

Australian Capital Territory

Territory Records (Records Disposal Schedule – Fleet Management Records) Approval 2012 (No 1)

Notifiable instrument NI2012—187

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 – Fleet Management Records) Approval 2012 (No 1)

2. Approval

I approve the Records Disposal Schedule – Fleet Management Records.

3. Commencement

This instrument commences on the day after notification.

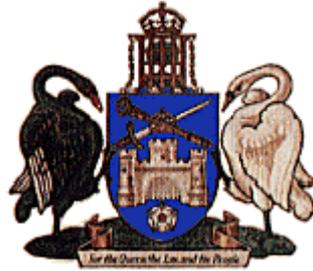
4. Revocation

I revoke Notifiable Instruments:

NI2009-438 notified 11 September 2009.

NI2011-91 notified 8 March 2011

David Wardle
Director of Territory Records
29 March 2012



Records Disposal Schedule

Fleet Management Records

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INTRODUCTION

The *Records Disposal Schedule – Fleet Management 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 <http://www.territoryrecords.act.gov.au/recordsadvice>.

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 – Fleet Management 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 - Fleet Management 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:

Emergencies Act 2004

Evidence Act 1971

Freedom of Information Act 1989

Road Transport (Alcohol and Drugs) Act 1977

Road Transport (Driver Licensing) Act 1999

Road Transport (General) Act 1999

Road Transport (Mass, Dimensions and Loading) Act 2009

Road Transport (Vehicle Registration) Act 1999

Motor Vehicle Standards Act 1989 (Cwlth)

Motor Vehicle Standards Regulations 1989 (Cwlth)

Public Sector Management Act 1994

Territory Records Act 2002

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

FLEET MANAGEMENT

The function of acquiring (either by purchase, leasing or chartering), managing, maintaining, repairing and disposing of vehicles. Vehicles are any means of conveyance owned, leased or used by the Territory to transport people, equipment or other items and includes special purpose vehicles acquired or modified by the agency for activities unique to the agency (e.g. emergency services vehicles, registrable ride on mowers, bicycles, etc.).

Accidents

The activities involved in dealing with mishaps causing injury or damage. Includes damage or injury to the organisation's property or member of staff incurred while coming to, at, or leaving work, or to the general public or visitors whilst on the organisation's premises. Also includes measures to prevent accidents occurring.

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.

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.

Allowances

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

Arrangements

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

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.

Claims

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

Committees

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

Compliance

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

Conservation

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

Construction

The process of making or building something.

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.

Corporate Style

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

Disposal

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

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.

Infringements

The activities associated with handling breaches of rules. Includes driving or traffic infringements and infringements of the agency's intellectual property.

Inspections

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

Insurance

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

Leasing

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

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.

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.

Reviewing

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

Standards

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

Stocktake

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

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

RETAIN AS TERRITORY ARCHIVES

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

Amendments to the Fleet Management Records Disposal Schedule Dated May 2011

Function (Amendments)
The FLEET MANAGEMENT function incorporates classes that were previously found in: <ul style="list-style-type: none"> • NI2011-91 Emergency Services Records – Materiel Support Function
The FLEET MANAGEMENT scope note was amended.

New Features (Insertions)		
Activity	Entry no.	Description
Acquisition	003.003.001	New Class
Allocation	003.007.001	New Class
Allocation	003.007.002	New Class
Audit	003.013.001	New Class
Authorisation	006.014.003 006.014.005	New Class
Committees	003.020.001 003.020.002 003.020.003	New Classes
Compliance	003.021.001 003.021.003	New Classes
Conservation	006.023.001 006.023.002	New Classes
Construction	003.024.001 003.024.002 003.024.003	New Classes
Corporate Style	003.027.001 003.027.002 003.027.003	New Classes
Disposal	003.034.001	New Class
Distribution	003.036.001	New Class
Evaluation	003.042.001 003.042.003	New Classes
Infringements	006.055.001	New Class
Inspections	003.057.001	New Class

New Features (Insertions)

Activity	Entry no.	Description
Installation	003.058.001	New Class
Maintenance	006.069.001 006.069.002	New Classes
Policy	006.080.001 006.080.003	New Classes
Registration	006.155.001 006.155.002	New Classes
Reporting	006.088.001 006.088.002 006.088.003	New Classes
Reviewing	006.093.001	New Class
Standards	006.100.001 006.100.002	New Classes
Stocktake	006.101.001	New Class
Submissions	003.102.001 003.102.002 003.102.003	New Classes

Enhancements (Changes)

Activity	Entry no.	Description
Acquisition	003.003.002 003.003.003 003.003.004	Renumbered and Class description changed.
Agreements	003.006.001	Class description changed.
Allocation	003.007.003 003.007.004	Renumbered and Class description changed.
Arrangements	003.011.001 003.011.001 003.011.001	Class description changed.
Audit	003.013.002 003.013.003	Renumbered and Class description changed.
Authorisation	006.014.004	Renumbered.
Claims	003.019.001	Class description changed.
Compliance	003.021.002	Renumbered and Class description changed.

Enhancements (Changes)

Activity	Entry no.	Description
Construction	N/A	Scope note changed
Construction	003.024.002 003.024.003	Renumbered and Class description changed.
Disposal	003.034.002 003.034.003	Renumbered and Class description changed.
Distribution	003.036.002 003.036.003	Renumbered and Class description changed.
Evaluation	003.042.002	Renumbered and Class description changed.
Infringements	006.055.001	Renumbered and Class description changed.
Installation	003.058.002 003.058.003	Renumbered and Class description changed.
Insurance	003.059.001 003.059.002	Class description changed.
Inventory	003.061.001	Class description and disposal trigger changed
Leasing	003.063.001	Class description changed.
Leasing out	003.064.001	Class description changed.
Maintenance	006.069.003 006.069.003	Renumbered and Class description changed.
Policy	006.080.002 006.080.004 006.080.005	Renumbered
Procedures	006.082.001	Class description changed.