Australian Capital Territory

# Territory Records (Records Disposal Schedule – Technology & Telecommunications Records) Approval 2015 (No 1)

Notifiable instrument NI2015-361

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 – Technology & Telecommunications Records) Approval 2015 (No 1)

# 2. Approval

I approve the Records Disposal Schedule – Technology & Telecommunications Records.

# 3. Commencement

This instrument commences on the day after notification.

# 4. Revocation

I revoke Notifiable Instrument NI2009-454.

Danielle Wickman Director of Territory Records 3 July 2015



# **Records Disposal Schedule**

# Technology & Telecommunications Records

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# **INTRODUCTION**

The *Records Disposal Schedule – Technology & Telecommunications Records* is the official authority for the disposal of these ACT Government Records.

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

# **PURPOSE**

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

# SCOPE

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

# AUTHORITY

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

Even so, officers using this Records Disposal Schedule should apply it with caution. They should be aware that the authorisations for disposal are given in terms of the *Territory Records Act 2002* only. Officers must not dispose of records in contravention of this Records Disposal Schedule or other requirements such as a records disposal freeze. Current records disposal freezes can be found at the Territory Records Office Internet site <u>http://www.territoryrecords.act.gov.au/recordsadvice</u>.

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

# STRUCTURE AND RELATIONSHIP TO THE TERRITORY 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 - Technology & Telecommunications Records* has a hierarchical structure that reflects its arrangements according to functions and activities, rather than by subject, and this also reflects a close relationship to the Territory Whole of Government Thesaurus originally based on the Territory Version of Keyword AAA. The Records Disposal Schedule is designed to be applicable to all ACT Government 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.

# Whole of Government Thesaurus

The Whole of Government Thesaurus is a controlled vocabulary of terms designed for use in the classifying, titling and indexing of records on creation.

The Whole of Government Thesaurus has been developed on the basis of the Territory Version of Keyword AAA (TVKAAA 2010), a thesaurus which incorporated 16 common functions. All other functions within the Whole of Government Thesaurus are considered functions performed by the ACT Government and have been included following consultation with agencies and after consideration by the Territory Records Office (TRO) via a formal approval process.

The Whole of Government Thesaurus is mandated by the TRO for use by all ACT Government agencies as part of their classifying and titling of paper and electronic records. See also *Records Advice No.28 Functional directories on shared drives*.

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

# **GUIDELINES FOR USE**

# Coverage of authority

The Records Disposal Schedule - Technology & Telecommunications Records:

- covers all ACT Government records;
- 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.

# **RELATED LEGISLATION**

The following legislation is related to the records classes covered by this Records Disposal Schedule:

Electronic Transactions Act 2001 Emergencies Act 2004 Evidence Act 2011 Financial Management Act 1996 Freedom of Information Act 1989 Government Procurement Act 2001 Limitation Act 1985 Public Sector Management Act 1994 Territory Records Act 2002 Work Health and Safety Act 2011

# **DEFINITIONS**

# Agency

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

# Appraisal

The process of evaluating business activities to:

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

# **Business Classification Scheme**

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

# **Principal Officer**

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

# **Records**

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

# **Records of an Agency**

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

# **Records Disposal Schedule**

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

# **Records Management Program**

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

# **Recordkeeping Systems**

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

#### Scope Note

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

#### Sentencing

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

#### **Territory Archives**

Records preserved for the benefit of present and future generations.

**BUSINESS CLASSIFICATION SCHEME** 

# **TECHNOLOGY & TELECOMMUNICATIONS**

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

#### Acquisition

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

#### Advice

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

#### Agreements

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

#### Allocation

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

#### **Application Development**

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

#### Audit

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

#### Authorisation

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

#### **Committees**

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

#### *Compliance*

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

#### **Conferences**

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

#### **Contracting out**

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

#### **Control**

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

#### **Customer Service**

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

### Data Administration

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

#### **Database Management**

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

#### Disposal

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

#### **Evaluation**

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

#### **Implementation**

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

#### **Inspections**

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

#### **Installation**

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

#### Intellectual Property

The activities involved in managing the agency's intellectual property, both published and unpublished, and the use of material held by the agency in which another party owns the intellectual property. Includes management of copyright, design, patents and trademarks, royalties and matters of confidentiality, such as trade secrets, which are not available to the public under Freedom of Information (FOI) legislation.

#### Leasing

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

### Leasing out

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

#### Maintenance

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

#### Meetings

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

#### Modelling

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

#### **Operations**

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

#### Planning

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

#### **Policy**

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

#### **Privacy**

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

### **Procedures**

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

#### **Reporting**

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies, regulation, or legislation, e.g. Annual Report). Includes statistics and returns.

#### Research

The activities involved in investigating or enquiring into a subject or area of interest in order to discover facts, principles, etc. Used to support development of projects, standards, guidelines, etc. and business activities in general. Includes following up enquiries relating to programs, projects, working papers, literature searches, etc.

#### **Restructuring**

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

#### Reviewing

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

#### **Risk Management**

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

#### **Security**

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

#### **Standards**

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

# **Tendering**

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

**RECORDS DISPOSAL SCHEDULE** 

# **TECHNOLOGY & TELECOMMUNICATIONS**

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

#### Acquisition

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

Entry No.	Description of Records	Disposal Action
017.003.001	Records documenting the acquisition of technology and telecommunications equipment, goods and services where there is no tender or contract process, i.e. where the cost of the acquisition is below the threshold for tendering or where a purchase is made against a period contract. Includes:	Destroy 7 years after last action
	<ul> <li>formal requests for quotes;</li> <li>orders;</li> <li>handover reports; and</li> <li>routine forms and correspondence relating to the acquisition.</li> </ul>	
017.003.002	Records documenting acquisitions not proceeded with of technology and telecommunication equipment, goods and services.	Destroy 2 years after last action
	[For the assessment of suitability of equipment, goods and services, use TECHNOLOGY & TELECOMMUNICATIONS - Evaluation.]	1
017.003.003	Information provided by technology and telecommunications vendors relating to products and services.	Destroy 6 months after last action

# **Advice**

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

Entry No.	Description of Records	Disposal Action
017.005.001	Records documenting the receipt and provision of external advice on information & communications technology issues. Includes advice provided by consultants.	Destroy 5 years after last action
	[For the management of contracts with consultants, use TECHNOLOGY & TELECOMMUNICATIONS – Contracting out.]	
017.005.002	Records documenting the receipt and provision of internal advice on information & communications technology issues.	Destroy 1 year after last action

#### Agreements

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

Entry No.	Description of Records	Disposal Action
017.006.001	Final versions of agreements with vendors or other agencies to provide information & communications technology equipment and stores (e.g. Memoranda of Understanding). Includes maintenance agreements and software licences.	expiry or other
017.006.002	Records documenting negotiations, establishment, maintenance and review of agreements made.	Destroy 7 years after completion or other termination of agreement or contract

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### Allocation

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

*Entry No.* 017.007.001

# **Description of Records**

Records documenting the allocation of Destroy 3 g equipment, services, facilities or software last action to individuals or organisational units. Includes:

- the allocation of international subscriber dialling;
- subscriber trunk dialling;
- voicemail facilities; and
- mobile phones.

# **Application Development**

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

Entry No.	Description of Records	Disposal Action
	Records documenting the development, modification and maintenance of specific applications to meet business needs considered to be unique, rare or have technological, scientific or historical significance. Includes:	Retain as Territory Archives
	<ul> <li>feasibility studies;</li> <li>pilot studies;</li> <li>final versions of all system documentation, user and technical manuals;</li> <li>application specific data dictionaries;</li> <li>final versions of business rules;</li> <li>final versions of user requirements;</li> <li>final versions of system specifications;</li> <li>rectification of problems (includes Year 2000 remediation);</li> <li>requests for system changes; and</li> <li>final sign-offs by all parties.</li> </ul>	

# **Disposal Action**

Destroy 3 years after last action

### **Application Development (Continued)**

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

**Description of Records Disposal** Action Entry No. 017.010.001 [For system analysis and development of (continued) specifications, user requirements and business rules, use TECHNOLOGY & **TELECOMMUNICATIONS** - Evaluation. For business process reengineering and revision of specifications, use TECHNOLOGY & TELECOMMUNICATIONS - Reviewing. For the maintenance of agency-wide data dictionaries, use TECHNOLOGY & **TELECOMMUNICATIONS - Data** Administration. For the ongoing management of database applications, use TECHNOLOGY & **TELECOMMUNICATIONS - Database** Management. For requests for changes to existing systems, use TECHNOLOGY & **TELECOMMUNICATIONS - Reviewing.**] 017.010.002 Records documenting testing activities Destroy 7 years after where expected results are found. last action Includes:

- testing strategies;
- result forms; and
- test reports.

### **Application Development (Continued)**

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

Entry No. 017.010.003

#### **Description of Records**

Records documenting the development, modification and maintenance of specific applications to meet business needs not considered to be unique, rare or have technological, scientific or historical significance which go into production. Includes:

#### **Disposal** Action

Destroy 5 years after (sub)system is defunct and any data supported is either migrated or destroyed

- feasibility studies; •
- pilot studies;
- final versions of all system documentation, user and technical manuals;
- application specific data dictionaries;
- final versions of business rules; •
- final versions of user requirements;
- final versions of system specifications;
- rectification of problems (includes Year 2000 remediation);
- requests for system changes; and
- final sign-offs by all parties.

[For system analysis and development of specifications, user requirements and business rules, use TECHNOLOGY & **TELECOMMUNICATIONS - Evaluation.** 

For business process reengineering and revision of specifications, use TECHNOLOGY & TELECOMMUNICATIONS - Reviewing.

For the maintenance of agency-wide data dictionaries. use TECHNOLOGY & **TELECOMMUNICATIONS - Data** Administration.

# **Application Development (Continued)**

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

Entry No.	Description of Records	Disposal Action
017.010.003 (continued)∭	For the ongoing management of database applications, use TECHNOLOGY & TELECOMMUNICATIONS - Database Management.	
	For requests for changes to existing systems, use TECHNOLOGY & TELECOMMUNICATIONS - Reviewing.]	
017.010.004	Records documenting the development and modification of specific applications to meet business needs which do not go into production or are otherwise abandoned. Includes:	Destroy 2 years after last action
	<ul> <li>feasibility studies;</li> <li>pilot studies;</li> <li>system documentation, user and technical manuals;</li> <li>application specific data dictionaries;</li> <li>business rules;</li> <li>user requirements; and</li> <li>system specifications.</li> </ul>	
017.010.005	Records documenting testing activities where unexpected results are found. Includes:	Destroy 6 months after last action
	<ul><li>testing strategies;</li><li>result forms; and</li></ul>	

• test reports.

# Audit

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

Entry No.	Description of Records	Disposal Action
017.013.001	Final internal and external audit reports relating to the technology and telecommunications function.	Destroy 5 years after last action
	[For audit logs, use TECHNOLOGY & TELECOMMUNICATIONS - Control.]	
017.013.002	Records documenting the planning and conduct of internal and external audits relating to the technology and telecommunications function. Includes:	Destroy 3 years after last action
	<ul> <li>liaison with the auditing body;</li> <li>minutes of meetings;</li> <li>notes taken at opening and exit interviews;</li> <li>notes taken at opening and exit interviews;</li> <li>draft reports; and</li> </ul>	

• comments.

# Authorisation

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

Entry No.	Description of Records	Disposal Action
017.014.001	Delegations of power to agency staff to authorise administrative action relating to the technology and telecommunications function.	Destroy 7 years after delegation expires
017.014.002	Authorisations for administrative action supporting the technology and telecommunications function.	Destroy 7 years after last action

# *Committees*

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

Entry No.	Description of Records	Disposal Action
017.020.001	Records of committees and/or subcommittees formed to consider specific matters relating to the technology and telecommunications function (e.g. configuration control board). Includes:	Destroy 5 years after last action
	<ul> <li>documents establishing the committee;</li> <li>final versions of minutes;</li> <li>reports;</li> <li>recommendations; and</li> <li>supporting documents such as briefing papers and discussion papers.</li> </ul>	
017.020.002	Working papers documenting the conduc and administration of committees which consider matters relating to the technolog and telecommunications function. Includes:	after last action
	<ul> <li>agendas;</li> <li>notices of minutes; and</li> <li>draft minutes.</li> </ul>	

# *Compliance*

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

Entry No.	Description of Records	Disposal Action
017.021.001	Records documenting agency compliance with mandatory or optional standards or	last action
	with statutory requirements relating to the technology and telecommunications	
	function. Includes the Information Technology Infrastructure Library (ITIL)	
	and ISO/IEC 20000 standard on IT service	2
	management.	

# **Conferences**

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

Entry No.	Description of Records	Disposal Action
017.022.001	Records documenting arrangements for agency conferences. Includes:	Destroy 3 years after last action
	<ul> <li>program development;</li> <li>arranging speakers;</li> <li>promotion;</li> <li>managing registrations; and</li> <li>venue bookings.</li> </ul>	
017.022.002	Reports assessing the conduct of agency conferences.	Destroy 3 years after last action
017.022.003	Participants' reports on conferences arranged by other organisations.	Destroy 3 years after last action
017.022.004	Participants' reports on conferences arranged by other organisations.	Destroy 6 months after last action
017.022.005	Records documenting the attendance of staff at conferences arranged by other organisations. Includes:	Destroy 6 months after last action
	<ul> <li>completed conference registration forms;</li> <li>programs; and</li> <li>conference promotion material.</li> </ul>	
017.022.006	Copies of published conference proceedings and official reports received at conferences arranged by other organisations.	Destroy 6 months after last action

#### **Contracting out**

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

*Entry No.* 017.025.001

### **Description of Records**

Records documenting contract management relating to the technology and telecommunications function. Includes:

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

### **Disposal** Action

Destroy 7 years after completion or other termination of agreement or contract

# **Control**

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

Entry No.	Description of Records	Disposal Action
017.026.001	System logs which are used to show a history of access or change to data (e.g. system access logs, internet access logs, system change logs and audit trails etc).	Destroy 7 years after last action
017.026.002	Records documenting the development of control mechanisms (e.g. authenticity and version control).	• •
	[For development of business rules, etc. for recordkeeping metadata mechanisms, use INFORMATION MANAGEMENT - Control.]	
017.026.003	System logs which are not used to show a history of access or change to data (e.g. backup logs).	Destroy 6 months after last action

# Control (Continued)

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

Entry No.	Description of Records	Disposal Action
017.026.004	Records documenting the allocation and maintenance of metadata in electronic systems.	Destroy 6 months after last action
	[For the allocation of recordkeeping metadata, use INFORMATION MANAGEMENT - Control.]	
017.026.005	Records documenting the maintenance of E-mail address lists (internal and external) and/or telephone lists, telephone call pick up groups, etc.	•

# **Customer Service**

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

Entry No.	Description of Records	Disposal Action
017.030.001	Records documenting the planning, monitoring and evaluation of customer services. Includes:	Destroy 3 years after last action
	<ul> <li>market research;</li> <li>feedback mechanisms; and</li> <li>performance and response time monitoring.</li> </ul>	
017.030.002	Records documenting the development of service charters and directives relating to the provision of information management services. Includes final copies of charters.	•
	[For the production of the service charter, use PUBLICATION - Planning and PUBLICATION - Production.]	

# Data Administration

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

Entry No.	Description of Records	Disposal Action
017.031.001	Records documenting the migration of records between electronic systems and from one electronic medium to another (e.g. paper to electronic, tape to disc). Includes strategies for the migration and quality assurance checks to confirm accuracy of the migration process.	Destroy 1 year after data migrated or destroyed
	[For arranging the transfer or integration of systems following an administrative change, use TECHNOLOGY & TELECOMMUNICATIONS - Restructuring.]	
017.031.002	Records documenting the maintenance of agency-wide data dictionaries.	Destroy 6 months after last action
	[For the maintenance of application specific data dictionaries, use TECHNOLOGY & TELECOMMUNICATIONS - Application Development.]	

# **Database Management**

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

Entry No.	Description of Records	Disposal Action
017.032.001	Records documenting database management. Includes requests for changes to schemas, views and configuration management.	Destroy 7 years after last action
017.032.002	Ad-hoc requests for information from agency databases.	Destroy 1 year after last action

# Disposal

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

*Entry No.* 017.034.001

### **Description of Records**

Records documenting the disposal of Territory owned assets. Includes:

- independent valuations;
- certificates verifying that work undertaken on asset was prior to valuation;
- written quotes;
- auction records and routine forms; and
- correspondence relating to the disposal of assets.

[For the disposal of equipment and goods by tender, use TECHNOLOGY AND TELECOMMUNICATIONS - Tendering.]

017.034.002Records documenting the disposal of<br/>leased assets. Includes:

- written notices and correspondence to and from leasing companies in relation to return of assets;
- handover reports; and
- notifications that agency, or their nominee, wishes to purchase assets.

# **Disposal** Action

Destroy 7 years after disposal of asset

Destroy 3 years after disposal of asset

# **Evaluation**

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

Entry No.	Description of Records	Disposal Action
017.042.001	Records documenting analysis of business processes. Includes systems analysis and business process analysis.	
017.042.002	Records documenting the evaluation of potential or existing technology and telecommunications services and systems.	Destroy 7 years after last action
017.042.003	Records documenting the development and issue of specifications for technology and telecommunications equipment, goods and services. Includes:	Destroy 7 years after last action
	<ul> <li>statements of requirements;</li> <li>requests for proposals;</li> <li>expressions of interest; and</li> <li>business cases.</li> </ul>	
	[For Requests for Tender (RFT) and draft contract, use TECHNOLOGY & TELECOMMUNICATIONS - Tendering.	
	For the acquisition of equipment, goods and services by means other than tender, use TECHNOLOGY &	

**TELECOMMUNICATIONS -**

Acquisition.]

Authorised by the ACT Parliamentary Counsel-also accessible at www.legislation.act.gov.au

# **Evaluation** (Continued)

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

<i>Entry No.</i> 017.042.004	<i>Description of Records</i> Initial evaluation of 'commercial-off-the- shelf' (COTS) products and services to be used in new technology or telecommunications projects, including shared system suite and endorsed suppliers. Also includes justification of decisions not to proceed with whole-of- government solutions.	<i>Disposal Action</i> Destroy 7 years after last action
	[For the process of acquiring technology and telecommunications equipment, goods and services, use TECHNOLOGY & TELECOMMUNICATIONS - Acquisition.	
	For the management of technology and telecommunication contracts, use TECHNOLOGY & TELECOMMUNICATIONS - Contracting out.	
	For re-evaluation of existing products and services, use TECHNOLOGY AND TELECOMMUNICATIONS - Reviewing.	
	For the evaluation of the non- technological aspects of an evaluation, use appropriate function e.g. FINANCIAL MANAGEMENT for the evaluation of a finance system and PERSONNEL for the evaluation of a personnel system.]	
017.042.005	Records documenting investigations into the feasibility of contracting out technology and telecommunication activities.	Destroy 7 years after last action
	Records documenting assessments of, and input into, whole-of-Government outsourcing solutions. Includes justification of decision not to proceed with such solutions.	Destroy 7 years after last action

### **Implementation**

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

*Entry No.* 017.053.001

# **Description of Records**

Records documenting the application of an agency's counter-disaster plan or business continuity plan following an incident. Includes records covering the protection and re-establishment of data and the agency backup plan.

[For the development of a counterdisaster plan covering the technology and telecommunications function, use TECHNOLOGY & TELECOMMUNICATIONS - Planning.

For the recovery of information on an adhoc basis, use TECHNOLOGY & TELECOMMUNICATIONS - Operations.

For the implementation of the counterdisaster plan, vital records plan and emergency destruction plan within the organisation's information resources, use INFORMATION MANAGEMENT -Implementation.]

#### **Disposal** Action

Retain as Territory Archives
#### Implementation (Continued)

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

Entry No.	Description of Records	Disposal Action
017.053.002	Records documenting the implementation of plans, policies, strategies, procedures and instructions formulated to support the technology and telecommunications function. Includes monitoring implementation activities (e.g. regular backups) and the introduction of new equipment and software to a wide audience.	Destroy 5 years after last action
	[For post implementation reviews, use TECHNOLOGY & TELECOMMUNICATIONS - Reviewing.	
	For the non-technological aspects of an implementation, use the appropriate function, e.g. FINANCIAL MANAGEMENT for the implementation of a finance system and PERSONNEL for the implementation of a personnel system.]	
017.053.003	Records documenting project management of all technology and telecommunications projects.	Destroy 5 years after last action

#### **Inspections**

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

Entry No.	Description of Records	
017.057.001	Records documenting the routine	]
	inspection of technology and	1
	telecommunications assets and facilities	
	(e.g. to ensure that unauthorised software	
	or equipment is not being used).	

[For formal audits, use TECHNOLOGY & TELECOMMUNICATIONS - Audit.]

#### **Disposal** Action

Destroy 3 years after last action

Records Disposal Schedule – Technology & Telecommunications Records July 2015

## **Installation**

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

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

#### **Intellectual Property**

The activities involved in managing the agency's intellectual property, both published and unpublished, and the use of material held by the agency in which another party owns the intellectual property. Includes management of copyright, design, patents and trademarks, royalties and matters of confidentiality, such as trade secrets, which are not available to the public under Freedom of Information (FOI) legislation.

destroyed

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

#### Leasing

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

*Entry No.* 017.063.001

#### **Description of Records**

**Disposal** Action

Records documenting the administration Destroy 7 years after and management of leased technology and lease expires or is telecommunications equipment. Includes terminated reports received from leasing companies.

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

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

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

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

#### Leasing out

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

*Entry No.* 017.064.001

#### **Description of Records**

Records documenting arrangements for the leasing out of agency equipment and facilities to other bodies.

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

#### **Disposal** Action

Destroy 7 years after lease expires or is terminated

#### Maintenance

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

*Entry No.* 017.069.001

#### **Description of Records**

Records documenting the maintenance and modification of technology and telecommunications assets.

[For the rectification of minor faults by agency staff, use TECHNOLOGY & TELECOMMUNICATIONS - Operations.

For the maintenance and modification of software, use TECHNOLOGY & TELECOMMUNICATIONS - Application Development.

For system change requests, use TECHNOLOGY & TELECOMMUNICATIONS - Reviewing.]

# **Disposal** Action

Destroy 3 years after last action

### Meetings

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

Entry No.	Description of Records	Disposal Action
017.072.001	Final versions of minutes and supporting documents tabled at meetings held to support the technology and telecommunications function. Includes meetings with external agencies.	Destroy 5 years after last action
017.072.002	<ul> <li>Working papers documenting the conduct and administration of meetings held to support the technology and telecommunications function. Includes:</li> <li>agendas;</li> <li>notices of meetings; and</li> <li>draft minutes</li> </ul>	Destroy 6 months after last action

draft minutes.

# Modelling

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

*Entry No.* 017.074.001

# **Description of Records**

**Disposal** Action

Destroy 7 years after last action

Development of business or technical models or prototypes used to support the technology and telecommunication function.

[For systems analysis, use TECHNOLOGY & TELECOMMUNICATIONS - Evaluation.

For models which support the application development activity, use TECHNOLOGY & TELECOMMUNICATIONS -Application Development.]

#### **Operations**

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

*Entry No.* 017.076.001

#### **Description of Records**

Records relating to help desk operations. Includes:

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

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

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

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

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

Disposal Action

Destroy 1 year after last action

# Planning

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

Entry No.	Description of Records	Disposal Action
017.079.001	Final versions of agency information & communications technology compliance plans.	Destroy 7 years after all action contained in the plan is completed
017.079.002	<ul> <li>Final versions of agency-wide technology and telecommunications plans. Includes:</li> <li>System security plans;</li> <li>Information system security plans;</li> <li>Business continuity plans;</li> <li>Forensic plans;</li> <li>Information technology strategic management plans;</li> <li>Access control plans;</li> <li>Counter-disaster plans relating to technology and telecommunications; and</li> <li>Telecommunications plans.</li> </ul> [For the implementation of counter disaster plans and business continuity plans, use TECHNOLOGY & TELECOMMUNICATIONS - Implementation.]	Destroy 5 years after plan is superseded
017.079.003	Final versions of a section or business unit's technology and telecommunications plans.	Destroy 3 years after plan is superseded
	<ul> <li>Working papers used in developing all technology and telecommunications plans. Includes:</li> <li>draft plans;</li> <li>reports analysing issues; and</li> <li>comments received from other areas of the agency.</li> </ul>	Destroy 1 year after adoption of final plan
017.079.005	Copies of all technology and telecommunications plans.	Destroy 6 months after last action

# **Policy**

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

Entry No. 017.080.001 

#### **Description of Records**

**Disposal** Action

Archives

Retain as Territory

Records documenting the development and establishment of government-wide information and communications technology policies. Includes:

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

#### Includes:

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

017.080.002  Records documenting the development and establishment of the agency's information and communications technology policies. Includes:

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

#### Includes:

- information system security policy:
- IT security policy;
- small system security scheme • policy; and
- mobile phone policy. •

[For an agency's overall information security policy, use INFORMATION MANAGEMENT - Policy.]

# Destroy 5 years after policy is superseded

#### **Policy** (Continued)

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

<i>Entry No.</i> 017.080.003	<i>Description of Records</i> Records documenting comments made on the development of government-wide policies.	<i>Disposal Action</i> Destroy 1 year after promulgation of new policy
017.080.004	Working papers documenting the development of all technology and telecommunication policies.	Destroy 1 year after promulgation of new policy
017.080.005	Copies of policy documents and supporting papers.	Destroy 6 months after reference ceases

#### **Privacy**

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

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

# **Procedures**

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

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

# **Reporting**

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies, regulation, or legislation, e.g. Annual Report). Includes statistics and returns.

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

Entry No.	Description of Records	Disposal Action
017.088.001	Final copies of formal internal reports and reports made to external agencies relating to the technology and telecommunications function.	
017.088.002	Periodic internal reports on general administrative matters used to monitor and document recurring activities to support the technology and telecommunications function. Includes:	Destroy 3 years after last action
	<ul><li>summary reports;</li><li>work progress reports; and</li><li>production reports.</li></ul>	
017.088.003	Responses to surveys by other agencies or by the central office of an agency.	Destroy 3 years after last action
017.088.004	Working papers documenting the development of all reports. Includes drafts and comments received.	Destroy 1 year after last action
017.088.005	Copies of technology and telecommunications reports.	Destroy 6 months after last action

# Research

The activities involved in investigating or enquiring into a subject or area of interest in order to discover facts, principles, etc. Used to support development of projects, standards, guidelines, etc. and business activities in general. Includes following up enquiries relating to programs, projects, working papers, literature searches, etc.

Entry No.	Description of Records	Disposal Action
017.091.001	Records documenting detailed research carried out to support the technology and telecommunications function.	Destroy 3 years after last action
	[For systems analysis, use	
	TECHNOLOGY &	
	<b>TELECOMMUNICATIONS</b> - Application	
	Development, TECHNOLOGY &	
	<b>TELECOMMUNICATIONS</b> - Evaluation	
	or TECHNOLOGY &	
	TELECOMMUNICATIONS - Modelling.]	
017.091.002	Records documenting routine research carried out to support the technology and telecommunications function.	Destroy 6 months after last action

## **Restructuring**

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

Entry No.	Description of Records	Disposal Action
017.092.001	Arrangements for the transfer or integration of technology and telecommunications systems/assets, etc. to or from other agencies, i.e. after administrative change.	Destroy 7 years after last action
	[For migration of information, use TECHNOLOGY & TELECOMMUNICATIONS - Data Administration.]	

# Reviewing

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

Entry No.	Description of Records	Disposal Action
017.093.001	Records documenting a review of agency programs and operations supporting the technology and telecommunications function. Includes:	Destroy 7 years after last action
	<ul> <li>documents establishing the review;</li> <li>final reports;</li> <li>action plans; and</li> <li>identification of problems needing rectification.</li> </ul>	
	[For the rectification of identified problems, use TECHNOLOGY & TELECOMMUNICATIONS - Application Development.]	
017.093.002	Records documenting the development of methodologies for conducting reviews.	Destroy 7 years after last action
017.093.003	Records documenting post implementation reviews.	Destroy 7 years after last action
017.093.004	Records documenting testing activities where expected results are found. Includes:	Destroy 7 years after last action
	<ul> <li>testing strategies;</li> <li>testing plans;</li> <li>result forms; and</li> <li>test reports.</li> </ul>	
017.093.005	Certificates of compliance/completion.	Destroy 7 years after last action
017.093.006	Working papers documenting the conduct of an agency review into programs and operations supporting the technology and telecommunications function.	Destroy 2 years after last action

#### **Reviewing** (Continued)

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

*Entry No.* 017.093.007

#### **Description of Records**

Records documenting testing activities where unexpected results are found. Includes:

- testing strategies;
- testing plans;
- result forms; and
- test reports.

#### **Risk Management**

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

Entry No.	Description of Records	Disposal Action
017.095.001	Records documenting risk management relating to the technology and telecommunication function. Includes:	Destroy 7 years after next risk assessment
	<ul> <li>documentation covering each stage of the process;</li> <li>risk assessments;</li> <li>treatment schedules; and</li> <li>action plans.</li> </ul>	2
017.095.002	Technology and telecommunications risk register.	Destroy 7 years after next risk assessment

# **Disposal Action**

Destroy 6 months after last action

#### **Security**

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

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

# Security (Continued)

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

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

#### **Standards**

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

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

# **Tendering**

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

# *Entry No.*

017.104.001

#### **Description of Records**

Signed contracts under seal and supporting records.

#### **Disposal Action**

Destroy 12 years after completion or other termination of contract

# **Tendering** (Continued)

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

Entry No.	Description of Records	Disposal Action
017.104.002	Records documenting the development and issue of tender documentation. Includes:	Destroy 7 years after tender process completed
	<ul> <li>statements of requirements;</li> <li>requests for proposals;</li> <li>expressions of interest;</li> <li>requests for tender (RFT); and</li> <li>draft contracts.</li> </ul>	
	[For statements of requirements, requests for proposals and expressions of interests, use TECHNOLOGY & TELECOMMUNICATIONS - Acquisition.]	
017.104.003	Evaluation of tenders received against selection criteria. Includes:	Destroy 7 years after tender process
	<ul> <li>records documenting arrangements for carrying out the evaluation process;</li> <li>evaluation reports;</li> <li>recommendations;</li> <li>final reports; and</li> <li>public notices.</li> </ul>	completed
017.104.004	Records documenting post-offer negotiations and due diligence checks.	Destroy 7 years after tender process completed
017.104.005	Tender registers.	Destroy 7 years after last entry
017.104.006	Signed simple contracts and agreements resulting from tenders and supporting records.	Destroy 7 years after completion or other termination of agreement or contract

# **Tendering** (Continued)

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

Entry No.	Description of Records	Disposal Action
017.104.007 Contract registers.		Destroy 7 years after last entry
017.104.008	Records of unsuccessful tenders or a tender process where there is no suitable bidder, or where the tender process has been discontinued. Includes:	Destroy 2 years after tender process completed or decision made not to
	- out-mission of	continue with the

- submissions;
- notifications of outcome; and •
- reports on debriefing sessions.

tender

# **RETAIN AS TERRITORY ARCHIVES**

#### **TECHNOLOGY & TELECOMMUNICATIONS**

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

#### **Application Development**

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

*Entry No.* 017.010.001

#### **Description of Records**

Records documenting the development, Retain as modification and maintenance of specific Archives applications to meet business needs considered to be unique, rare or have technological, scientific or historical significance. Includes:

#### **Disposal** Action

Retain as Territory Archives

- feasibility studies;
- pilot studies;
- final versions of all system documentation, user and technical manuals;
- application specific data dictionaries;
- final versions of business rules;
- final versions of user requirements;
- final versions of system specifications;
- rectification of problems (includes Year 2000 remediation);
- requests for system changes; and
- final sign-offs by all parties.

#### **Application Development (Continued)**

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

*Entry No.* 017.010.001 (Continued)Ⅲ

#### **Description of Records**

**Disposal** Action

[For system analysis and development of specifications, user requirements and business rules, use TECHNOLOGY & TELECOMMUNICATIONS - Evaluation.

For business process reengineering and revision of specifications, use TECHNOLOGY & TELECOMMUNICATIONS - Reviewing.

For the maintenance of agency-wide data dictionaries, use TECHNOLOGY & TELECOMMUNICATIONS - Data Administration.

For the ongoing management of database applications, use TECHNOLOGY & TELECOMMUNICATIONS - Database Management.

For requests for changes to existing systems, use TECHNOLOGY & TELECOMMUNICATIONS - Reviewing.]

#### **Implementation**

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

*Entry No.* 017.053.001

# **Description of Records**

Records documenting the application of an agency's counter-disaster plan or business continuity plan following an incident. Includes records covering the protection and re-establishment of data and the agency backup plan.

[For the development of a counterdisaster plan covering the technology and telecommunications function, use TECHNOLOGY & TELECOMMUNICATIONS - Planning.

For the recovery of information on an adhoc basis, use TECHNOLOGY & TELECOMMUNICATIONS - Operations.

For the implementation of the counterdisaster plan, vital records plan and emergency destruction plan within the organisation's information resources, use INFORMATION MANAGEMENT -Implementation.]

#### **Disposal** Action

Retain as Territory Archives

# **Policy**

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

*Entry No.* 017.080.001

# **Description of Records**

**Disposal** Action

Records documenting the development and establishment of government-wide information and communications technology policies. Includes:

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

Includes:

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

# Records documenting the development Retain as Territory and establishment of government-wide Archives

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

Changes to <b>Technology &amp;</b> <b>Telecommunications</b>		Dated	July 2015
New Features (Insertions)			
FUNCTION	Activity	Entry no.	Description
Technology & Telecommunications	Application Development	017.010.001	New class added for applications that are unique, rare or have technological, scientific or historical significance developed

#### **Enhancements (Changes)**

FUNCTION	Activity	Entry no.	Description
Technology & Telecommunications	Application Development		Renumbered to accommodate new class 017.010.001.

by the Territory.

#### **Corrections (Deletions)**

FUNCTION	Activity	Entry no.	Description