

Australian Capital Territory

Territory Records (Records Disposal Schedule – Training & Tertiary Education Records) Approval 2015 (No 1)

Notifiable instrument NI2015-363

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 – Training & Tertiary Education Records) Approval 2015 (No 1)

2. Approval

I approve the Records Disposal Schedule – Training & Tertiary Education Records.

3. Commencement

This instrument commences on the day after notification.

Danielle Wickman
Director of Territory Records
3 July 2015



Records Disposal Schedule

Training & Tertiary Education Records

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INTRODUCTION

The *Records Disposal Schedule - Training & Tertiary Education Records* is the official authority for the disposal of these ACT Government records.

It is one of a series of Whole of Government 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 training and tertiary education records created or maintained by ACT Government Agencies.

SCOPE

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

AUTHORITY

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

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

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

STRUCTURE AND RELATIONSHIP TO THE TERRITORY VERSION OF KEYWORD AAA

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

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

The *Records Disposal Schedule - Training & Tertiary Education Records* has a hierarchical structure that reflects its arrangements according to functions and activities, rather than by subject, and this also reflects a close relationship to the Territory Version of Keyword AAA. The Records Disposal Schedule is designed to be applicable to all Training & Tertiary Education 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 incorporating 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 Director of Territory Records 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 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 - Training & Tertiary Education Records*:

- covers all records related to the function;
- 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:

Board of Senior Secondary Studies Act 1997
Canberra Institute of Technology Act 1987
Children and Young People Act 2008
Discrimination Act 1991
Education Act 2004
Education and Care Services National Law (ACT) Act 2011
Education Services for Overseas Students Act 2000 (Cwlth)
Evidence Act 2011
Food Act 2001
Freedom of Information Act 1989
Higher Education Support Act 2003 (Cwlth)
Information Privacy Act 2014
Limitation Act 1985
Medical Treatment (Health Directions) Act 2006
Mental Health (Treatment and Care) Act 1994
Mental Health (Treatment and Care) (Interstate Application of Mental Health Laws) Agreement 2002 (No 1)
Mental Health (Treatment and Care) (Interstate Application of Mental Health Laws) Agreement 2002 (No 2)
Mental Health (Treatment and Care) (Interstate Application of Mental Health Laws) Agreement 2003
Mental Health (Treatment and Care) (Interstate Application of Mental Health Laws) Agreement 2004
Mental Health (Treatment and Care) Interstate Application of Mental Health Laws Agreement 2011
Agreement 2004
National Vocational Education and Training Regulator Act 2011 (Cwlth)
Ombudsman Act 1989
Privacy Act 1988 (Cwlth)
Residential Tenancies Act 1997
Public Health Risk (Centre for Opioid Detoxification using Opioid Antagonists) Declaration 2001
Schools Assistance (Learning Together - Achievement Through Choice and Opportunity) Act 2004 (Cwlth)
Standards for NVR Registered Training Organisations 2012 (Cwlth)
States Grants (Primary and Secondary Education Assistance) Act 2000 (Cwlth)
Territory Records Act 2002
Training and Tertiary Education Act 2003
University of Canberra Act 1989

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

TRAINING & TERTIARY EDUCATION

The function of developing, planning, funding, managing and reporting on education and training opportunities, programs and initiatives in the ACT. Includes the setting of strategies and policies for the Vocational Education & Training (VET) and higher education sectors, providing strategic advice, managing Commonwealth and ACT funding directed to VET programs in the ACT, assessment of applications for approvals and monitoring of training contracts as required under relevant legislation and identifying the future training requirements of the ACT.

[For strategic issues in relation to cross-sectoral education and training in the ACT, use EDUCATION STRATEGY.]

Advice

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

Agreements

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

Audit

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

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.

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.

Enquiries

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

Evaluation

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

Grant Funding

The activities associated with the application for and receipt of grants.

Joint ventures

The activities involved in managing joint operations between the agency and other agencies, or with the government, where there is a contract, joint contribution of funds and/or time. Includes private sector ventures with public sector organisations, and co-research or collaboration between inter-departmental units, departments or agencies.

Liaison

The activities associated with maintaining regular general contact between the agency and professional associations, professionals in related fields, other private sector organisations and community groups. Includes sharing informal advice and discussions, membership of professional associations and collaborating on projects that are not joint ventures.

Marketing

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

Meetings

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

Planning

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

Policy

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

Procedures

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

Registration

The activities to record, catalogue, inventory or list. The establishment and maintenance of registers containing information required by legislation.

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.

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.

Reviews (decisions)

The activities involved in the process of reviewing actions both by an agency, or an external body. Includes reviews of promotion decisions.

Reviewing

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

Submissions

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

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.

Training

The activities associated with all aspects of the provision of training and development (external/internal).

RECORDS DISPOSAL SCHEDULE

TRAINING & TERTIARY EDUCATION

The function of developing, planning, funding, managing and reporting on education and training opportunities, programs and initiatives in the ACT. Includes the setting of strategies and policies for the Vocational Education & Training (VET) and higher education sectors, providing strategic advice, managing Commonwealth and ACT funding directed to VET programs in the ACT, assessment of applications for approvals and monitoring of training contracts as required under relevant legislation and identifying the future training requirements of the ACT.

[For strategic issues in relation to cross-sectoral education and training in the ACT, use EDUCATION STRATEGY.]

Advice

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

[For the provision of advice to the Minister or Chief Minister, use GOVERNMENT RELATIONS - Advice.

For legal advice, use LEGAL SERVICES - Advice.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
187.005.001 ■■■■■■■■■■■■■■■■■■■■	Receipt and provision of advice that resulted in major changes to the agency's policies, procedures or caused considerable controversy. Includes advice provided by consultants.	Retain as Territory Archives
187.005.002 ■■■■■■■■■■■■■■■■■■■■	Receipt and provision of advice that did not result in major changes to the agency's policies, procedures or caused considerable controversy. Includes advice provided by consultants.	Destroy 5 years after last action
187.005.003 ■■■■■■■■■■■■■■■■■■■■	Working papers documenting the development of advice.	Destroy 2 years 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.

[For agreements with other governments, including international governments, use GOVERNMENT RELATIONS - Agreements.

For agreements relating to joint ventures, use TRAINING & TERTIARY EDUCATION – Joint Ventures.

For agreements and contracts with apprentices and trainees, use TRAINING & TERTIARY EDUCATION – Training.]

Entry No.	Description of Records	Disposal Action
187.006.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting agreements or Memoranda of Understanding and supporting documents relating to the provision of tertiary education and training that involved significant litigation, political or public interest. Includes contracts and project scope documents. <i>[For records documenting the litigation process, use LEGAL SERVICES – Litigation]</i>	Retain as Territory Archives
187.006.002 ■■■■■■■■■■■■■■■■■■■■	Records documenting agreements or Memoranda of Understanding and supporting documents relating to the provision of tertiary education and training that did not involved significant litigation, political or public interest. Includes contracts and project scope documents. <i>[For records documenting the litigation process, use LEGAL SERVICES – Litigation]</i>	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.

[For audit committees, use STRATEGIC MANAGEMENT - Committees.

For the establishment of advisory councils or governing boards with decision making responsibility for agency policy and/or planning, use STRATEGIC MANAGEMENT - Committees.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
187.020.001 ████████████████████	Records documenting high-level corporate, inter-agency or inter-government committees with overall responsibility for making major decisions relating to tertiary education and training. Includes: <ul style="list-style-type: none"> • agendas; • documents establishing the committee; • final versions of minutes; • reports; • recommendations; • supporting documents such as briefing and discussion papers; • working papers. 	Retain as Territory Archives
187.020.002 ████████████████████	Records documenting declarations of members' private interests.	Destroy 7 years after termination of appointment
187.020.003 ████████████████████	Records documenting external or inter-agency committees formed to consider minor or routine tertiary education and training issues. Includes: <ul style="list-style-type: none"> • agendas; • documents establishing the committee; • appointment of members; • minutes; • supporting documents such as briefing and discussion papers; • notice of meetings; • room bookings; • working papers. 	Destroy 5 years after last action

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.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
187.042.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting external and internal reports on the evaluation of potential or existing programs, services and systems relating to the provision of training and tertiary education.	Retain as Territory Archives
187.042.002 ■■■■■■■■■■■■■■■■■■■■	Records documenting the ongoing monitoring of programs, services and systems relating to the provision of training and tertiary education. Excludes final versions of reports.	Destroy 3 years after last action
187.042.003 ■■■■■■■■■■■■■■■■■■■■	Working papers supporting the development of external or internal reports evaluating programs, services and systems relating to the provision of training and tertiary education.	Destroy 6 months after last action

Grant Funding

The activities associated with the application for and receipt of grants.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
187.049.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting successful applications made by or to the agency for grant funding from government and non-government sources. Includes the administration and management of scholarships and funding directed to a variety of training and tertiary education programs in the ACT.	Destroy 7 years after last action
187.049.003 ■■■■■■■■■■■■■■■■■■■■	Records documenting unsuccessful applications made by or to the agency for grant funding from government and non-government sources.	Destroy 2 years after last action

Joint ventures

The activities involved in managing joint operations between the agency and other agencies, or with the government, where there is a contract, joint contribution of funds and/or time. Includes private sector ventures with public sector organisations, and co-research or collaboration between inter-departmental units, departments or agencies.

[For records documenting the management of publishing joint ventures, use PUBLICATION – Joint ventures.]

Entry No.	Description of Records	Disposal Action
187.062.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting the establishment, negotiation and management of joint venture agreements of major significance to the Territory or were the subject of significant public interest or political controversy.	Retain as Territory Archives
187.062.002 ■■■■■■■■■■■■■■■■■■■■	Records documenting the establishment, negotiation and management of joint venture agreements or contracts under seal that were not of major significance to the Territory or were not the subject of significant public interest or political controversy.	Destroy 12 years after completion or other termination of agreement or contract
187.062.003 ■■■■■■■■■■■■■■■■■■■■	Records documenting the establishment, negotiation and management of joint venture agreements or contracts not under seal that were not of major significance to the Territory or were not the subject of significant public interest or political controversy.	Destroy 7 years after completion or other termination of agreement or contract

Liaison

The activities associated with maintaining regular general contact between the agency and professional associations, professionals in related fields, other private sector organisations and community groups. Includes sharing informal advice and discussions, membership of professional associations and collaborating on projects that are not joint ventures.

Entry No.	Description of Records	Disposal Action
187.067.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting the activities associated with maintaining regular contact between the agency and professional associations, private sector organisations and community groups involved with training and tertiary education. Includes collaborating on projects that are not joint ventures. Also includes discussions and the sharing of information.	Destroy 3 years 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.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
187.079.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting the development of plans for projects of major significance to the Territory or that were the subject of significant public interest or political controversy, including final versions of plans and working papers.	Retain as Territory Archives
187.079.002 ■■■■■■■■■■■■■■■■■■■■	Records documenting the development of plans for projects not of major significance to the Territory or that were not the subject of significant public interest or political controversy, including final versions of plans and working papers.	Destroy 5 years after plan is superseded

Policy

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
187.080.001 ■■■■■■■■■■■■■■■■■■■■	Development and establishment of policies with Territory or national significance or were the subject of significant public interest or political controversy, including comments and input into the development of national frameworks, policies and final versions. Includes: <ul style="list-style-type: none"> • comments; • policy proposals; • research papers; • results of consultations; • supporting reports; • major drafts. 	Retain as Territory Archives
187.080.002 ■■■■■■■■■■■■■■■■■■■■	Development and establishment of agency's policies without Territory significance or were not the subject of significant public interest or political controversy. Includes: <ul style="list-style-type: none"> • comments; • policy proposals; • research papers; • results of consultations; • supporting reports; • major drafts. 	Destroy 5 years after policy expires or is superseded

Procedures

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
187.082.001 ■■■■■■■■■■■■■■■■■■■■	Master set of agency manuals, handbooks, and directives, etc. detailing procedures relating to the management and provision of tertiary education and training in the Territory.	Destroy 7 years after procedures are superseded
187.082.002 ■■■■■■■■■■■■■■■■■■■■	Records documenting the development of agency procedures relating to the management and provision of tertiary education and training in the Territory.	Destroy 2 years after procedures are superseded

Registration

The activities to record, catalogue, inventory or list. The establishment and maintenance of registers containing information required by legislation.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
187.155.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to the registration of student work experience placements. Including Structured Workplace Learning.	Destroy after person reaches 25 years of age, or 7 years after last action, whichever is later

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.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
187.091.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting detailed research carried out to support the provision of tertiary education and training that resulted in significant changes to policies or programs, new or innovative projects or ways of providing training and tertiary education.	Retain as Territory Archives
187.091.002 ■■■■■■■■■■■■■■■■■■■■	Records documenting routine research carried out to support the provision of tertiary education and training.	Destroy 7 years after last action

Reviewing

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
187.093.001 ■■■■■■■■■■■■■■■■■■■■	Final reports and action plans resulting from reviews of agency programs and operations relating to the provision of tertiary education and training.	Retain as Territory Archives
187.093.002 ■■■■■■■■■■■■■■■■■■■■	Records documenting reviews of agency programs and operations relating to the provision of tertiary education and training. Includes documents establishing the review.	Destroy 5 years after last action
187.093.003 ■■■■■■■■■■■■■■■■■■■■	Working papers documenting a review of agency programs and operations.	Destroy 2 years after last action

RETAIN AS TERRITORY ARCHIVES

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.

[For agreements with other governments, including international governments, use GOVERNMENT RELATIONS - Agreements.

For agreements relating to joint ventures, use TRAINING & TERTIARY EDUCATION – Joint Ventures.

For agreements and contracts with apprentices and trainees, use TRAINING & TERTIARY EDUCATION – Training.]

Entry No.	Description of Records	Disposal Action
187.006.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting agreements or Memoranda of Understanding and supporting documents relating to the provision of tertiary education and training that involved significant litigation, political or public interest. Includes contracts and project scope documents. <i>[For records documenting the litigation process, use LEGAL SERVICES – Litigation]</i>	Retain as Territory Archives

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.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
187.013.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting reports of internal or external audits relating to the provision of tertiary education and training, including providers and organisations, (e.g. conducted by an external authority such as the ACT Auditor General's Office) where: <ul style="list-style-type: none"> • the audit report is qualified by the auditor; or • there are major or significant changes to practices. 	Retain as Territory Archives

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.

[For audit committees, use *STRATEGIC MANAGEMENT - Committees*.

[For the establishment of advisory councils or governing boards with decision making responsibility for agency policy and/or planning, use *STRATEGIC MANAGEMENT - Committees*.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
187.020.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting high-level corporate, inter-agency or inter-government committees with overall responsibility for making major decisions relating to tertiary education and training. Includes: <ul style="list-style-type: none"> • agendas; • documents establishing the committee; • final versions of minutes; • reports; • recommendations; • supporting documents such as briefing and discussion papers; • working papers. 	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.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
187.080.001 ■■■■■■■■■■■■■■■■■■■■	Development and establishment of policies with Territory or national significance or were the subject of significant public interest or political controversy, including comments and input into the development of national frameworks, policies and final versions. Includes: <ul style="list-style-type: none">• comments;• policy proposals;• research papers;• results of consultations;• supporting reports;• major drafts.	Retain as Territory Archives

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.

[For the Annual Report drafting process, use PUBLICATIONS - Drafting.

For submissions of annual reports to the Portfolio Minister, use GOVERNMENT RELATIONS - Compliance.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
187.088.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting the development of formal internal reports and formal external reports made to other agencies or bodies involved in the training and tertiary education sector, including final versions of reports.	Retain as Territory Archives

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.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
187.091.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting detailed research carried out to support the provision of tertiary education and training that resulted in significant changes to policies or programs that resulted in new or innovative projects or ways of providing training and tertiary education.	Retain as Territory Archives

Reviewing

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
187.093.001 ■■■■■■■■■■■■■■■■■■■■	Final reports and action plans resulting from reviews of agency programs and operations relating to the provision of tertiary education and training.	Retain as Territory Archives

Standards

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
187.100.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting the agency's input into the development of national frameworks and standards relating to the provision of tertiary education and training,	Retain as Territory Archives

Submissions

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

[For Cabinet submissions, use GOVERNMENT RELATIONS - Submissions.

For the development of submissions on the proposals of new legislation or the amendment of existing legislation, use STRATEGIC MANAGEMENT - Legislation.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
187.102.001 ■■■■■■■■■■■■■■■■■■■■	<p>Submissions (other than Cabinet submissions) made to the Chief Minister, Minister, government bodies on issues directly relating to the function, concerning controversial issues with far reaching social, economic, national or international implications relating to the functional responsibilities of the agency, includes submissions to non-government organisations, bodies, groups, etc. Also includes working papers.</p> <p><i>[For Cabinet submissions regarding controversial issues, use GOVERNMENT RELATIONS - Submissions.</i></p> <p><i>For working papers developing Cabinet submissions relating to significant issues, use GOVERNMENT RELATIONS - Submissions]</i></p>	Retain as Territory Archives