses (Presentations) - major</p> <p>Records of addresses and presentations given at major state occasions, on matters of substantial public interest and debate or by agency representatives at significant events such as conferences or professional association seminars. Excludes presentations at staff training seminars, workshops, etc.</p> <p><i>[For presentations at staff training seminars, workshops, etc., use PERSONNEL AND STAFF DEVELOPMENT - Addresses (Presentations).]</i></p>	Retain as Territory Archives

002.003 Celebrations, Ceremonies and Functions

The activities associated with arranging and managing festivities such as launches, closures. Also includes attendance at non-agency functions.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
002.003.001 ■■■■■■■■■■■■■■■■■■■■	<p>Agency celebrations, ceremonies and functions - major</p> <p>Records relating to celebrations, ceremonies and functions which are organised by the agency and are of significance to it. For example, those organised to mark major events, anniversaries, opening of landmark structures or major client facilities or other major buildings, launch of innovative or new programs, etc.</p>	Retain as Territory Archives

002.005 Conferences

The activities involved in arranging conferences or seminars. Includes management of registrations for participants, publicity and evaluations by participants.

Entry No.	Description of Records	Disposal Action
002.005.001 ■■■■■■■■■■■■■■■■■■■■	Agency conferences - major Master sets of transcripts of proceedings and reports of major conferences organised by the agency.	Retain as Territory Archives

002.007 Donations

The activities associated with managing money, items, artefacts or property donated or bequeathed to the agency, or by the agency to charities, etc. Includes managing unsolicited donations.

Entry No.	Description of Records	Disposal Action
002.007.001 ■■■■■■■■■■■■■■■■■■■■	Gifts and bequests - major Records of gifts, donations or bequests made to or by the agency which are of: <ul style="list-style-type: none">• State or Territory significance;• long-term value; or• significant public interest. <i>[See FINANCIAL MANAGEMENT reference number 006.014.001 for records relating to financial transactions involving gifts and benefits.]</i>	Retain as Territory Archives

002.008 Enquiries and Public Reaction

The process of handling enquiries and public reaction to an organisation's core functions, policies or services. Includes correspondence of congratulations or appreciation, complaints and suggestions from members of the public or clients of the agency. Includes anonymous letters.

Entry No.	Description of Records	Disposal Action
002.008.001 ■■■■■■■■■■■■■■■■■■■■	Enquiries, complaints and suggestions - policy significance Records relating to the management of enquiries, client complaints or suggestions resulting in a reversal of a government decision or changes to government or agency policy, procedures or direction.	Retain as Territory Archives

002.009 Exhibitions

The activities associated with using agency material in mounting displays for the purpose of informing or educating the viewer, or promoting the activities, services, projects or programs of the agency. Includes displays produced for open days and trade fairs.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
002.009.001 ■■■■■■■■■■■■■■■■■■■■	Exhibitions organised by agency or with input from agency - major Film, video or photographic record of displays and exhibitions of major significance to the State, including associated paper-based material such as catalogues, brochures, posters. For example, exhibition documenting changes over time to major government policies and directions.	Retain master copy and one reference copy as Territory Archives

002.013 Marketing

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
002.013.001 ■■■■■■■■■■■■■■■■■■■■	Marketing plans and strategies Marketing plans and strategies developed to promote the agency's image or activities.	Retain as Territory Archives
002.013.002 ■■■■■■■■■■■■■■■■■■■■	Marketing materials - major Master set of materials, including brochures, posters, images, videos and film, developed to promote significant agency achievements or activities, where they have not been deposited with a National or State Library.	Retain as Territory Archives

002.014 Media Relations

The activities associated with establishing a relationship between the media and an agency. Includes cultivating media contacts, coordinating access to the media, authorising and issuing press releases and briefings, and organising media interviews.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
002.014.001 ■■■■■■■■■■■■■■■■■■■■	Media releases Master set of agency media releases.	Retain as Territory Archives
002.014.002 ■■■■■■■■■■■■■■■■■■■■	Media articles Master set of media articles relating to agency and/or its activities - if created or collected. For example, includes press cutting book. Excludes media monitors.	Retain as Territory Archives

002.017 Reporting

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
002.017.001 ■■■■■■■■■■■■■■■■■■■■	Reporting - major Major non-routine reports on the agencies community relations strategies, directions, policies and programs.	Retain as Territory Archives

002.020 Visits

The activities involved in arranging visits by other organisations, the public and students to the agency, with a view to inform, educate or promote the services, operation and role of the organisation. Includes arranging visits by staff to other organisations.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
002.020.001 ■■■■■■■■■■■■■■■■■■■■	Visits to agency by dignitaries or official major delegations Records documenting visits to the agency by dignitaries or official major delegations from non-government organisations. For example, the head of a multinational company or international aid organisation visiting to view agency programs.	Retain as Territory Archives

003 COMPENSATION

The function of providing compensation to personnel and visitors injured while proceeding to or from work, during work hours or on the organisation's premises. Includes the rehabilitation of injured workers and compensation for damage to property where such damage is claimed as the organisation's responsibility.

003.002 Advice

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
003.002.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to the provision of high level advice, (e.g. to Minister or Chief Executive), relating to substantive aspects of agency compensation policies, procedures, functions, obligations and liabilities.	Retain as Territory Archives

006 FINANCIAL MANAGEMENT

The function of managing the public authority's financial resources. Includes establishing, operating and maintaining accounting systems, controls and procedures; financial planning; budgeting; obtaining and distributing grants; managing funds and revenue; resource allocation and accountability. Also includes the monitoring and analysis of assets to assist the delivery of economic and social services to government, industry and the community.

[See section 10 - INFORMATION MANAGEMENT for records relating to the disposal of financial information.]

006.007 Audit

The activity of officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of the public authority in a specified period.

[See INFORMATION MANAGEMENT - Inspections for records of audit or inspections by an archival authority or the management of records in response to a discovery order.]

Entry No.	Description of Records	Disposal Action
006.007.001 ■■■■■■■■■■■■■■■■■■■■	Financial audits - Internal/external Records relating to internal or external audits resulting in substantial changes to agency financial management policy, precedents or procedures. Includes significant audit outcomes such as failure and reparation, police investigations and prosecutions.	Retain as Territory Archives

006.008 Authorisation

The activity of seeking and granting permission to undertake a requested action.

Entry No.	Description of Records	Disposal Action
006.008.001 ■■■■■■■■■■■■■■■■■■■■	Delegations of financial authority to Chief Executives and officers occupying statutory positions.	Retain as Territory Archives

006.009 Budgeting

The activity of planning the use of expected income and expenditure over a specified period.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
006.009.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to the Agency annual budget estimates submitted by the Chief Executive to the Minister for approval and records relating to the budgeting of substantial new policy proposals or programs including details justification and substantive background information. Includes revised estimates.	Retain as Territory Archives

006.011 Compliance

The activity of complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements to which the public authority is subject. Includes compliance with legislation and national and international standards.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
006.011.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to serious breaches of financial management compliance requirements that may result in significant outcomes such as failure and reparation, police investigations and prosecutions.	Retain as Territory Archives

006.012 Contracting Out

The activity of arranging, procuring and managing the performance of work or the provision of services by an external contractor or consultant, or by using external bureau services. Includes outsourcing.

Note: This section should not be used for contracts relating to services provided by the agency to another organisation as part of the agency's core business functions. Refer to the public authority's core business or sector authority.

[See FINANCIAL MANAGEMENT reference number 006.024 for records relating to acquisition/procurement procedures.

See FINANCIAL MANAGEMENT reference number 006.030 for records relating to tendering.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
006.012.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to the hiring and use of consultants, contractors and suppliers for outsourcing that is the subject of major public interest and debate.	Retain as Territory Archives
006.012.002 ■■■■■■■■■■■■■■■■■■■■	Highly Significant (landmark) contracts Records relating to contracts that are highly significant and/or have created major public interest and controversy.	Retain as Territory Archives

006.030 Tendering

The activity of receiving and assessing tenders. Includes offers made in writing by one party to another to carry out at an inclusive price or uniform rate, an order for the supply or purchase of goods, or for the production of work.

Note: This authority should not be used for tenders submitted by the agency to provide services to another organisation. Refer to the public authority's core business or sector schedule.

[See FINANCIAL MANAGEMENT reference number 006.012 for records relating to approved contracts.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
006.030.001 ■■■■■■■■■■■■■■■■■■■■	Approval and granting of official seals of agencies, Ministers or organisations (e.g. seals used by authorities, boards of committees, etc).	Retain as Territory Archives
006.030.002 ■■■■■■■■■■■■■■■■■■■■	Records relating to the receipt and assessment of tenders and letting of landmark contracts that have created major public interest or controversy. Includes successful and non successful tenders as well as contract documents and contract renewals.	Retain as Territory Archives

008 GOVERNMENT RELATIONS

The function of administering the formal relationship between the organisation and those processes of government not covered by other general administrative functions. Includes the organisation's relationship with Ministers and Members of Parliament and the political processes of Government; liaison with bodies carrying out investigations and participating in formal inquiries and investigations such as Royal Commissions, and inquiries by Parliamentary Committees and the Ombudsman; and relationships with other Commonwealth or overseas governments.

008.001 Addresses

The activity of giving addresses and presentations at government occasions.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
008.001.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to addresses and presentations given at major occasions, or on matters of substantial public interest and debate.	Retain as Territory Archives

008.002 Advice

The activities associated with the offering of opinions by or to the agency as to an action or judgement.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
008.002.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to the provision of high level advice, (e.g. to the relevant Minister or Ministerial Council, government agencies or the Chief Executive), relating to controversial public issues shown to have far-reaching social, economic and/or national implications. Includes records documenting the development of advice.	Retain as Territory Archives

008.013 Reporting

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
008.013.001 ■■■■■■■■■■■■■■■■■■■■	Major reports prepared by the agency about core business activities.	Retain as Territory Archives

008.014 Representations

The activities involved in preparing responses to questions raised in Parliament by Members of Parliament on behalf of their constituents. Also includes community-based representations and representations directed to the agency seeking a formal response.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
008.014.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to the management of representations that result in changes in policy.	Retain as Territory Archives

008.018 Submissions

The preparation and submission of a formal statement (e.g. reports, statistics, etc.) supporting a case or opinion held by an agency to an internal or external body.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
008.018.001 ■■■■■■■■■■■■■■■■■■■■	Ministerial submissions - major Submissions made to the Minister about significant functional issues, contentious issues or issues of major significance to the agency and/or the community at large. Includes Ministerial briefs; reports to the Minister; responses to ministerial enquiries and ministerial speech notes prepared by the agency.	Retain as Territory Archives

009 INDUSTRIAL RELATIONS

The function of establishing formal relations with the organisation's employees and their representatives to achieve a harmonious workplace. Includes negotiations conducted to obtain determinations, agreements or awards, industrial disputes settled within the organisation or by an external arbiter and reports of industrial relations within the organisation.

009.001 Advice

The activities associated with the offering of opinions by or to the agency as to an action or judgement.

Entry No.	Description of Records	Disposal Action
009.001.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to the provision of high level advice, (e.g. to Chief Executive), relating to substantive aspects of agency industrial relations policies, procedures, functions, obligations and liabilities.	Retain as Territory Archives

009.002 Agreements and Awards (Industrial)

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

Entry No.	Description of Records	Disposal Action
009.002.001 ■■■■■■■■■■■■■■■■■■■■	Reviews of industrial awards with significant input by the agency.	Retain as Territory Archives

009.007 Disputes

The activities associated with the resolution of disputes relating to dissatisfaction about a work situation.

Entry No.	Description of Records	Disposal Action
009.007.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to industrial disputes which have a major impact on the agency's operations.	Retain as Territory Archives
009.007.002 ■■■■■■■■■■■■■■■■■■■■	Records relating to major disputes involving the agency's staff.	Retain as Territory Archives

011 LEGAL SERVICES

The function of providing legal services to the organisation regarding administrative matters. Includes the interpretation and provision of advice to the organisation regarding legal matters, the drawing up of legal agreements and the handling of legal action and disputes. Also includes legal advice received from in-house consultants and external sources including Crown Law.

011.001 Advice

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

Entry No.	Description of Records	Disposal Action
011.001.001 ■■■■■■■■■■■■■■■■■■■■	Legal advice from inside and outside the agency relating to interpretations of legislation administered by the agency; proposals for new or amended legislation; major issues of public interest, precedents or matters which have a major impact on the agency's policy and procedures.	Retain as Territory Archives

011.008 Litigation

The activities involved in managing lawsuits or legal proceedings between the agency and other parties in a court or other tribunal. Includes briefs for counsel, copies of documents required by or lodged with a court, consultation with the Attorney - General's department and other agencies, and records documenting compliance with court instructions, (e.g. subpoenas and discovery orders).

Note: Records that are or may be needed in evidence in a judicial proceeding, including any reasonably possible judicial proceeding, must be retained for longer.

Entry No.	Description of Records	Disposal Action
011.008.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to major issues of public interest or controversy; claims or matters which are of a precedent-setting nature or which have a major impact on the agency's policy and procedures.	Retain as Territory Archives
011.008.002 ■■■■■■■■■■■■■■■■■■■■	Public interest disclosures – substantiated Records relating to public interest disclosures made which are substantiated.	Retain as Territory Archives

012.011 Discipline

The activities and actions associated with the discipline process. Includes investigations, charges, formal enquiries, punishment and appeals resolved within the agency or by an external authority.

[See PERSONNEL AND STAFF DEVELOPMENT reference number 012.013 for grievances not relating to a discipline process.]

See PERSONNEL AND STAFF DEVELOPMENT reference number 012.019 for managing diminished performance and other performance issues.]

Entry No.	Description of Records	Disposal Action
012.011.001 ■■■■■■■■■■■■■■■■■■■■	Landmark Disciplinary Action Records of disciplinary cases that generate substantial public interest and debate/or result in changes to agency policy or procedures. Includes summary sheets, interview records, investigation notes or assessments, personal statements, final reports and appeals.	Retain as Territory Archives

012.012 Employment Conditions

The activities associated with managing the general conditions of employment for personnel.

Entry No.	Description of Records	Disposal Action
012.012.001 ■■■■■■■■■■■■■■■■■■■■	Personnel Registers Summary records or consolidated service histories of employees and volunteers. Includes registers, electronic records, indexes or sheets which document, employees' appointment history, education, qualifications, salary and superannuation history, etc. Summary records may include details such as: identification number, name, date of birth, address, contacts, date appointed, status, position and dates held, locations worked, promotions and higher duties and dates held, salary rates, allowances.	Retain as Territory Archives
012.012.002 ■■■■■■■■■■■■■■■■■■■■	Chief Executive/Head of Agency Personnel Files Personnel files of prominent employees, such as the Chief Executive/Head of Agency.	Retain as Territory Archives

012.023 Recruitment

Records relating to individual vacant positions advertised for filling by assignment or reassignment, including details of vacant position, classification and salary, job and person specification and schedule of applicants; applications and supporting documentation for each applicant; selection reports and recommendation and copies of vetting reports.

Note: Documentation other than the appointee's application is not to be placed on an employee's personnel file. Selection documentation should demonstrate that the provisions of the applicable recruitment and selection standard has been observed.

Entry No.	Description of Records	Disposal Action
012.023.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to the recruitment of Chief Executives or any other appointment requiring a Cabinet or Ministerial submissions.	Retain as Territory Archives

013 PROPERTY MANAGEMENT

The function of managing land and working, storage or living space within premises, and of acquiring, constructing, fitting-out, managing, maintaining, protecting and disposing of property. Includes buildings and land allotments owned, rented or leased by the agency. Also includes removal of pollutants and waste.

[See section 4 - EQUIPMENT AND STORES for records relating to equipment and stores.]

See section 6 - FINANCIAL MANAGEMENT for all financial records relating to the procurement (including tendering and contracting), maintenance and disposal of property.]

013.001 Acquisition

The process of gaining ownership or use of property, services and other items required in the conduct of business where there is no tendering or contracting-out process, i.e. where the cost of the acquisition is below the threshold for tendering.

[See FINANCIAL MANAGEMENT for financial records relating to the acquisition process.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
013.001.001 ■■■■■■■■■■■■■■■■■■■■	Non-financial records relating to the acquisition of buildings and structures of historical significance which: <ul style="list-style-type: none">• are listed on a Commonwealth, State or Territory Heritage register;• are listed on the National Trust list;• are listed with the Australian Heritage Commission;• are major or compulsory acquisitions;or• have been subject to controversy or received architectural or design awards.	Retain as Territory Archives

[See FINANCIAL MANAGEMENT for financial records relating to the acquisition process.]

013.008 Disposal

The process of disposing of property no longer required by the agency, by sale, transfer, auction, donation or destruction.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
013.008.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to the sale, transfer or demolition of buildings and structures of historical significance which are listed in the heritage register or which are included in the National Trust list or listed with the Australian Heritage Commission; or which have been subject to controversy or received architectural or design awards.	Retain as Territory Archives

013.015 Maintenance

Records relating to the upkeep, repair, servicing and modification of premises. Includes waste removal.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
013.015.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to significant maintenance work carried out during the lifetime of the heritage building. Includes major upgrades, maintenance programs and work relating to heritage listing. <i>[See PROPERTY MANAGEMENT reference number 013.005 for records relating to conservation.]</i>	Retain as Territory Archives

013.018 Planning

The process of formulating ways in which objectives can be achieved.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
013.018.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to strategic plans for buildings, structures and environs that have been heritage listed, received a prestigious State, National or International design awards, are important local or regional landmarks, were precedent setting, involve specialised buildings or involved in major public interest or controversy.	Retain as Territory Archives

013.023 Security

Records relating to the security of premises. Includes protecting property from accidental or intentional damage as well as from unauthorised access.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
013.023.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to breaches of security or incidents resulting in the laying of charges or where sabotage is strongly suspected, (e.g. break-ins, intrusion to restricted areas, terrorism bomb threats, intentional damage, fires, records of investigations, liaison with law enforcement agencies).	Retain as Territory Archives

015 STRATEGIC MANAGEMENT

The function of applying broad systematic management planning for the organisation. Includes the activities involved with the development, monitoring and reviewing of business plans, strategic plans, work plans, corporate plans and other long-term organisational strategies. Also includes the development of the corporate mission, objectives, continuous improvement processes, quality assurance and certification, and the formulation and amendment of legislation which provides the legislative basis for the organisation.

015.001 Agreements

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

Entry No.	Description of Records	Disposal Action
015.001.001 ■■■■■■■■■■■■■■■■■■■■	Highly significant (landmark) agreements Records relating to agreements that have created major public interest or controversy.	Retain as Territory Archives

015.002 Audit

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

[See FINANCIAL MANAGEMENT reference number 006.007 for financial audit records.]

Entry No.	Description of Records	Disposal Action
015.002.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to (landmark) audits that have created major public interest or controversy. Or have resulted in substantial changes to agency policy and procedures.	Retain as Territory Archives

015.005 Compliance

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

Entry No.	Description of Records	Disposal Action
015.005.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to serious breaches of compliance requirements.	Retain as Territory Archives

015.009 Disaster Recovery

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
015.009.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to the implementation of disaster recovery plans after disasters, such as fire, flood, etc.	Retain as Territory Archives

015.013 Legislation

The process of making laws. Includes Acts, Bills and subsections to Acts, and amendments to each.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
015.013.001 ■■■■■■■■■■■■■■■■■■■■	Proposals for new legislation and amendments to existing legislation administered by agency (includes Acts, Regulations and Ordinances), together with summary records of consultations and discussions, explanatory notes, drafts which document significant amendments, submissions and supporting documentation.	Retain as Territory Archives
015.013.002 ■■■■■■■■■■■■■■■■■■■■	Working papers for Minister's second reading speech, explanatory memorandum, etc.	Retain as Territory Archives
015.013.003 ■■■■■■■■■■■■■■■■■■■■	Records documenting the development of Regulatory Impact Statements that directly relate to an agency's functions.	Retain as Territory Archives
015.013.004 ■■■■■■■■■■■■■■■■■■■■	Records relating to the development of legislation and regulations concerning the operations and functions of the agency. Includes drafting instructions, draft legislation, regulation and amendments, submissions to the Minister, reports, comments received from other agencies and any other papers containing substantial input from the agency.	Retain as Territory Archives

015.018 Procedures

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
015.018.001 ■■■■■■■■■■■■■■■■■■■■	Procedures - core functions - final Operational procedures related to the administration of core functions.	Retain as Territory Archives

015.019 Reporting

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and to provide formal statements or findings of the results of their examination or investigation.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
015.019.001 ■■■■■■■■■■■■■■■■■■■■	Records that contain strategic information not held elsewhere or that has created major public interest or controversy. Includes major drafts and research records.	Retain as Territory Archives

015.020 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 the development of projects, standards, guidelines, etc. and the business activities of the agency in general. Includes following up enquiries relating to agency programs, projects, working papers, literature searches, etc.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
015.020.001 ■■■■■■■■■■■■■■■■■■■■	Landmark Research Records of major new (unique) research projects relating to agency-wide issues, critical agency functions or strategic issues. These records contain information that is unique or difficult to replicate. Includes responses to legislative audits, program audits, executive orders or court orders.	Retain as Territory Archives

015.0021 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
015.021.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to major (landmark) reviews of functions and activities that have created major public interest or controversy or have resulted in changes in policy or procedures.	Retain as Territory Archives

015.022 Risk Management

The process involving the identification of risks, the likelihood and consequences of those risks and the implementation of appropriate practices and procedures to treat the risks. Includes financial risk.

[See COMPENSATION for records relating to insurance.]

Entry No.	Description of Records	Disposal Action
015.022.001 ■■■■■■■■■■■■■■■■■■■■	Risk Management Plan/strategy - final Master agency-wide Risk Management Plan/Strategy. Includes the master copy of agency financial management risk management plans.	Retain as Territory Archives

015.023 Standards

The process of developing standards to enhance the quality and efficiency of the organisation.

Entry No.	Description of Records	Disposal Action
015.023.001 ■■■■■■■■■■■■■■■■■■■■	Standards - final Master copy of official standards developed by the agency.	Retain as Territory Archives
015.023.002 ■■■■■■■■■■■■■■■■■■■■	Records related to the development of standards, guidelines and advisory products issued with substantial input from the agency for implementation across Government.	Retain as Territory Archives

016 TECHNOLOGY AND TELECOMMUNICATIONS

Records relating to the acquisition or development, implementation, maintenance, use and disposal of information and communications technology and systems.

016.002 Advice

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

Entry No.	Description of Records	Disposal Action
016.002.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to the provision of high level advice on technology and telecommunications, (e.g. to the Minister or Chief Executive), relating to substantive aspects of agency policies, procedures, functions, obligations and liabilities.	Retain as Territory Archives

016.030 Security

The measures taken to protect equipment or information from accidental or intentional damage or from unauthorised access. Includes responses to any security breaches.

Entry No.	Description of Records	Disposal Action
016.030.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to serious breaches of security, including unauthorised access to a computer network, alteration of data, etc.	Retain as Territory Archives

017 WORKPLACE HEALTH AND SAFETY

The function of implementing and coordinating workplace health and safety legislation throughout the organisation. Includes safety policy and the monitoring of safe work practices, procedures and preventive measures.

017.002 Audit

The activities associated with officially checking quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed and legislated standards regarding WHS.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
017.002.001 ■■■■■■■■■■■■■■■■■■■■	Official audit reports on compliance of agency programs and operations with accepted WHS standards.	Retain as Territory Archives

017.004 Compliance

The activities associated with complying with mandatory or optional accountability, fiscal, regulatory or quality standards or requirements to which the agency is subject in relation to WHS.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
017.004.001 ■■■■■■■■■■■■■■■■■■■■	Register of hazardous substances at agency workplaces, (e.g. asbestos register).	Retain as Territory Archives
017.004.002 ■■■■■■■■■■■■■■■■■■■■	Records documenting breaches of WHS compliance requirements.	Retain as Territory Archives
017.004.003 ■■■■■■■■■■■■■■■■■■■■	Radiation exposure monitoring Records relating to directions received from health authorities in accordance with legislation and standards regarding the keeping of radiation exposure monitoring records.	Retain as Territory Archives

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