



**Australian Government**  

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**National Archives of Australia**

# **Administrative Functions Disposal Authority (AFDA)**

Revised March 2010

A Records Authority for administrative functions linked to *Keyword AAA: A Thesaurus of General Terms* modified for Commonwealth use

This is an accurate reproduction of the authorised records  
authority content, created for accessibility purposes



## **Acknowledgements**

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## **Note about this edition**

This edition of the *Administration Functions Disposal Authority*, March 2010 contains revisions to the August 2000 published edition. Information about the revisions is available in the Introduction to this document.

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The terms in the business classification scheme taken from the *Keyword AAA: A Thesaurus of General Terms* (Government of New South Wales, 1998), are produced under a licence agreement between the Office for Government Online, the National Archives of Australia and the State Records Authority of New South Wales.

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## INTRODUCTION

The Administrative Functions Disposal Authority was released in 2000. The Authority was revised during 2009 taking into account legislative changes affecting particular functions to meet accountability requirements as well as other enhancements designed to improve the overall usability of the Authority. As a result of this review some classes have been replaced and others remain intact. The authoritative version of AFDA will be maintained on the National Archives website.

## PURPOSE AND SCOPE OF THE ADMINISTRATIVE FUNCTIONS DISPOSAL AUTHORITY

### Purpose

The Administrative Functions Disposal Authority (AFDA) identifies minimum retention periods for Commonwealth records and authorises the destruction of Commonwealth records as required by Section 24 of the Archives Act 1983 and is issued for use across the Commonwealth.

It also authorises the amendment and alteration of records more than 25 years old as required by Section 26 of the Archives Act 1983 for master control records and personal case records in the Personnel, Compensation and Occupational Health and Safety functions.

### Scope

This Authority covers the records relating to the administrative functions performed by the Commonwealth and its agencies. It applies to central or national offices, State/Territory or branch offices, local offices and overseas posts. It applies to all records created since Federation, regardless of format.

It covers the following 18 common administrative functions. 17 are based on the classification scheme of Keyword AAA: A Thesaurus of General Terms produced by the State Records Authority of New South Wales. One additional common administrative function has been added. (identified by an \*):

Function name		
Community Relations	Government Relations	Procurement*
Compensation	Industrial Relations	Property Management
Equipment & Stores	Information Management	Publication
Establishment	Legal Services	Staff Development
Financial Management	Occupational Health & Safety (OH&S)	Strategic Management
Fleet Management	Personnel	Technology & Telecommunications

## **Exclusions**

Pre-Federation records are not covered by this Authority. The National Archives should be contacted if agency holdings include pre 1901 records. This Authority is for common administrative records only and is not to be used to destroy or transfer records created in support of an agency's core business. The National Archives issues separate Records Authorities for an agency's core businesses.

For example, an agency whose core business is the financial management of the Commonwealth must not use the finance function in AFDA to sentence their records. They must instead use their own Records Authority to destroy, retain or transfer these records. However, an agency whose core business is environmental management could use financial management in AFDA for administrative or housekeeping financial records. To see all current Records Authorities issued for agency core business records, please use the following link:

[www.naa.gov.au/records-management/keep-destroy-transfer/authorities/list-ra.aspx](http://www.naa.gov.au/records-management/keep-destroy-transfer/authorities/list-ra.aspx)

This Authority is not to be used for any records which document the Defence military combat function or the management of Defence military personnel. This includes the functions of Compensation, Equipment and Stores, Fleet Management and Personnel.

The legislation for each function covers all Commonwealth agencies (including business enterprises) except for the Personnel and Establishment functions. Agencies which employ staff under their own enabling legislation can use the Authority in limited circumstances and details of strategies that can be employed are mentioned later in this Introduction.

## **FEATURES OF THE REVISED 2010 EDITION OF AFDA**

This Authority contains:

- classes that remain intact from the August 2000 edition of AFDA; and
- new classes which replace selected superseded classes from the August 2000 edition of AFDA. A table of all superseded classes is available from the Archives website: [www.naa.gov.au](http://www.naa.gov.au). After the 2010 edition of AFDA is issued, agencies should not use the August 2000 edition of AFDA.

If your agency holds records that have already been sentenced for destruction or transfer using the August 2000 edition of AFDA prior to the issue of this Authority, these records do not require resentencing.

There are some exceptions to this general rule. Where records previously identified as 'Retain as national archives' (RNA) are no longer RNA or where minimum retention periods have increased, affected records need to be retained in accordance with the new period. A table of new and superseded classes provides guidance on when re-sentencing is required for particular classes (please see Amendments to Administrative Functions Disposal Authority - August 2000 Edition available from the Archives website).

### **Replacement of Authorities for General Use (pre 2000)**

This Authority continues to replace a number of authorities for general use such as General Disposal Authorities (GDAs) and General Disposal Schedules (GDSs), as indicated in the following table. Agencies must not use any superseded GDAs when sentencing records.

<b>Authority / Schedule</b>	<b>Records covered</b>	<b>Date Issued</b>
GDS 12/12A	Finance and Accounting records	23 June 1988
GDA 13	Accommodation, Property & Works records	21 December 1989
GDA 14	General administrative records	18 October 1990
GDA 15	Tender and Contract records	18 October 1990
GDA 16	Asbestos related records	18 October 1990
GDA 17	Staff and Establishment records	10 February 1992
GDA 18	State/regional offices and overseas posts of Departments and Authorities	22 December 1993
GDA 20	Records relating to third level agencies: offices controlled by State or regional offices	29 March 1996

This Authority also continues to replace entries in pre 2000 agency Records Authorities (RAs) for administrative records. Please contact the Archives if further advice is needed.

### **Records already sentenced using replaced GDAs**

All records held by the agency which are sentenced for 'Permanent Retention' and records required to be kept for over 30 years (eg Personal history files, compensation case files, etc) must be resentenced using this Authority. Other records need not be resentenced if sentenced for destruction before the issue of this Authority.



**Other GRAs**

A list of current record authorities for general use that can still be used is available from the Archives website.

**Agency core business Records Authorities**

This Authority only applies to records created as a result of one of the 18 administrative functions and not to records relating to an agency's core business. The National Archives issues separate Records Authorities for agency's core businesses.

Please contact the National Archives of Australia for advice on how to develop an agency core business Records Authority. The Procurement function is an exception to this general rule. The Procurement function covers procurement activities in support of both administrative functions and agency core business.

**RELATIONSHIP OF THE AUTHORITY TO THE KEYWORD AAA THESAURUS**

Keyword AAA is based on the approach of Australian Standard AS 4390 Records Management, and is consistent with the approach of International Standard AS ISO 15489: Records Management, which focuses on:

- (a) the goals and strategies of the organisation;
- (b) the broad functions and activities of the organisation which support the pursuit of the goals and strategies;
- (c) the activities of the organisation which contribute to accomplishment of the functions; and
- (d) the groups of recurring transactions which constitute each activity.

This approach recognises that certain common functions may occur across organisations in areas other than those which have prime responsibility for their administration. For example, staff development may be managed at an organisational level by the Human Resource Division of an agency, but it is probable that most business areas would carry out activities to support the planning of staff development requirements for their own employees.

The outcome of the functional analysis is the business classification scheme which is hierarchical and based on the following three levels:

- i. the business function;
- ii. the activities constituting the function; and
- iii. further refinements of the activities or groups of transactions which take place within each activity.

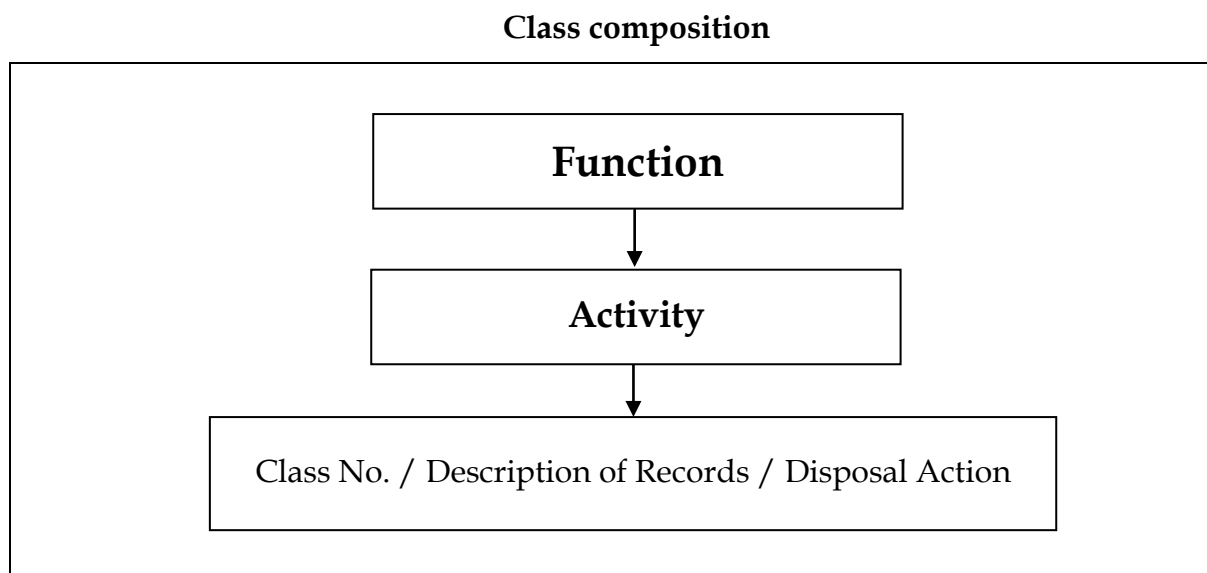
According to the classification model of Keyword AAA:

- keywords represent broad business functions of an agency;
- activity descriptors describe the more specific activities taking place within those functions; and
- subject descriptors are added as a means of describing the more specific subjects or topics relating to the matter to be documented within an activity.

In this Authority the first two levels of the Keyword AAA structure have been used: the function and activity levels. The records description covers the third level transactions if they have been identified in the analysis of the function. The class description comprises four components:

- the function and the activity with their scope notes;
- the description of the record;
- class number; and
- the disposal action.

The following diagram illustrates the class composition and the relationship of the components.



Sometimes one class description can look the same as another but have a different retention period. This is because a record's value depends on the context of the functions and activity. For example, records created for the activity 'Policy' under the Strategic Management function are retained longer than 'Policy' under the Fleet Management function.

## LAYOUT OF THE AUTHORITY

This Authority is divided into following three sections:

- Introduction;
- Separate chapters for each of the 18 administrative functions which contain the function description; function note; the activity; corresponding class number and disposal action;
- Index.

Each chapter containing the records classes comprises the following parts:

Function	<p>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.</p> <p>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.</p> <p>Specific directions relating to Commonwealth use of a function have occasionally been added to the Keyword AAA scope note.</p>
Activity	<p>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.</p> <p>The scope of the activity encompasses all of the transactions that take place in relation to this activity.</p> <p>Activities can relate to many functions with the scope notes covering all of these relationships (eg the activity descriptor 'Distribution' is linked to the functions Equipment &amp; Stores, Information Management and Publication). However, each function and activity set represents a unique unit.</p>
Class No.	<p>This is the unique number allocated automatically by the National Archives 'RecordSearch' System. This is the number that agencies must quote on records control systems and on National Archives' transfer documentation. A barcode representing the Class No. is available and may be used in records management systems.</p>
Description of records	<p>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.</p>

Disposal action	States the minimum retention period for the records. It notes the event from which the destruction, retention or transfer date is calculated.
'For' statements	'For' statements provide guidance on the inter-related links to other function and activity sets. 'For' statements positioned under the activity scope note are shown in italics and belong to the particular function/activity set and all the records descriptions. The 'For' statements underneath a particular description relate to that record description alone.

## APPLYING THE AUTHORITY TO RECORDS

This Authority is to be used to determine whether administrative records should be kept, destroyed or transferred to the National Archives. The disposal action set out in the Authority is the minimum period a record should be retained before destruction. A record can be kept for longer, but it cannot be destroyed before that date. Records designated as national archives (RNA) should be transferred to the National Archives when the agency's regular business need for the records ceases.

Arrangements should be made with the National Archives when records are to be transferred. The technical term describing the activity undertaken to determine the fate of a record is called sentencing and advice on how to apply an authority is available from the National Archives website at [www.naa.gov.au/records-management/keep-destroy-transfer/sentencing](http://www.naa.gov.au/records-management/keep-destroy-transfer/sentencing)

### Disposal Freezes

Prior to records destruction, it is important to note any relevant disposal freezes. The National Archives places a disposal freeze on some groups of records to prevent their destruction. These generally relate to groups of records relating to a particular topic or event which has gained prominence or provokes controversy. While the freeze is in place, no records relating to the topic or event may be destroyed. Further information about current disposal freezes and whether they affect the application of this Authority is available from the National Archives website at [www.naa.gov.au/records-management/keep-destroy-transfer/freezes](http://www.naa.gov.au/records-management/keep-destroy-transfer/freezes)

Records which relate to any current or pending legal action, or are subject to a request for access under the Archives Act 1983, Freedom of Information Act (FOI) or any other relevant Act must not be destroyed until the action has been completed.

For sentencing training and advice, refer to the Archives website at [www.naa.gov.au](http://www.naa.gov.au)

## **SPECIAL NOTES TO THE AUTHORITY**

### **Addition of one new function – 2010 edition**

By covering the following records within AFDA, agencies will no longer be required to include these records within their own agency core business Records Authorities, except where unique agency circumstances and/or highly specialised recordkeeping requirements exist that are not adequately addressed in AFDA.

Where agencies have a Records Authority that covers these unique records, they may choose to continue to use it on the basis that it was developed for their agencies' specific requirements. It is likely that AFDA will provide the same minimum retention requirements. If this is not the case, the agency should revert to their own Records Authority. The following new function has been added:

### **Procurement**

This function has been added to AFDA in recognition that all agencies undertake procurement activities in support of their unique core business and general administrative functions. The Procurement function replaces procurement activities previously covered by other AFDA functions, with the exception of Property Management.

### **Meeting requirements of a host country by overseas posts**

The disposal action noted against various classes in the Authority relates to Australian statutory requirements. Australian overseas posts may have to increase the retention period to meet any statute of limitation periods in their host country.

### **Establishment and Personnel records**

A number of agencies manage their establishment structures and employ staff under their own enabling legislation rather than the Public Service Act 1999. Such agencies may use the sections of the Authority relating to the Establishment and Personnel functions, but before doing so should check their own enabling legislation and other regulatory directives for major variations in scope and requirements.

In cases where the variations are great this Authority is not applicable. The agency's own Records Authority must cover these records.

### **Addition to and alteration of records over 25 years old**

In accordance with Section 26(2)(b) of the Archives Act 1983, this Authority permits the addition of such registry annotations as file markings, re-classification stamps, additions of disposal classes used to sentence an item and similar markings to records over 25 years old located with the agency.

Records over 25 years old which are required for the ongoing management of employees, such as case records in the Compensation, Occupational Health and Safety, and Personnel functions may be added to or amended, providing that alterations do not involve erasures or deletions.

### **Transfer of custody and ownership of Commonwealth records**

Under some functions the transfer of custody and ownership of Commonwealth records is directed in the disposal action. This Authority permits the transfer of records under Section 24(2)(b) of the Archives Act 1983 subject to them no longer being needed as evidence for further Commonwealth liability (eg for compensation issues). If there are any doubts in relation to this requirement, copies should be made of the records before they are transferred.

### **NORMAL ADMINISTRATIVE PRACTICE**

The Normal Administrative Practice (NAP) provision of the Archives Act gives agencies permission to destroy certain records without formal authorisation. This usually occurs where records are duplicated, facilitative or for short-term use only. NAP does not replace arrangements agreed to in this Authority but can be used as a tool to assist in identifying records for destruction together with an agency's Record Authority or Authorities, and with AFDA. The National Archives recommends that agencies develop and implement a Normal Administrative Practice policy to assist in planning and implementing activities to determine whether records should be kept or destroyed. Advice and guidance on destroying records as a normal administrative practice and on how to develop an agency NAP policy is available from the National Archives' website at [www.naa.gov.au](http://www.naa.gov.au)

### **AMENDMENTS AND VARIATIONS**

This Authority will occasionally require amendment by the addition of new classes or a variation to the class descriptions or disposal action. The Archives will notify agencies of any changes and the information will also be published on the Archives website.

Officers using the Authority should advise the Archives of any significant changes they consider desirable or classes of records not covered by the Authority.

Comments on this Authority can be directed to the:

Queen Victoria Terrace

Parkes ACT 2600

PO Box 7425

Canberra Mail Centre ACT 2610

Tel: (02) 6212 3610

Fax: (02) 6212 3989

Email: [recordkeeping@naa.gov.au](mailto:recordkeeping@naa.gov.au)

Website: [www.naa.gov.au](http://www.naa.gov.au)

## AUTHORISATION

### ADMINISTRATIVE FUNCTIONS DISPOSAL AUTHORITY

**Person to whom notice of authorisation is given:**

Heads of Commonwealth institutions under the Archives Act 1983, as listed in National Archives file RkS Ref: 2009/3158

**Purpose:**

Authorises arrangements for the destruction, retention or transfer to the National Archives of Australia of records in accordance with Section 24(2)(b) of the *Archives Act 1983*

Authorises arrangements for the addition to, or alteration of records over 25 years old, in accordance with Section 26(2)(b) of the *Archives Act 1983* as described in the special notes to this Authority.

**Application:**

Records relating to administrative business areas held by all Commonwealth agencies

This authorisation gives permission for the destruction, retention or transfer to the National Archives of Australia of the records described. The authority will apply only if these actions take place with the consent of the agency responsible for the administrative business areas documented in the records.

**Authorising officer****Date of issue:**

Ross Gibbs  
Director-General  
National Archives of Australia

# CLASSES

## COMMUNITY RELATIONS

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

Note: Where an agency has specific relationships with professional associations and public clients supporting their core functions these should be covered in the agency's own Records Authority.

### 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.

Class No	Description of Records	Disposal Action
N/A	<i>[For the acquisition of goods and services required to support the community relations function where there is no tender or contracting out process, use PROCUREMENT – Acquisition.]</i>	N/A

### Addresses (presentations)

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

*For papers presented by staff at conferences supporting the community relations function, use COMMUNITY RELATIONS - Conferences.*

Class No	Description of records	Disposal action
20921 	Final versions of addresses made by the portfolio Minister, members of the governing body, advisory body or senior agency officers at major public occasions.  <i>[For addresses delivered by the portfolio Minister or senior agency officers at government occasions, use GOVERNMENT RELATIONS - Addresses.]</i>	Retain as national archives
1003 	Final versions of other addresses delivered in the routine promotion of the agency's service or products.	Destroy 2 years after last presentation
1004 	Working papers documenting the development of addresses, including drafts.	Destroy when reference ceases




## COMMUNITY RELATIONS

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Note: Where an agency has specific relationships with professional associations and public clients supporting their core functions these should be covered in the agency's own Records Authority.

### Arrangements

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

Class No	Description of records	Disposal action
1005 	Records detailing arrangements carried out to support the community relations function. Includes arrangements for guest speakers.  <i>[For arrangements made to support events hosted by the agency, use COMMUNITY RELATIONS – Functions (social); COMMUNITY RELATIONS - Celebrations and/or COMMUNITY RELATIONS - Ceremonies. For making travel arrangements for staff to attend promotional activities supporting the community relations function, use PERSONNEL - Arrangements.]</i>	Destroy 1 year after event

### Celebrations

The activities associated with arranging and managing festivities to honour a particular event.

*For addresses made at celebrations, use COMMUNITY RELATIONS - Addresses.*

*For managing financial transactions supporting celebrations activities, use FINANCIAL MANAGEMENT - Accounting and/or FINANCIAL MANAGEMENT - Payments.*

Class No	Description of records	Disposal action
1006 	Programs, invitations, guest lists and photographs relating to celebratory festivities held to honour an event of major importance to an agency (eg a significant anniversary).	Retain as national archives
1007 	Records documenting routine arrangements supporting celebrations to honour an event of major importance to an agency. Includes catering, venue bookings and entertainment.	Destroy 2 years after action completed
1008 	Records documenting all arrangements for other celebrations of lesser significance. Includes programs, invitations, guest lists, catering, venue bookings and entertainment.	Destroy 2 years after action completed

## COMMUNITY RELATIONS

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




Note: Where an agency has specific relationships with professional associations and public clients supporting their core functions these should be covered in the agency's own Records Authority.

### Ceremonies

The activities associated with arranging and managing a formal act performed for a special occasion.

*For addresses made at ceremonies, use COMMUNITY RELATIONS - Addresses.*

*For managing financial transactions supporting ceremonies, use FINANCIAL MANAGEMENT - Accounting and/or FINANCIAL MANAGEMENT - Payments.*

Class No	Description of records	Disposal action
1009 	Programs, invitations, guest lists and photographs relating to ceremonies held to mark a special occasion (eg the opening of a building or major facility, or the conferring of special community awards promoted by the agency).	Retain as national archives
1010 	Records documenting routine arrangements supporting ceremonies to mark special occasions. Includes catering, venue bookings and entertainment.	Destroy 2 years after action completed
1011 	Records documenting all arrangements for other ceremonies of lesser significance. Includes programs, invitations, guest lists, catering, venue bookings and entertainment.	Destroy 2 years after action completed



## COMMUNITY RELATIONS

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

Note: Where an agency has specific relationships with professional associations and public clients supporting their core functions these should be covered in the agency's own Records Authority.

### Committees

The activities associated with the managing of committees and task forces. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agenda etc.

Class No	Description of records	Disposal action
1012 	Records of internal and external committees formed to consider matters relating to the community relations function. Includes: <ul style="list-style-type: none"><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>	Destroy 3 years after action completed
1013 	Working papers documenting the conduct and administration of committees which consider matters relating to the community relations function. Includes: <ul style="list-style-type: none"><li>agenda;</li><li>notices of meetings; and</li><li>draft minutes.</li></ul>	Destroy when reference ceases

## COMMUNITY RELATIONS



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

Note: Where an agency has specific relationships with professional associations and public clients supporting their core functions these should be covered in the agency's own Records Authority.

### Conferences

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

*For managing financial transactions supporting conference activities, use FINANCIAL MANAGEMENT - Accounting and/or FINANCIAL MANAGEMENT - Payments.*

Class No	Description of records	Disposal action
1014 	Records documenting arrangements for agency conferences including program development, arranging speakers, promotion, managing registrations and venue bookings.	Destroy 3 years after action completed
1015 	Reports assessing the conduct of agency conferences.	Destroy 3 years after action completed
1016 	Copies of unpublished proceedings, reports, speeches and papers from agency conferences. Includes presentations by agency staff.	Destroy when reference ceases
<i>[For the printing and publication of agency conference proceedings and reports, use PUBLICATION - Production.]</i>		
20922 	Records documenting the attendance of staff or members of the governing or advisory body at conferences arranged by other organisations. Includes the completed conference registration forms, programs and conference promotion material.	Destroy when reference ceases
1018 	Copies of published conference proceedings and official reports received at conferences arranged by other organisations.	Destroy when reference ceases
1019 	Participants' reports on conferences arranged by other organisations.	Destroy 3 years after action completed

## COMMUNITY RELATIONS

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

Note: Where an agency has specific relationships with professional associations and public clients supporting their core functions these should be covered in the agency's own Records Authority.

### 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.

*For information on records issues relating to outsourcing and contracting-out see General Disposal Authority 25.*

Class No	Description of Records	Disposal Action
N/A	<i>[For records documenting contract management relating to the community relations function, use PROCUREMENT – Contracting-out.</i>	N/A

## COMMUNITY RELATIONS

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

Note: Where an agency has specific relationships with professional associations and public clients supporting their core functions these should be covered in the agency's own Records Authority.

### Customer Service

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

*This function/activity set should not be used by agencies which have an extensive customer service role. In these instances coverage should be included in the agency's own functional Records Authority.*

*For services provided to government, use GOVERNMENT RELATIONS - Customer Service.*

*For complaints from the public about customer services, use COMMUNITY RELATIONS – Public Reaction.*

*For suggestions from the public about customer services, use COMMUNITY RELATIONS – Suggestions.*

Class No	Description of records	Disposal action
1021 ■■■■■■■■■■	Records documenting the planning, monitoring and evaluation of customer services provided to the agency's public clients.	Destroy 3 years after action completed
1022 ■■■■■■■■■■	Records documenting the development of service charters and directives relating to the provision of services to the agency's public clients. Includes copies of internal directives and charters.  <i>[For the production of a service charter, use PUBLICATION - Planning and PUBLICATION - Production.]</i>	Destroy 3 years after superseded
1023 ■■■■■■■■■■	Records documenting the management of specific customer services provided to the public (eg managing an enquiry desk, a telephone information service or interpreter service). Includes planning, monitoring and evaluation of services (eg carrying out customer surveys).	Destroy 3 years after action completed

## COMMUNITY RELATIONS

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

Note: Where an agency has specific relationships with professional associations and public clients supporting their core functions these should be covered in the agency's own Records Authority.





### Donations

The activities associated with managing money, items, artefacts or property donated to the organisation, or by the organisation and or its staff to charities etc. Includes managing unsolicited donations.

*This function/activity set should not be used by agencies where public donations provide major support for core functions (eg National Library of Australia and the National Museum of Australia). In these instances coverage should be included in the agency's own functional Records Authority.*

*For managing financial transactions associated with donations received or made by the agency, use FINANCIAL MANAGEMENT - Accounting and/or FINANCIAL MANAGEMENT - Payments.*

*For the general management of monetary donations received or given by the agency, use FINANCIAL MANAGEMENT - Donations.*

Class No	Description of records	Disposal action
1024 	Records documenting donations of money and items, artefacts or property that are of long-term value or ongoing benefit to the nation.	Retain as national archives
1025 	Records documenting all other donations of money that are of little public interest (ie small amounts).	Destroy 7 years after donation received
1026 	Records documenting all other donations of items, artefacts or property that are of little public interest.	Destroy 7 years after disposal of item
1027 	Records documenting donations of money and items made by the agency to public organisations and groups, including charities.	Destroy 7 years after donation was made

## COMMUNITY RELATIONS

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

Note: Where an agency has specific relationships with professional associations and public clients supporting their core functions these should be covered in the agency's own Records Authority.

### Enquiries

The activities associated with handling requests for information about the organisation and its services by the general public, agency employees or another organisation.

Class No	Description of records	Disposal action
1028 ■■■■■■■■■■	Records documenting the handling of public enquiries about the agency and its programs, products and services.	Destroy 2 years after action completed

### 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.

Class No	Description of records	Disposal action
1029 ■■■■■■■■■■	Records documenting the evaluation and ongoing monitoring of community relations programs and services.	Destroy 5 years after action completed

*[For the evaluation of goods and services being considered for procurement in support of the community relations function, use PROCUREMENT – Evaluation.]*

### Exhibitions

The activities associated with using organisational material in mounted displays for the purpose of informing or educating the viewer, or promoting the activities, services, projects or programs of the organisation.

*This function/activity set should not be used by agencies which mount exhibitions as a core function (eg the National Gallery of Australia and the Australian National Maritime Museum). In these instances coverage should be included in the agency's own functional Records Authority.*

*For exhibition openings, use COMMUNITY RELATIONS - Functions (Social).*

*For managing financial transactions supporting the organisation of an exhibition, use FINANCIAL MANAGEMENT - Accounting and/or FINANCIAL MANAGEMENT - Payments.*

Class No	Description of records	Disposal action
1030 ■■■■■■■■■■	Records documenting the mounting of displays. Includes exhibition brief and design, and arrangements for setting up a display.	Destroy 3 years after action completed



## COMMUNITY RELATIONS

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


Note: Where an agency has specific relationships with professional associations and public clients supporting their core functions these should be covered in the agency's own Records Authority.

### Functions (social)

The process of organising and managing an official or formal social occasion conducted by the organisation to enhance its internal and external relationships, or to promote its services and image.

*For addresses made at functions, use COMMUNITY RELATIONS - Addresses.*

*For managing financial transactions supporting functions, use FINANCIAL MANAGEMENT - Accounting and/or FINANCIAL MANAGEMENT - Payments.*


Class No	Description of records	Disposal action
1031 	Records documenting the organisation and management of an official or formal social occasion. Includes venue bookings, guest lists, invitations and catering.	Destroy 2 years after action completed

### Grant Funding


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

*This function/activity set should not be used by an agency who as part of their core functions manage the distribution of grant funding to the community, or by an agency making an application for a grant from a community based organisation to support a core function. In such cases specific coverage should be included in the agency's own functional Records Authority.*

*For managing corporate strategies for seeking grant funding, use STRATEGIC MANAGEMENT - Grant Funding.*

Class No	Description of records	Disposal action
1032 	Records documenting successful applications made by the agency for grant funding from a non-government source.	Destroy 7 years after action completed

*[For the management of grant money received by the agency, use FINANCIAL MANAGEMENT - Grant Funding.]*

1033 	Records documenting unsuccessful applications made by the agency for grant funding from a non-government source.	Destroy 2 years after last action
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## COMMUNITY RELATIONS

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

Note: Where an agency has specific relationships with professional associations and public clients supporting their core functions these should be covered in the agency's own Records Authority.


### Greetings

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

Class No	Description of records	Disposal action
1034 	Records documenting the preparation, dispatch and receipt of letters of introduction, appreciation, condolence and greetings cards. Includes mailing lists.	Destroy when reference ceases

### 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 the installation of equipment. Also includes monitoring to ensure that the implementation goes according to schedule and that standards are met and includes first aid treatment.

Class No	Description of records	Disposal action
1035 	Records documenting the implementation of plans, policies and procedures developed to support the community relations function.	Destroy 3 years after action completed

## COMMUNITY RELATIONS

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

Note: Where an agency has specific relationships with professional associations and public clients supporting their core functions these should be covered in the agency's own Records Authority.

### Joint Ventures

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

*This function/activity set should not be used for joint venture arrangements which support core functions of the agency. In these instances coverage should be included in the agency's own functional Records Authority.*

Class No	Description of records	Disposal action
1036 	Records documenting the management of joint ventures undertaken to support the community relations function. Includes records relating to the establishment, maintenance and review of joint venture agreements and contracts.	Destroy 7 years after termination of arrangement
20923 	Signed joint venture contracts under seal prior to 15 November 2005 and supporting records: Western Australia.	Destroy 21 years after completion or other termination of contract
20924 	Signed joint venture contracts under seal and supporting records: Victoria and South Australia.	Destroy 15 years after completion or other termination of contract
20925 	Signed joint venture contacts under seal and supporting records: New South Wales, Western Australia (from 15 November 2005), Queensland, Australian Capital Territory, Northern Territory and Tasmania.	Destroy 12 years after completion or other termination of contract
1040 	Signed simple joint venture contracts and agreements and supporting records.	Destroy 7 years after completion or other termination of contract


## COMMUNITY RELATIONS

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

Note: Where an agency has specific relationships with professional associations and public clients supporting their core functions these should be covered in the agency's own Records Authority.

### Liaison


The activities associated with maintaining regular general contact between the organisation 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.

Class No	Description of records	Disposal action
1041 	Records documenting liaison activities undertaken with professional associations, private sector organisations and community groups. Includes collaboration on projects, exchange of information and all the activities of a member of an organisation.	Destroy 3 years after action completed

*[For subscriptions to publications of professional bodies where the subscriber does not have to be a member of a organisation, use PROCUREMENT - Acquisition.]*

### Marketing

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

Class No	Description of records	Disposal action
1042 	Records documenting the marketing of an agency's community relations activities. Includes records covering arrangements for advertising campaigns and promotional photographs.	Destroy 3 years after action completed

*[For the development of a marketing plan, use COMMUNITY RELATIONS - Planning.]*

*For media releases relating to marketing activities, use COMMUNITY RELATIONS - Media Relations.]*

## COMMUNITY RELATIONS

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

Note: Where an agency has specific relationships with professional associations and public clients supporting their core functions these should be covered in the agency's own Records Authority.

### Media Relations

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

Class No	Description of records	Disposal action
1043 ■■■■■■■■■■	Master set of agency media releases.	Retain as national archives
1044 ■■■■■■■■■■	Records documenting administrative arrangements with the media. Includes the issuing of media releases, organising interviews and providing information and assistance to support media coverage of an event or promotion of the agency's services or products.	Destroy 2 years after action completed
1045 ■■■■■■■■■■	Copies of media items specifically relating to the agency's operations. Includes newscuttings, transcripts and electronic items.	Destroy when reference ceases

*[For the acquisition of media items through a media monitoring service, use PROCUREMENT - Acquisition.]*

### Meetings

The activities associated with ad hoc gatherings held to formulate, discuss, update or resolve issues and matters pertaining to the management of the section, department, or organisation as a whole. Includes arrangements, agenda, taking of minutes etc. Excludes committee meetings.

Class No	Description of records	Disposal action
1046 ■■■■■■■■■■	Final version of minutes and supporting documents tabled at meetings held to support the community relations function. Includes meetings with external agencies.	Destroy 3 years after action completed
1047 ■■■■■■■■■■	Working papers documenting the conduct and administration of meetings held to support the community relations function. Includes agenda, notices of meetings and draft minutes.	Destroy when reference ceases





## COMMUNITY RELATIONS

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

Note: Where an agency has specific relationships with professional associations and public clients supporting their core functions these should be covered in the agency's own Records Authority.

### Planning

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

Class No	Description of records	Disposal action
1048 	Final version of agency-wide community relations plans.	Destroy 3 years after plan is superseded
1049 	Final version of community relations plans at business unit, state, regional or overseas office level.	Destroy 2 years after plan is superseded
1050 	Working papers used to develop all community relations plans. Includes draft plans, reports analysing issues, and comments received from other areas of the agency.	Destroy 1 year after adoption of the final plan
1051 	Copies of community relations plans.	Destroy when reference ceases

## COMMUNITY RELATIONS

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

Note: Where an agency has specific relationships with professional associations and public clients supporting their core functions these should be covered in the agency's own Records Authority.

### Policy

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

Class No	Description of records	Disposal action
1052 	Records documenting the development and establishment of the agency's community relations policies. Includes: <ul style="list-style-type: none"><li>• policy proposals;</li><li>• research papers;</li><li>• results of consultations;</li><li>• supporting reports;</li><li>• major drafts; and</li><li>• final policy documents.</li></ul>	Destroy 5 years after policy is superseded
1053 	Records documenting comments made on the development of government-wide community relations policies.	Destroy 1 year after promulgation of the new policy
1054 	Working papers documenting the development of all community relations policies.	Destroy 1 year after promulgation of the new policy
1055 	Copies of policy documents and supporting papers.	Destroy when reference ceases




## COMMUNITY RELATIONS

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

Note: Where an agency has specific relationships with professional associations and public clients supporting their core functions these should be covered in the agency's own Records Authority.


### Procedures

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

Class No	Description of records	Disposal action
1056 	Master set of agency manuals, handbooks, directives etc detailing procedures supporting the community relations function.	Destroy when procedures are superseded
1057 	Records documenting the development of agency procedures supporting the community relations function.	Destroy 1 year after production of procedures
1058 	Copies of manuals, handbooks, directives etc.	Destroy when reference ceases

### Public Reaction

The process of handling public reaction to an organisation's policies or services. Includes anonymous letters, letters of complaint and letters of congratulations or appreciation received from the public.

Class No	Description of records	Disposal action
1059 	Records documenting public reaction and agency responses.  <i>[For suggestions received from the public, use COMMUNITY RELATIONS - Suggestions.]</i>	Destroy 6 years after action completed



## COMMUNITY RELATIONS

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

Note: Where an agency has specific relationships with professional associations and public clients supporting their core functions these should be covered in the agency's own Records Authority.

### Reporting

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

Class No	Description of records	Disposal action
1060 ■■■■■■■■■■	Final version of internal formal reports and reports made to external agencies relating to the community relations function.	Destroy 5 years after action completed
1061 ■■■■■■■■■■	Final versions of periodic internal reports on general administrative matters used to monitor and document recurring activities to support the community relations function. Includes the collection and reporting of statistical information relating to visits.	Destroy 3 years after action completed
1062 ■■■■■■■■■■	Working papers documenting the development of all reports. Includes drafts and comments received.	Destroy when reference ceases
1063 ■■■■■■■■■■	Copies of community relations reports.	Destroy when reference ceases
1064 ■■■■■■■■■■	Responses to surveys carried out to support the community relations function.	Destroy 3 years after action completed


## COMMUNITY RELATIONS

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

Note: Where an agency has specific relationships with professional associations and public clients supporting their core functions these should be covered in the agency's own Records Authority.

### Representatives



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

Class No	Description of records	Disposal action
1065 	Records documenting the nomination, appointment and resignation from and/or termination of agency representatives in community organisations.	Destroy 3 years after last action

*[For the management of agency representatives on government bodies, use GOVERNMENT RELATIONS - Representatives.]*

### 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 the business activities of the organisation in general. Includes following up enquiries relating to organisational programs, projects, working papers, literature searches etc.

Class No	Description of records	Disposal action
1066 	Records documenting detailed research carried out to support the community relations function.	Destroy 5 years after action completed
1067 	Records documenting routine research carried out to support the community relations function.	Destroy when reference ceases

## COMMUNITY RELATIONS

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

Note: Where an agency has specific relationships with professional associations and public clients supporting their core functions these should be covered in the agency's own Records Authority.

### Reviewing

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

Class No	Description of records	Disposal action
1068 ■■■■■■■■■■	Records documenting a review of agency programs and operations supporting the community relations function. Includes documents establishing the review, final report and action plan.	Destroy 3 years after action completed
1069 ■■■■■■■■■■	Working papers documenting a review of agency programs and operations supporting the community relations function.	Destroy 1 year after action completed

### 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.

Class No	Description of records	Disposal action
1070 ■■■■■■■■■■	Records documenting security arrangements made for visits to the agency by dignitaries and the general public.	Destroy 5 years after last action

*[For general arrangements for visits, use COMMUNITY RELATIONS - Visits.*

*For building security arrangements made for a visit, use PROPERTY MANAGEMENT - Security.]*

## COMMUNITY RELATIONS

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

Note: Where an agency has specific relationships with professional associations and public clients supporting their core functions these should be covered in the agency's own Records Authority.

### Submissions

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

*For submissions made within government, use GOVERNMENT RELATIONS - Submissions.*

Class No	Description of records	Disposal action
1071 ■■■■■■■■■■	Final version of successful agency submissions made to community organisations.	Destroy 7 years after action completed
1072 ■■■■■■■■■■	Final version of unsuccessful agency submissions made to community organisations.	Destroy 3 years after action completed
1073 ■■■■■■■■■■	Working papers documenting the development of agency submissions. Includes draft submissions.	Destroy when reference ceases

### Suggestions

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

Class No	Description of records	Disposal action
1074 ■■■■■■■■■■	Suggestions received from the public relating to agency services or products.	Destroy 2 years after action completed

*[For feedback received from the public, use COMMUNITY RELATIONS - Public Reaction.*

*For suggestions received from personnel, use PERSONNEL - Suggestions ]*

### 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.

Class No	Description of Records	Disposal Action
N/A	<i>[For the acquisition of goods and services required to support the community relations function via a tender process, use PROCUREMENT - Tendering.]</i>	N/A

## COMMUNITY RELATIONS

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

Note: Where an agency has specific relationships with professional associations and public clients supporting their core functions these should be covered in the agency's own Records Authority.

### Visits

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

*For visits made by representatives of other agencies and interstate and overseas governments, use GOVERNMENT RELATIONS - Visits.*

*For security arrangements made for the visits to the agency, use COMMUNITY RELATIONS - Security.*

*For keeping statistical information relating to visits, use COMMUNITY RELATIONS - Reporting.*

Class No	Description of records	Disposal action
1085 ■■■■■■■■■■	Records documenting arrangements for visits or tours to the agency by the general public.	Destroy 2 years after last action
1086 ■■■■■■■■■■	Records documenting arrangements for visits made to the agency by important community representatives.	Destroy 5 years after action completed
1087 ■■■■■■■■■■	Records documenting visits by staff to community organisations to promote the image or services of the agency. Includes visit reports.	Destroy 2 years after last action
	<i>[For visits by members of governing bodies to community organisations, use GOVERNING BODIES.]</i>	
	<i>[For visits by members of advisory bodies to community organisations, use ADVISORY BODIES]</i>	
1088 ■■■■■■■■■■	Public visitor books.	Destroy 5 years after last entry
	<i>[For visitor books signed by Royalty or Heads of State, use GOVERNMENT RELATIONS - Visits.]</i>	

## COMPENSATION

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

Note: Records of all current and finalised asbestos-related claims for compensation must be transferred to the central agency with legislative responsibility for the management of asbestos liability in the Commonwealth (currently Comcare) under the *Asbestos-related Claims (Management of Commonwealth Liabilities) Act 2005*.

### 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.

<b>Class No</b>	<b>Description of Records</b>	<b>Disposal Action</b>
N/A	<i>[For accident reports sent to Comcare covering deaths, serious personal injury, incapacity and dangerous occurrences for both employees and members of the public, use OH&amp;S - Accidents.</i>	N/A
	<i>For accident reports submitted where an employee also submits a compensation claim, use COMPENSATION - Cases.</i>	
	<i>For accidents where a compensation claim is made by a governing body member, use GOVERNING BODIES.</i>	
	<i>For accident reports submitted by an employee but where there is no compensation claim submitted, use PERSONNEL - Accidents.</i>	
	<i>For accident reports submitted by members of the public where a compensation claim is lodged, use COMPENSATION - Claims.</i>	
	<i>For accident reports submitted by members of the public where there is no claim made for compensation, use OH&amp;S - Accidents.]</i>	

### 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.

<b>Class No</b>	<b>Description of Records</b>	<b>Disposal Action</b>
N/A	<i>[For the acquisition of goods and services required to support the compensation function where there is no tender or contracting out process, use PROCUREMENT – Acquisition.]</i>	N/A


## COMPENSATION

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

Note: Records of all current and finalised asbestos-related claims for compensation must be transferred to the central agency with legislative responsibility for the management of asbestos liability in the Commonwealth (currently Comcare) under the *Asbestos-related Claims (Management of Commonwealth Liabilities) Act 2005*.

### Advice

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

Class No	Description of records	Disposal action
1090 	Records documenting the receipt and provision of general advice to agency managers and employees on the compensation function. Includes the distribution of advice received from the lead agency responsible for the compensation function in the Commonwealth (currently Comcare).	Destroy 2 years after action completed

*[For the provision of advice to an employee relating to a specific compensation case, use COMPENSATION - Cases.*

*For legal advice obtained on the management of specific cases, use LEGAL SERVICES - Advice.]*

### Agreements

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

Class No	Description of Records	Disposal Action
N/A	<i>[For the process of forming a return to work plan agreement, use COMPENSATION - Cases.</i>	N/A

*For the legal process of establishing deeds of release and deeds of indemnity and other like agreements relating to the settlement of compensation cases, use LEGAL SERVICES - Agreements.*

*For agreements relating to the procurement of equipment, goods and services in support of the compensation function, use PROCUREMENT - Agreements.]*





## COMPENSATION

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

Note: Records of all current and finalised asbestos-related claims for compensation must be transferred to the central agency with legislative responsibility for the management of asbestos liability in the Commonwealth (currently Comcare) under the *Asbestos-related Claims (Management of Commonwealth Liabilities) Act 2005*.

### Authorisation

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

Class No	Description of records	Disposal action
1091 	Records documenting the delegation of power to the agency to make determinations on compensation claims.	Destroy 2 years after delegation expires
1092 	Delegations of power to agency staff to authorise administrative action relating to the compensation function.	Destroy 7 years after delegation expires
1093 	Authorisations for administrative action supporting the compensation function.	Destroy 7 years after action completed
1094 	Records documenting the granting of licences to agencies to self-insure and/or manage their workers' compensation liabilities.	Destroy 1 year after licence expires




## COMPENSATION

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

Note: Records of all current and finalised asbestos-related claims for compensation must be transferred to the central agency with legislative responsibility for the management of asbestos liability in the Commonwealth (currently Comcare) under the *Asbestos-related Claims (Management of Commonwealth Liabilities) Act 2005*.

### Cases

This activity descriptor should be used where there is a need to keep a number of activities together on one file, for legislative or operational reasons. Case files relate to particular incidents, persons, organisations or clients.

Class No	Description of records	Disposal action
20926 	<p>Cases where a compensation claim has been submitted for personal injury, death, or loss or damage to personal property of the employee. Covers claims made under safety, rehabilitation and compensation legislation. Includes:</p> <ul style="list-style-type: none"> <li>• Accident reports and associated papers such as witness statements;</li> <li>• Claims;</li> <li>• Determinations;</li> <li>• Correspondence and notes of meeting and conversations with the lead agency (currently Comcare);</li> <li>• Correspondence and notes on meetings or conversations with claimant;</li> <li>• Appointment of a case manager or rehabilitation provider;</li> <li>• Return to work plan;</li> <li>• Progress reports;</li> <li>• Assessment reports;</li> <li>• Medical reports and certificates;</li> <li>• Claim reviews;</li> <li>• Appeal records (including reconsideration and appeals to Administrative Appeals Tribunal);</li> <li>• Agreements entered into by the parties; and</li> <li>• Legal records documenting any legal advice received and action taken in relation to the case.</li> </ul>	<p>Destroy 75 years after date of birth of employee or 7 years after last action, whichever is longest. If date of birth is unknown assume the person was 15 at the time of the accident</p>

*[For records relating to claims made by public visitors, use COMPENSATION - Claims.*

*For records relating to claims made by governing body members, use GOVERNING BODIES.*

*For all asbestos-related claims relating to the Asbestos-related Claims (Management of Commonwealth Liabilities) Act 2005, transfer records to the central agency with legislative responsibility for the management of asbestos liability in the Commonwealth (currently Comcare).]*



## COMPENSATION

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

Note: Records of all current and finalised asbestos-related claims for compensation must be transferred to the central agency with legislative responsibility for the management of asbestos liability in the Commonwealth (currently Comcare) under the *Asbestos-related Claims (Management of Commonwealth Liabilities) Act 2005*.

### 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.

Class No	Description of records	Disposal action
1096 	Records documenting claims for compensation submitted by members of the public managed by an external insurance provider.  <i>[For accident reports detailing accident/incidents by members of the public, use OH&amp;S - Accidents. For a claim submitted for compensation by an employee, use COMPENSATION - Cases. For all asbestos-related claims relating to the Asbestos-related Claims (Management of Commonwealth Liabilities) Act 2005, transfer records to the central agency with legislative responsibility for the management of asbestos liability in the Commonwealth (currently Comcare).]</i>	Destroy 7 years after finalisation of the claim
1097 	Copies of claim reports submitted to the agency's central office for action or where claims are determined by the lead agency and are held separately to the agency case file.	Destroy when reference ceases



## COMPENSATION

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

Note: Records of all current and finalised asbestos-related claims for compensation must be transferred to the central agency with legislative responsibility for the management of asbestos liability in the Commonwealth (currently Comcare) under the *Asbestos-related Claims (Management of Commonwealth Liabilities) Act 2005*.

### Committees

The activities associated with the managing of committees and task forces. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agenda etc.

Class No	Description of records	Disposal action
1098 	Records of internal and external committees formed to consider matters relating to the compensation function. Includes: <ul style="list-style-type: none"><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>	Destroy 3 years after action completed
1099 	Working papers documenting the conduct and administration of committees which consider matters relating to the compensation function. Includes: <ul style="list-style-type: none"><li>• agenda;</li><li>• notices of meetings; and</li><li>• draft minutes.</li></ul>	Destroy when reference ceases

## COMPENSATION


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

Note: Records of all current and finalised asbestos-related claims for compensation must be transferred to the central agency with legislative responsibility for the management of asbestos liability in the Commonwealth (currently Comcare) under the *Asbestos-related Claims (Management of Commonwealth Liabilities) Act 2005*.

### Compliance

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

*Other activities within this function may also be relevant to the Compliance activity.*

Class No	Description of records	Disposal action
1100 	Records documenting agency compliance with mandatory or optional standards or with statutory requirements relating to the compensation function.	Destroy 7 years after action completed

### 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.

*For information on records issues relating to outsourcing and contracting-out see General Disposal Authority 25.*

Class No	Description of Records	Disposal Action
N/A	[For records documenting contract management relating to the compensation function, use PROCUREMENT – Contracting-out.]	N/A

## COMPENSATION

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

Note: Records of all current and finalised asbestos-related claims for compensation must be transferred to the central agency with legislative responsibility for the management of asbestos liability in the Commonwealth (currently Comcare) under the *Asbestos-related Claims (Management of Commonwealth Liabilities) Act 2005*.

### Insurance




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

*For compensation claims made by employees, use COMPENSATION - Cases.*

*For compensation claims made by members of governing bodies, use GOVERNING BODIES*


*For compensation claims made by members of the public, use COMPENSATION - Claims.*

*For managing financial transactions supporting insurance activities, use FINANCIAL MANAGEMENT - Accounting and/or FINANCIAL MANAGEMENT - Payments.*

Class No	Description of records	Disposal action
20927 	Compensation insurance policies.	Destroy 7 years after policy expires
1103 	Records documenting annual renewals and the management of premium payments. Includes salary statements, advice on premiums payable and any review of premiums levied by an insurance provider (eg Comcare and/or Comcover).	Destroy 10 years after action completed
20928 	Records relating to obtaining a licence for the agency to self-insure and/or manage its own compensation liabilities. Includes records documenting the application/accreditation process and advice of its outcome.	Destroy 7 years after licence expires

### Payments

The activities involved in the preparation and payment of money.

Class No	Description of records	Disposal action
1104 	Records documenting the managing of payments for any compensation activity.	Destroy 7 years after action completed

*[For managing financial transactions supporting payment activities, use FINANCIAL MANAGEMENT - Accounting and/or FINANCIAL MANAGEMENT - Payments.]*

## COMPENSATION

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

Note: Records of all current and finalised asbestos-related claims for compensation must be transferred to the central agency with legislative responsibility for the management of asbestos liability in the Commonwealth (currently Comcare) under the *Asbestos-related Claims (Management of Commonwealth Liabilities) Act 2005*.

### Policy

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

Class No	Description of records	Disposal action
20929 	Records documenting the development, establishment and review of the agency's compensation and rehabilitation policies, including an agency's return to work policy. Includes: <ul style="list-style-type: none"> <li>• policy proposals;</li> <li>• research papers;</li> <li>• results of consultations;</li> <li>• supporting reports;</li> <li>• major drafts; and</li> <li>• final policy documents.</li> </ul>	Destroy 5 years after policy is superseded
1106 	Records documenting comments made on the development of government-wide compensation policies.	Destroy 3 years after promulgation of the new policy
1107 	Working papers documenting the development of all compensation policies.	Destroy 3 years after promulgation of the new policy
1108 	Copies of policy documents and supporting papers.	Destroy when reference ceases

## COMPENSATION

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

Note: Records of all current and finalised asbestos-related claims for compensation must be transferred to the central agency with legislative responsibility for the management of asbestos liability in the Commonwealth (currently Comcare) under the *Asbestos-related Claims (Management of Commonwealth Liabilities) Act 2005*.

### Procedures

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

Class No	Description of records	Disposal action
1109 ■■■■■■■■■■	Master set of agency manuals, handbooks, directives etc detailing procedures supporting the compensation function. Includes procedures supporting the return to work process.	Destroy 5 years after procedures are superseded
1110 ■■■■■■■■■■	Records documenting the development of agency procedures supporting the compensation function.	Destroy 1 year after production of procedures
1111 ■■■■■■■■■■	Copies of manuals, handbooks, directives etc.	Destroy when reference ceases

### Reporting

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

Class No	Description of records	Disposal action
20930 ■■■■■■■■■■	Final versions of formal internal reports and reports made to external organisations relating to the compensation function.	Destroy 5 years after action completed
20931 ■■■■■■■■■■	Final versions of periodic internal reports on general administrative matters used to monitor and document recurring activities supporting the compensation function.	Destroy 3 years after action completed
20932 ■■■■■■■■■■	Working papers documenting the development of all reports. Includes drafts and comments received.	Destroy 1 year after report is completed

## COMPENSATION

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

Note: Records of all current and finalised asbestos-related claims for compensation must be transferred to the central agency with legislative responsibility for the management of asbestos liability in the Commonwealth (currently Comcare) under the *Asbestos-related Claims (Management of Commonwealth Liabilities) Act 2005*.

### Reviewing

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

Class No	Description of records	Disposal action
1112 ■■■■■■■■■■	Records documenting a review of agency programs and operations supporting the compensation function. Includes documents establishing the review, final report and action plan.	Destroy 5 years after action completed
1113 ■■■■■■■■■■	Working papers documenting a review of agency programs and operations supporting the compensation function.	Destroy 2 years after action completed

### Risk Management

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

Class No	Description of records	Disposal action
20933 ■■■■■■■■■■	Records documenting risk management relating to the compensation function. Includes documentation covering each stage of the process, treatment schedules and action plans.	Destroy 7 years after next risk assessment
20934 ■■■■■■■■■■	Compensation risk register.	Destroy 7 years after next risk assessment

### 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.

Class No	Description of Records	Disposal Action
N/A	<i>[For the acquisition of goods and services required to support the compensation function via a tender process, use PROCUREMENT - Tendering.]</i>	N/A



## EQUIPMENT & STORES

The function of acquiring, supplying, maintaining, repairing and disposing of equipment and stores stocked and used by the organisation. Items of equipment include instruments, implements, tools, machines, plant, furniture and furnishings. Stores include chemicals, hardware, homeware items, kitchen/cleaning items, medical supplies and stationery. Excludes equipment and stores acquired to support the Defence combat function.

### 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.

Class No	Description of Records	Disposal Action
N/A	<i>[For the acquisition of equipment and stores where there is no tender or contracting-out process, use PROCUREMENT – Acquisition.]</i>	N/A

### Agreements

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

*For leasing of equipment and stores, use EQUIPMENT & STORES - Leasing and/or EQUIPMENT & STORES - Leasing-out.*

Class No	Description of records	Disposal action
20935 ■■■■■■■■■■	Final version of agreements with vendors or other agencies to manage, maintain and dispose of equipment and stores (eg Memoranda of Understanding).	Destroy 7 years after expiry or other termination of agreement
	<i>[For agreements associated with the acquisition of equipment and stores, use PROCUREMENT – Agreements.]</i>	
1128 ■■■■■■■■■■	Records documenting negotiations, establishment, maintenance and review of agreements.	Destroy 7 years after expiry or other termination of agreement

## EQUIPMENT & STORES

The function of acquiring, supplying, maintaining, repairing and disposing of equipment and stores stocked and used by the organisation. Items of equipment include instruments, implements, tools, machines, plant, furniture and furnishings. Stores include chemicals, hardware, homeware items, kitchen/cleaning items, medical supplies and stationery. Excludes equipment and stores acquired to support the Defence combat function.

### Allocation

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

Class No	Description of records	Disposal action
1129 ■■■■■■■■■■	Records held by the area responsible for the management of the function relating to the allocation of equipment or stores to individuals or organisational units. Includes requests for issue of equipment or stores.	Destroy 2 years after action completed
	<i>[For the distribution of equipment and stores, use EQUIPMENT &amp; STORES - Distribution.]</i>	
1130 ■■■■■■■■■■	Records held by the requesting area relating to the allocation of equipment or stores to individuals or organisational units.	Destroy when reference ceases

### Arrangements

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

*For arrangements for the removal and/or storage of personal effects, use PERSONNEL - Moving.*

Class No	Description of records	Disposal action
1131 ■■■■■■■■■■	Records documenting arrangements for the delivery of equipment and stores to an agency.	Destroy when reference ceases
	<i>[For the dispatch of equipment or stores within an agency or from an agency, use EQUIPMENT &amp; STORES - Distribution.]</i>	
1132 ■■■■■■■■■■	Records documenting the storage of equipment and stores (excluding hazardous materials) within an agency. Includes location management and stock control.	Destroy when reference ceases
1133 ■■■■■■■■■■	Records documenting the storage of hazardous equipment and stores (ie unused material) within an agency. Includes location management.	Destroy 5 years after action completed
	<i>[For storage of hazardous waste prior to disposal, use PROPERTY MANAGEMENT - Maintenance.</i>	
	<i>For Hazardous Substance Register, use OCCUPATIONAL HEALTH &amp; SAFETY - Compliance.]</i>	

## EQUIPMENT & STORES

The function of acquiring, supplying, maintaining, repairing and disposing of equipment and stores stocked and used by the organisation. Items of equipment include instruments, implements, tools, machines, plant, furniture and furnishings. Stores include chemicals, hardware, homeware items, kitchen/cleaning items, medical supplies and stationery. Excludes equipment and stores acquired to support the Defence combat function.

### Audit

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

Class No	Description of records	Disposal action
1134 ■■■■■■■■	Final internal and external audit reports relating to the equipment and stores function.	Destroy 5 years after action completed
1135 ■■■■■■■■	Records documenting the planning and conduct of internal and external audits relating to the equipment and stores function. Includes: <ul style="list-style-type: none"><li>• liaison with the auditing body;</li><li>• minutes of meetings;</li><li>• notes taken at opening and exit interviews;</li><li>• draft report; and</li><li>• comments.</li></ul>	Destroy 2 years after action completed

### Authorisation

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

Class No	Description of records	Disposal action
1136 ■■■■■■■■	Delegations of power to agency staff to authorise administrative action relating to the equipment and stores function.	Destroy 7 years after delegation expires
1137 ■■■■■■■■	Authorisations for administrative action supporting the equipment and stores function.	Destroy 7 years after action completed

## EQUIPMENT & STORES

The function of acquiring, supplying, maintaining, repairing and disposing of equipment and stores stocked and used by the organisation. Items of equipment include instruments, implements, tools, machines, plant, furniture and furnishings. Stores include chemicals, hardware, homeware items, kitchen/cleaning items, medical supplies and stationery. Excludes equipment and stores acquired to support the Defence combat function.

### 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.

Class No	Description of records	Disposal action
1138 ■■■■■■■■■■	Records documenting insurance claims for damage and loss incurred to equipment and stores.	Destroy 7 years after finalisation or withdrawal of claim

*[For the management of insurance policies, use EQUIPMENT & STORES - Insurance.]*

### Compliance

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

*Other activities within this function may also be relevant to the Compliance activity.*

Class No	Description of records	Disposal action
1139 ■■■■■■■■■■	Records documenting agency compliance with mandatory or with optional standards or with statutory requirements relating to the equipment and stores function.	Destroy 7 years after action completed

*[For the licensing processes for the operation of plant items, use OCCUPATIONAL HEALTH AND SAFETY (OH&S) - Compliance.]*

### Construction

The process of making or building something.

Class No	Description of Records	Disposal Action
N/A	<i>[For the in-house construction of equipment and plant, use PROCUREMENT – Construction.]</i>	N/A

## EQUIPMENT & STORES

The function of acquiring, supplying, maintaining, repairing and disposing of equipment and stores stocked and used by the organisation. Items of equipment include instruments, implements, tools, machines, plant, furniture and furnishings. Stores include chemicals, hardware, homeware items, kitchen/cleaning items, medical supplies and stationery. Excludes equipment and stores acquired to support the Defence combat function.

### 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.

*For information on records issues relating to outsourcing and contracting-out see General Disposal Authority 25.*

Class No	Description of records	Disposal action
N/A	<i>[For the management of contracts relating to the procurement of equipment, goods and services, use PROCUREMENT – Contracting-out.]</i>	N/A

### Disposal

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

Class No	Description of records	Disposal action
1142 ■■■■■■■■■■	Records documenting the disposal of leased equipment and stores. Includes written notices and correspondence to and from leasing companies in relation to return of equipment and stores, handover reports and notifications that an agency or their nominee wish to purchase equipment and stores.	Destroy 3 years after disposal
1143 ■■■■■■■■■■	Records documenting the disposal of Commonwealth-owned equipment and stores. Includes independent valuation certificates verifying that work undertaken on assets was done prior to valuation, written quotes, auction records and routine forms and correspondence relating to the disposal of equipment and stores.	Destroy 7 years after disposal

*[For the disposal of equipment and stores by tender, use PROCUREMENT - Tendering.*



*For the removal of items from the agency's asset register, use FINANCIAL MANAGEMENT - Asset Register.]*

## EQUIPMENT & STORES

The function of acquiring, supplying, maintaining, repairing and disposing of equipment and stores stocked and used by the organisation. Items of equipment include instruments, implements, tools, machines, plant, furniture and furnishings. Stores include chemicals, hardware, homeware items, kitchen/cleaning items, medical supplies and stationery. Excludes equipment and stores acquired to support the Defence combat function.

### Distribution

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

Class No	Description of records	Disposal action
1144 	Records documenting the distribution of equipment and stores within an office of an agency.  <i>[For requests for issue of equipment and stores, use EQUIPMENT &amp; STORES - Allocation.]</i>	Destroy when reference ceases
1145 	Records documenting the distribution of equipment and stores to other locations (including other offices of the agency). Includes consignment notes.  <i>[For arrangements relating to the receipt of equipment and stores, use EQUIPMENT &amp; STORES - Arrangements.</i>  <i>For arrangements relating to the distribution of equipment and stores via mail services, use INFORMATION MANAGEMENT - Distribution.</i>  <i>For managing financial transactions supporting the distribution activities, use FINANCIAL MANAGEMENT - Accounting and/or FINANCIAL MANAGEMENT - Payments.]</i>	Destroy 7 years after action completed

### 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.

Class No	Description of Records	Disposal Action
N/A	<i>[For the assessment of suitability of equipment and stores and the preparation of specifications, use PROCUREMENT – Evaluation.</i>  <i>For the re-evaluation of existing equipment and stores, use EQUIPMENT &amp; STORES - Reviewing.]</i>	N/A

## EQUIPMENT & STORES

The function of acquiring, supplying, maintaining, repairing and disposing of equipment and stores stocked and used by the organisation. Items of equipment include instruments, implements, tools, machines, plant, furniture and furnishings. Stores include chemicals, hardware, homeware items, kitchen/cleaning items, medical supplies and stationery. Excludes equipment and stores acquired to support the Defence combat function.

### Inspections

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

Class No	Description of records	Disposal action
1148 ■■■■■■■■■■	Records documenting inspections of equipment and stores.  <i>[For formal audits, use EQUIPMENT &amp; STORES - Audit. For stocktakes, use EQUIPMENT &amp; STORES - Stocktake. For inspections relating to occupational health and safety, use OCCUPATIONAL HEALTH AND SAFETY (OH&amp;S) - Inspections.]</i>	Destroy 3 years after action completed

### Installation

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

Class No	Description of records	Disposal action
1149 ■■■■■■■■■■	Records documenting the installation and initial configuration of equipment and plant.  <i>[For the installation of equipment and plant within a building, use PROPERTY MANAGEMENT - Installation.]</i>	Destroy 2 years after action completed
1150 ■■■■■■■■■■	Records documenting the reconfiguration and adjustment of equipment and plant after initial installation.	Destroy 1 year after either the next reconfiguration or when the equipment is disposed of, whichever is the earlier

## EQUIPMENT & STORES

The function of acquiring, supplying, maintaining, repairing and disposing of equipment and stores stocked and used by the organisation. Items of equipment include instruments, implements, tools, machines, plant, furniture and furnishings. Stores include chemicals, hardware, homeware items, kitchen/cleaning items, medical supplies and stationery. Excludes equipment and stores acquired to support the Defence combat function.

### Insurance

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

*For insurance claims lodged, use EQUIPMENT & STORES - Claims.*

*For managing financial transactions supporting insurance activities, use FINANCIAL MANAGEMENT - Accounting and/or FINANCIAL MANAGEMENT - Payments.*

Class No	Description of records	Disposal action
1151 ■■■■■■■■■■	Insurance policies covering equipment and stores.	Destroy 7 years after policy expires
1152 ■■■■■■■■■■	Records documenting the annual renewal of insurance policies.	Destroy 1 year after action completed

### Inventory

The activities associated with listing and preparing lists of items and assets in the possession of the organisation.

Class No	Description of records	Disposal action
1153 ■■■■■■■■■■	Records documenting the listing of equipment and stores items.	Destroy when reference ceases

*[For formal stocktakes of equipment and stores, use EQUIPMENT & STORES - Stocktake.*

*For making subsequent changes to the agency's asset register, use FINANCIAL MANAGEMENT - Asset Register.]*

### Leasing

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

Class No	Description of Records	Disposal Action
N/A	<i>[For the leasing of equipment and stores, use PROCUREMENT – Leasing.]</i>	N/A




## EQUIPMENT & STORES

The function of acquiring, supplying, maintaining, repairing and disposing of equipment and stores stocked and used by the organisation. Items of equipment include instruments, implements, tools, machines, plant, furniture and furnishings. Stores include chemicals, hardware, homeware items, kitchen/cleaning items, medical supplies and stationery. Excludes equipment and stores acquired to support the Defence combat function.


### Leasing-out

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

Class No	Description of records	Disposal action
1155 	Arrangements for the leasing-out of agency equipment to other bodies. Includes signed leases.  <i>[For managing financial transactions supporting leasing-out activities, use FINANCIAL MANAGEMENT - Accounting and/or FINANCIAL MANAGEMENT - Payments.]</i>	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.

Class No	Description of records	Disposal action
1156 	Records documenting the maintenance of equipment and stores.	Destroy 3 years after action completed

## EQUIPMENT & STORES

The function of acquiring, supplying, maintaining, repairing and disposing of equipment and stores stocked and used by the organisation. Items of equipment include instruments, implements, tools, machines, plant, furniture and furnishings. Stores include chemicals, hardware, homeware items, kitchen/cleaning items, medical supplies and stationery. Excludes equipment and stores acquired to support the Defence combat function.

### Policy

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

Class No	Description of records	Disposal action
1157 ■■■■■■■■■■	Records documenting the development and establishment of the agency's equipment and stores policies. Includes: <ul style="list-style-type: none"> <li>• policy proposals;</li> <li>• research papers;</li> <li>• working papers;</li> <li>• results of consultations;</li> <li>• supporting reports;</li> <li>• major drafts; and</li> <li>• final policy documents.</li> </ul>	Destroy 3 years after policy is superseded
1158 ■■■■■■■■■■	Copies of policy documents and supporting papers.	Destroy when reference ceases

### Procedures

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

Class No	Description of records	Disposal action
1159 ■■■■■■■■■■	Master set of agency manuals, handbooks, directives etc detailing procedures supporting the equipment and stores function.	Destroy when procedures are superseded
1160 ■■■■■■■■■■	Records documenting the development of agency procedures supporting the equipment and stores function.	Destroy 1 year after production of procedures
1161 ■■■■■■■■■■	Copies of manuals, handbooks, directives etc.	Destroy when reference ceases
1162 ■■■■■■■■■■	Operating manuals and instructions for equipment, plant and stores.	Destroy when reference ceases or transfer to new owner on disposal of equipment, plant or stores

## EQUIPMENT & STORES

The function of acquiring, supplying, maintaining, repairing and disposing of equipment and stores stocked and used by the organisation. Items of equipment include instruments, implements, tools, machines, plant, furniture and furnishings. Stores include chemicals, hardware, homeware items, kitchen/cleaning items, medical supplies and stationery. Excludes equipment and stores acquired to support the Defence combat function.

### Reporting

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

Class No	Description of records	Disposal action
1163 ■■■■■■■■■■	Records relating to reporting on activities involved in the equipment and stores function. Includes: <ul style="list-style-type: none"> <li>• working papers;</li> <li>• comments received;</li> <li>• draft reports; and</li> <li>• final documents.</li> </ul>	Destroy 2 years after action completed

### Reviewing

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

*[For reviewing activities relating to the acquisition of equipment, goods and services, use PROCUREMENT – Reviewing.]*

Class No	Description of records	Disposal action
1164 ■■■■■■■■■■	Records documenting a review of agency programs and operations supporting the equipment and stores function. Includes documents establishing the review, final report, action plan and identification of further problems needing rectification.	Destroy 3 years after action completed
1165 ■■■■■■■■■■	Working papers documenting a review of agency programs and operations supporting the equipment and stores function.	Destroy 1 year after action completed

## EQUIPMENT & STORES

The function of acquiring, supplying, maintaining, repairing and disposing of equipment and stores stocked and used by the organisation. Items of equipment include instruments, implements, tools, machines, plant, furniture and furnishings. Stores include chemicals, hardware, homeware items, kitchen/cleaning items, medical supplies and stationery. Excludes equipment and stores acquired to support the Defence combat function.

### 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.

See also the *Occupational Health and Safety (OH&S) function*.

Class No	Description of records	Disposal action
1166 ■■■■■■■■■■	Records documenting risk management relating to the equipment and stores function. Includes records covering each stage of the process, treatment schedules and action plans.	Destroy 7 years after next risk assessment
1167 ■■■■■■■■■■	Equipment and stores risk register.	Destroy 7 years after next risk assessment

### Security

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

For theft or damage involving agency staff use, *PERSONNEL - Discipline*.


Class No	Description of records	Disposal action
1168 ■■■■■■■■■■	Records documenting the management of activities undertaken to protect equipment and stores. Includes investigations into theft or intentional damage and referral of an alleged incident to law enforcement authorities.  <i>[For disciplinary action resulting from a breach of the law involving APS employees, use PERSONNEL - Discipline. For breaches involving information, use INFORMATION MANAGEMENT - Security. For breaches involving technology, use TECHNOLOGY &amp; TELECOMMUNICATIONS - Security.]</i>	Destroy 5 years after action completed
1169 ■■■■■■■■■■	Records documenting combinations and/or keys for equipment or plant, such as safes, filing cabinets. Includes key register.  <i>[For combinations or keys to security containers which are built into the building, use PROPERTY MANAGEMENT - Security.]</i>	Destroy when reference ceases

## EQUIPMENT & STORES

The function of acquiring, supplying, maintaining, repairing and disposing of equipment and stores stocked and used by the organisation. Items of equipment include instruments, implements, tools, machines, plant, furniture and furnishings. Stores include chemicals, hardware, homeware items, kitchen/cleaning items, medical supplies and stationery. Excludes equipment and stores acquired to support the Defence combat function.

### Stocktake

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

Class No	Description of records	Disposal action
1170 	Records documenting the stocktake of equipment and stores.  <i>[For lists of equipment and stores, use EQUIPMENT &amp; STORES - Inventory.]</i>	Destroy 3 years after action completed

### Tendering

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

Class No	Description of Records	Disposal Action
N/A	<i>[For the acquisition of equipment and stores through a tender process, use PROCUREMENT - Tendering.]</i>	N/A

## ESTABLISHMENT

The function of establishing and changing the organisational structure. Including moving employees from one agency to another and reducing and increasing an agency's staffing levels. Also includes internal reorganisations to meet agency goals.

Note: Before using this Authority, agencies that employ staff under legislation other than the Public Service Act 1999 should check their own enabling legislation and other regulatory directives for major variations from the Public Service Act. In cases where the variations differ greatly the Administrative Functions Disposal Authority is not applicable and should not be used. Coverage in such circumstances must be included under the agency's own Records Authority.

### Advice

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

Class No	Description of records	Disposal action
1181 ■■■■■■■■■■	Records documenting the receipt and provision of advice on the establishment function.	Destroy 2 years after action completed

### Authorisation

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

Class No	Description of records	Disposal action
1182 ■■■■■■■■■■	Delegations of power to agency staff to authorise administrative action relating to the establishment function.	Destroy 7 years after delegation expires
1183 ■■■■■■■■■■	Authorisations for administrative actions relating to the establishment function.	Destroy 7 years after action completed

## ESTABLISHMENT



The function of establishing and changing the organisational structure. Including moving employees from one agency to another and reducing and increasing an agency's staffing levels. Also includes internal reorganisations to meet agency goals.

Note: Before using this Authority, agencies that employ staff under legislation other than the Public Service Act 1999 should check their own enabling legislation and other regulatory directives for major variations from the Public Service Act. In cases where the variations differ greatly the Administrative Functions Disposal Authority is not applicable and should not be used. Coverage in such circumstances must be included under the agency's own Records Authority.

### Committees


The activities associated with the managing of committees and task forces. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agenda etc.

*For records of high-level corporate committees responsible for the overall strategic directions of an agency, including establishment structures, use STRATEGIC MANAGEMENT - Committees.*

Class No	Description of records	Disposal action
1184 	Records of internal and external committees formed to consider matters relating to the establishment function. Includes: <ul style="list-style-type: none"> <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>	Destroy 5 years after action completed
1185 	Working papers documenting the conduct and administration of committees which consider matters relating to the establishment function. Includes: <ul style="list-style-type: none"> <li>agenda;</li> <li>notices of meetings; and</li> <li>draft minutes.</li> </ul>	Destroy when reference ceases

### 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.

Class No	Description of records	Disposal action
1186 	Records documenting the evaluation of positions and assigned duties of employees against existing or planned organisational structures to support corporate requirements and resource needs.  <i>[For the evaluation of goods and services being considered for procurement in support of the establishment function, use PROCUREMENT – Evaluation.]</i>	Destroy 5 years after last action

## ESTABLISHMENT

The function of establishing and changing the organisational structure. Including moving employees from one agency to another and reducing and increasing an agency's staffing levels. Also includes internal reorganisations to meet agency goals.

Note: Before using this Authority, agencies that employ staff under legislation other than the Public Service Act 1999 should check their own enabling legislation and other regulatory directives for major variations from the Public Service Act. In cases where the variations differ greatly the Administrative Functions Disposal Authority is not applicable and should not be used. Coverage in such circumstances must be included under the agency's own Records Authority.

### Meetings

The activities associated with ad hoc gatherings held to formulate, discuss, update or resolve issues and matters pertaining to the management of the section, department, or organisation as a whole. Includes arrangements, agenda, taking of minutes etc. Excludes committee meetings.

Class No	Description of records	Disposal action
1187 ■■■■■■■■■■	Final version of minutes and supporting documents tabled at meetings held to support the establishment function. Includes meetings with external agencies.	Destroy 3 years after action completed
1188 ■■■■■■■■■■	Working papers documenting the conduct and administration of meetings held to support the establishment function. Includes agenda, notices of meetings and draft minutes.	Destroy when reference ceases

### Planning

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

*For corporate plans that include the establishment structure of the agency, use STRATEGIC MANAGEMENT - Planning.*

Class No	Description of records	Disposal action
1189 ■■■■■■■■■■	Final version of agency-wide establishment plans.	Destroy 10 years after plan is superseded
1190 ■■■■■■■■■■	Final version of a section or business unit's establishment plans, including state, regional or overseas office.	Destroy 3 years after plan is superseded
1191 ■■■■■■■■■■	Working papers used in developing all establishment plans. Includes draft plans, reports analysing issues, and comments received and input made by other areas of the agency.	Destroy 1 year after adoption of the final plan
1192 ■■■■■■■■■■	Copies of all establishment plans.	Destroy when reference ceases



## ESTABLISHMENT

The function of establishing and changing the organisational structure. Including moving employees from one agency to another and reducing and increasing an agency's staffing levels. Also includes internal reorganisations to meet agency goals.

Note: Before using this Authority, agencies that employ staff under legislation other than the Public Service Act 1999 should check their own enabling legislation and other regulatory directives for major variations from the Public Service Act. In cases where the variations differ greatly the Administrative Functions Disposal Authority is not applicable and should not be used. Coverage in such circumstances must be included under the agency's own Records Authority.

### Policy

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

Class No	Description of records	Disposal action
1193 	Records documenting the development and establishment of the agency's establishment policies. Includes: <ul style="list-style-type: none"><li>• policy proposals;</li><li>• research papers;</li><li>• results of consultations;</li><li>• supporting reports ;</li><li>• major drafts; and</li><li>• final policy documents.</li></ul>	Destroy 10 years after policy is superseded
1194 	Records documenting comments made on the development of government-wide establishment policies.	Destroy 3 years after promulgation of the new policy
1195 	Working papers documenting the development of all establishment policies.	Destroy 3 years after promulgation of the new policy
1196 	Copies of policy documents and supporting papers.	Destroy when reference ceases

## ESTABLISHMENT

The function of establishing and changing the organisational structure. Including moving employees from one agency to another and reducing and increasing an agency's staffing levels. Also includes internal reorganisations to meet agency goals.

Note: Before using this Authority, agencies that employ staff under legislation other than the Public Service Act 1999 should check their own enabling legislation and other regulatory directives for major variations from the Public Service Act. In cases where the variations differ greatly the Administrative Functions Disposal Authority is not applicable and should not be used. Coverage in such circumstances must be included under the agency's own Records Authority.

### Procedures

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

Class No	Description of records	Disposal action
1197 ■■■■■■■■■■	Master set of agency manuals, handbooks, directives etc detailing procedures supporting the establishment function.	Destroy when procedures are superseded
1198 ■■■■■■■■■■	Records documenting the development of agency procedures supporting the establishment function.	Destroy 1 year after production of procedures
1199 ■■■■■■■■■■	Copies of manuals, handbooks, directives etc.	Destroy when reference ceases

### Reporting

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

Class No	Description of records	Disposal action
1200 ■■■■■■■■■■	Final version of formal internal reports and reports made to external agencies relating to the establishment function.	Destroy 5 years after report is completed
1201 ■■■■■■■■■■	Final version of periodic reports on general administrative matters used to monitor and document recurring activities to support the establishment function.	Destroy 3 years after report is completed
1202 ■■■■■■■■■■	Working papers documenting the development of all reports. Includes drafts and comments received.	Destroy 1 year after report is completed
1203 ■■■■■■■■■■	Copies of establishment reports.	Destroy when reference ceases





## ESTABLISHMENT

The function of establishing and changing the organisational structure. Including moving employees from one agency to another and reducing and increasing an agency's staffing levels. Also includes internal reorganisations to meet agency goals.

Note: Before using this Authority, agencies that employ staff under legislation other than the Public Service Act 1999 should check their own enabling legislation and other regulatory directives for major variations from the Public Service Act. In cases where the variations differ greatly the Administrative Functions Disposal Authority is not applicable and should not be used. Coverage in such circumstances must be included under the agency's own Records Authority.

### Restructuring

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

Class No	Description of records	Disposal action
1204 	Records documenting the establishment and development of a new agency structure. Includes: <ul style="list-style-type: none"> <li>copies of instruments giving effect to the machinery of government changes (including transfers of functions in and out of the Commonwealth) and details provided to facilitate administrative rearrangements relating to the transfer of functions and employees to other agencies; and</li> <li>records documenting an internal restructure.</li> </ul> <p><i>[For agreements between transferred employees and the receiving agency relating to remuneration and conditions of employment, use PERSONNEL - Agreements.]</i></p>	Destroy 10 years after last action
1205 	Records documenting agency adoption of new work level standards.	Destroy 7 years after standards are superseded
1206 	Agency-wide organisational charts produced after major restructure eg a machinery of government change or an extensive internal restructure held by the area of the agency responsible for the establishment function.	Retain as national archives
1207 	Copies of agency-wide organisation charts held in other areas of the agency, or charts showing lower levels of the organisation.	Destroy when reference ceases




## ESTABLISHMENT

The function of establishing and changing the organisational structure. Including moving employees from one agency to another and reducing and increasing an agency's staffing levels. Also includes internal reorganisations to meet agency goals.

Note: Before using this Authority, agencies that employ staff under legislation other than the Public Service Act 1999 should check their own enabling legislation and other regulatory directives for major variations from the Public Service Act. In cases where the variations differ greatly the Administrative Functions Disposal Authority is not applicable and should not be used. Coverage in such circumstances must be included under the agency's own Records Authority.


### Reviewing

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

Class No	Description of records	Disposal action
1208 	Records documenting a review and reassessment of agency organisational structures against identified corporate requirements.	Destroy 10 years after action completed
1209 	Records documenting a review of agency programs and operations supporting the establishment function. Includes documents establishing the review, final report and action plan.	Destroy 5 years after action completed
1210 	Working papers supporting the conduct of an agency review.	Destroy 2 years after action completed

### Vacancies

The activities associated with managing positions in the organisation that are currently unoccupied.

Class No	Description of records	Disposal action
1211 	Records documenting the management of vacancies.	Destroy 1 year after last action

## ESTABLISHMENT



The function of establishing and changing the organisational structure. Including moving employees from one agency to another and reducing and increasing an agency's staffing levels. Also includes internal reorganisations to meet agency goals.

Note: Before using this Authority, agencies that employ staff under legislation other than the Public Service Act 1999 should check their own enabling legislation and other regulatory directives for major variations from the Public Service Act. In cases where the variations differ greatly the Administrative Functions Disposal Authority is not applicable and should not be used. Coverage in such circumstances must be included under the agency's own Records Authority.

### Variations

The activities involved in varying the organisation's condition, character or nature of processes and other things that are not physical objects. Includes creating and abolishing individual positions.

*For the assignment of duties to individual employees, use PERSONNEL - Employment Conditions.*




Class No	Description of records	Disposal action
1212 	Records documenting the creation, variation, abolition, transfer or reclassification of positions and assigned duties. Includes authorised establishment variation authorities, position profiles and selection criteria.	Destroy 7 years after position or assigned duties have been abolished or altered
1213 	Applications to vary positions and assigned duties not approved or proceeded with.	Destroy 3 years after last action

## FINANCIAL MANAGEMENT

The function of managing the organisation's financial resources. Includes establishing, operating, and maintaining accounting systems, controls and procedures, financial planning, framing budgets and budget submissions, obtaining grants, managing funds in the form of allocations from the Consolidated Revenue Fund and revenue from charging, trading and investments. Also includes the monitoring and analysis of assets to assist the delivery of economic and social services to government, industry and the community.

### Accounting







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

Class No	Description of records	Disposal action
1214 	Principal accounting records and associated supporting records managing the agency's revenue and expenditure. Includes: <ul style="list-style-type: none"> <li>• journals;</li> <li>• ledgers;</li> <li>• receipt and revenue records;</li> <li>• sales and purchase invoices;</li> <li>• cheque records (eg cheque butts or computerised cheque issue records);</li> <li>• payment records (including payments for allowances and act of grace payments);</li> <li>• petty cash records;</li> <li>• cash books;</li> <li>• credit notes;</li> <li>• advance registers and associated records; and</li> <li>• creditor and debtor registers and lists.</li> </ul>	Destroy 7 years after last action
1215 	Records documenting taxation matters. Includes: <ul style="list-style-type: none"> <li>• assessment of Fringe Benefits Tax (FBT);</li> <li>• assessment and payment of Goods and Services Tax (GST), including business activity statements and tax invoices; and</li> <li>• requests for exemption from Wholesale Sales Tax.</li> </ul> <p><i>[For taxation records required for the payment of employee salaries and wages, eg tax declaration forms, use PERSONNEL - Salaries.]</i></p>	Destroy 5 years after last action
20936 	Records documenting the establishment and closure of official bank accounts.	Destroy 7 years after account has been closed

## FINANCIAL MANAGEMENT

The function of managing the organisation's financial resources. Includes establishing, operating, and maintaining accounting systems, controls and procedures, financial planning, framing budgets and budget submissions, obtaining grants, managing funds in the form of allocations from the Consolidated Revenue Fund and revenue from charging, trading and investments. Also includes the monitoring and analysis of assets to assist the delivery of economic and social services to government, industry and the community.

### Accounting - Continued

Class No	Description of records	Disposal action
1217 	Records documenting the management of banking activities. Includes: <ul style="list-style-type: none"> <li>• deposit records;</li> <li>• bank statements;</li> <li>• bank reconciliation statements; and</li> <li>• investment and dividend statements.</li> </ul>	Destroy 7 years after last action
1218 	Records documenting the use of agency credit cards. Includes: <ul style="list-style-type: none"> <li>• credit card receipts; and</li> <li>• monthly statements.</li> </ul> <p><i>[For authorisations associated with using credit cards, use FINANCIAL MANAGEMENT - Authorisation]</i></p>	Destroy 7 years after action completed
1219 	Finance reports. Includes regular accrual reports (eg operating statements, statements of financial position, cash flow statements and periodic accrual statements).	Destroy 7 years after last action
1220 	Records documenting the management of debt recovery. Includes correspondence and notices issued to debtors and records of negotiations including write-off and waiver arrangements.	Destroy 7 years after action completed
1221 	Records documenting the management of incidental benefits received by agency personnel in the course of their official duties (eg frequent flyer points).	Destroy 7 years after last action
1222 	Administrative records used for control and accountability in handling money and financial records, ie records which do not document agency revenue and expenditure. Includes hand-over or take-over certificates, and reconciliations other than bank reconciliation statements.	Destroy 2 years after last action

## FINANCIAL MANAGEMENT

The function of managing the organisation's financial resources. Includes establishing, operating, and maintaining accounting systems, controls and procedures, financial planning, framing budgets and budget submissions, obtaining grants, managing funds in the form of allocations from the Consolidated Revenue Fund and revenue from charging, trading and investments. Also includes the monitoring and analysis of assets to assist the delivery of economic and social services to government, industry and the community.

### Accounting - Continued

Class No	Description of records	Disposal action
1223 ██████████	Records documenting the management of surplus, obsolete or damaged accountable forms.	Destroy 7 years after write-off action completed
1224 ██████████	Copies of receipts, invoices and other accounting records processed at the central office or at another part of the agency, documenting agency revenue and expenditure.	Destroy 2 years after last action
1225 ██████████	Records documenting the process of output costings.	Destroy 7 years after last action
1226 ██████████	Records documenting the agency's chart of accounts.	Destroy 7 years after action completed

### 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.

Class No	Description of Records	Disposal Action
N/A	<i>[For the acquisition of goods and services required to support the financial management function where there is no tender or contracting out process, use PROCUREMENT – Acquisition.]</i>	N/A

### Advice

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

Class No	Description of records	Disposal action
1228 ██████████	Records relating to the receipt and provision of advice on the financial management function.	Destroy 7 years after action completed





## FINANCIAL MANAGEMENT

The function of managing the organisation's financial resources. Includes establishing, operating, and maintaining accounting systems, controls and procedures, financial planning, framing budgets and budget submissions, obtaining grants, managing funds in the form of allocations from the Consolidated Revenue Fund and revenue from charging, trading and investments. Also includes the monitoring and analysis of assets to assist the delivery of economic and social services to government, industry and the community.

### Agreements


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

*For agreements relating to the acquisition of goods and services to support the financial management function, use PROCUREMENT- Agreements.*

Class No	Description of records	Disposal action
20937 	Final version of agreements made relating to the financial management function.	Destroy 7 years after expiry or other termination of agreement
1230 	Records documenting negotiations, establishment, maintenance and review of agreements.	Destroy 7 years after expiry or other termination of agreement

### Allocation

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



Class No	Description of records	Disposal action
1231 	Records documenting internal fund allocations. Includes restrictions and variations to funding allocations.	Destroy 7 years after action completed

## FINANCIAL MANAGEMENT

The function of managing the organisation's financial resources. Includes establishing, operating, and maintaining accounting systems, controls and procedures, financial planning, framing budgets and budget submissions, obtaining grants, managing funds in the form of allocations from the Consolidated Revenue Fund and revenue from charging, trading and investments. Also includes the monitoring and analysis of assets to assist the delivery of economic and social services to government, industry and the community.

### Asset Register

The activities involved in recording in a subsidiary ledger all fixed assets owned by the organisation. Includes the date of purchase, depreciation expense, written down value as well as stocktaking and auditing notations.

Class No	Description of records	Disposal action
1232 	Asset registers.	Destroy 7 years after disposal of asset
1233 	Records documenting asset valuation and asset management processes, including requests for inclusion on the asset register.	Destroy 7 years after action completed




## FINANCIAL MANAGEMENT

The function of managing the organisation's financial resources. Includes establishing, operating, and maintaining accounting systems, controls and procedures, financial planning, framing budgets and budget submissions, obtaining grants, managing funds in the form of allocations from the Consolidated Revenue Fund and revenue from charging, trading and investments. Also includes the monitoring and analysis of assets to assist the delivery of economic and social services to government, industry and the community.

### Audit

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

*For the management of an agency's internal audit committee, use STRATEGIC MANAGEMENT - Committees.*

Class No	Description of records	Disposal action
1234 	Final report of an internal or external financial audit (eg conducted by an external authority such as the Australian National Audit Office) where: <ul style="list-style-type: none"> <li>the audit report is qualified by the Auditor-General; and</li> <li>there are major or significant changes to agency practices.</li> </ul> Includes recommendations and implementation plans.	Destroy 10 years after action completed
1235 	Final report of an internal or external financial audit (eg conducted by an external authority such as the Australian National Audit Office) where: <ul style="list-style-type: none"> <li>the audit report has been accepted by the Auditor-General; and</li> <li>there are no changes or only minor or routine changes to agency practices.</li> </ul> Includes recommendations and implementation plans.	Destroy 5 years after action completed
1236 	Records documenting the planning and conduct of internal and external audits relating to the financial management function. Includes: <ul style="list-style-type: none"> <li>liaison with the auditing body;</li> <li>minutes of meetings;</li> <li>notes taken at opening and exit interviews;</li> <li>draft report;</li> <li>comments; and</li> <li>declarations nominating accounts exempted from normal disclosure.</li> </ul>	Destroy 3 years after action completed

## FINANCIAL MANAGEMENT

The function of managing the organisation's financial resources. Includes establishing, operating, and maintaining accounting systems, controls and procedures, financial planning, framing budgets and budget submissions, obtaining grants, managing funds in the form of allocations from the Consolidated Revenue Fund and revenue from charging, trading and investments. Also includes the monitoring and analysis of assets to assist the delivery of economic and social services to government, industry and the community.

### Authorisation

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

Class No	Description of records	Disposal action
1237 ■■■■■■■■■■	Delegations of power to agency staff to authorise financial activities and transactions (eg delegation to approve expenditure or appointment of an officer to countersign cheques).	Destroy 10 years after delegation superseded
1238 ■■■■■■■■■■	Authorisations for administrative actions relating to financial management (eg authorisation to permit an overdraft from a public account or an authorisation to collect money on behalf of another person).	Destroy 10 years after action completed

### Budgeting


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

Class No	Description of records	Disposal action
1239 ■■■■■■■■■■	Budget estimates and associated records prepared for external approval (eg approval from the parent department of an agency or Ministerial approval). Includes portfolio budget statements.	Destroy 7 years after action completed
1240 ■■■■■■■■■■	Budget estimates produced for internal use by the agency.	Destroy 7 years after action completed
1241 ■■■■■■■■■■	Background records used for the production of whole of agency budget estimates by the coordinating element of the agency (eg the central office of an agency). Includes working papers and calculations and their collation.	Destroy 4 years after action completed
1242 ■■■■■■■■■■	Records documenting spending progress or revenue collection against allocations within the budget estimates.	Destroy 3 years after action completed

## FINANCIAL MANAGEMENT

The function of managing the organisation's financial resources. Includes establishing, operating, and maintaining accounting systems, controls and procedures, financial planning, framing budgets and budget submissions, obtaining grants, managing funds in the form of allocations from the Consolidated Revenue Fund and revenue from charging, trading and investments. Also includes the monitoring and analysis of assets to assist the delivery of economic and social services to government, industry and the community.



### Budgeting - Continued

Class No	Description of records	Disposal action
1243 	Records documenting the input by state and regional offices or individual programs within an agency to the whole of agency budget estimates. Includes working documents and calculations.	Destroy 2 years after action completed

### Committees

The activities associated with the managing of committees and task forces. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agenda etc.

*For the management of an agency's internal Audit Committee, use STRATEGIC MANAGEMENT - Committees.*

Class No	Description of records	Disposal action
1244 	Records of internal and external committees formed to consider matters relating to the financial management function. Includes: <ul style="list-style-type: none"><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>	Destroy 7 years after action completed
1245 	Working papers documenting the conduct and administration of committees which consider matters relating to the financial management function. Includes: <ul style="list-style-type: none"><li>• agenda;</li><li>• notices of meetings; and</li><li>• draft minutes.</li></ul>	Destroy 3 years after action completed


## FINANCIAL MANAGEMENT

The function of managing the organisation's financial resources. Includes establishing, operating, and maintaining accounting systems, controls and procedures, financial planning, framing budgets and budget submissions, obtaining grants, managing funds in the form of allocations from the Consolidated Revenue Fund and revenue from charging, trading and investments. Also includes the monitoring and analysis of assets to assist the delivery of economic and social services to government, industry and the community.

### Compliance

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

*Other activities within this function may also be relevant to the Compliance activity.*

Class No	Description of records	Disposal action
1246 	Records documenting agency compliance with mandatory or optional accountability requirements relating to the financial management function. Includes registration of: <ul style="list-style-type: none"> <li>• Australian Business Number (ABN);</li> <li>• Australian Company Number (ACN); and</li> <li>• Data Universal Numbering System Number (DUNS).</li> </ul>	Destroy 7 years after registration lapses or is superseded

### 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.

*For information on records issues relating to outsourcing and contracting-out see General Disposal Authority 25.*


Class No	Description of Records	Disposal Action
N/A	<i>[For records documenting contract management relating to the financial management function, use PROCUREMENT – Contracting-out.]</i>	N/A

## FINANCIAL MANAGEMENT

The function of managing the organisation's financial resources. Includes establishing, operating, and maintaining accounting systems, controls and procedures, financial planning, framing budgets and budget submissions, obtaining grants, managing funds in the form of allocations from the Consolidated Revenue Fund and revenue from charging, trading and investments. Also includes the monitoring and analysis of assets to assist the delivery of economic and social services to government, industry and the community.

### Donations


The activities associated with managing money, items, artefacts or property donated to the organisation, or by the organisation and or its staff to charities etc. Includes managing unsolicited donations.

Class No	Description of records	Disposal action
1248 	Records documenting the management of donations of money to and by the agency.	Destroy 7 years after action completed

*[For other records documenting the management of donations received from public sources, use COMMUNITY RELATIONS - Donations.]*

### 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.

Class No	Description of records	Disposal action
1249 	Records documenting the evaluation of potential or existing programs and services supporting the financial management function.	Destroy 7 years after action completed

*[For the evaluation of goods and services being considered for procurement in support of the financial management function, use PROCUREMENT – Evaluation.]*

### Financial Statements

The process of compiling annual statements presented in prescribed tabular form showing receipts and payments, both actual and budgeted for the current financial year and the actual amounts received or paid for the previous financial year.

Class No	Description of records	Disposal action
1250 	Annual financial statements or formal interim financial statements, and background documentation. Includes annual statements of assets and liabilities, operating statement of financial position, balance sheets and statements of cash flows.	Destroy 7 years after action completed

*[For regular accrual reports, use FINANCIAL MANAGEMENT - Accounting.]*

## FINANCIAL MANAGEMENT

The function of managing the organisation's financial resources. Includes establishing, operating, and maintaining accounting systems, controls and procedures, financial planning, framing budgets and budget submissions, obtaining grants, managing funds in the form of allocations from the Consolidated Revenue Fund and revenue from charging, trading and investments. Also includes the monitoring and analysis of assets to assist the delivery of economic and social services to government, industry and the community.



### Fraud

The processes which allow the disclosure of fraud, and strategies for the prevention of fraud. Includes involvement in fraud prevention projects and the education of staff about fraud disclosures.

*For records relating to the management of broad strategies for the prevention of fraud, use STRATEGIC MANAGEMENT - Fraud.*


*For an agency's fraud control plan, use STRATEGIC MANAGEMENT - Planning.*

*For investigations into fraud allegations made against an employee, use PERSONNEL - Discipline.*

Class No	Description of records	Disposal action
1251 	Records documenting financial management arrangements supporting the agency's fraud control plan.	Destroy 7 years after Fraud Control Plan is superseded
1252 	Records documenting the identification of specific instances of fraud. Includes the report and investigation of fraudulent activities and records documenting liaison with law enforcement authorities.	Destroy 7 years after action completed

### Grant Funding

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

Class No	Description of records	Disposal action
1253 	Records documenting the administration of grant funds received.	Destroy 7 years after grant acquitted

*[For the overall management of grant applications made by the agency, use STRATEGIC MANAGEMENT - Grant Funding.*

*For grant applications made for non-government funding, use COMMUNITY RELATIONS - Grant Funding.]*




## FINANCIAL MANAGEMENT

The function of managing the organisation's financial resources. Includes establishing, operating, and maintaining accounting systems, controls and procedures, financial planning, framing budgets and budget submissions, obtaining grants, managing funds in the form of allocations from the Consolidated Revenue Fund and revenue from charging, trading and investments. Also includes the monitoring and analysis of assets to assist the delivery of economic and social services to government, industry and the community.

### Inventory



The activities associated with listing and preparing lists of items and assets in the possession of the organisation.

Class No	Description of records	Disposal action
1254 	Records documenting the listing of items supporting the financial management function (eg cab charge vouchers and other accountable forms).	Destroy 2 years after action completed

*[For listing of assets owned by the agency, use FINANCIAL MANAGEMENT - Asset Register.]*


### Meetings

The activities associated with ad hoc gatherings held to formulate, discuss, update or resolve issues and matters pertaining to the management of the section, department, or organisation as a whole. Includes arrangements, agenda, taking of minutes etc. Excludes committee meetings.

Class No	Description of records	Disposal action
1255 	Final version of minutes and supporting documents tabled at meetings held to support the financial management function. Includes meetings with external agencies.	Destroy 7 years after action completed
1256 	Working papers documenting the conduct and administration of meetings held to support the financial management function. Includes agenda, notices of meetings and draft minutes.	Destroy when reference ceases

### Payments

The activities involved in the preparation and payment of money.

Class No	Description of records	Disposal action
1257 	Records documenting the preparation and payment of money. Includes records documenting the checking of invoices, issuing of cheques for payment and the payment of claims.	Destroy 7 years after last action

*[For accounting records supporting the payment activity, use FINANCIAL MANAGEMENT - Accounting.]*





## FINANCIAL MANAGEMENT

The function of managing the organisation's financial resources. Includes establishing, operating, and maintaining accounting systems, controls and procedures, financial planning, framing budgets and budget submissions, obtaining grants, managing funds in the form of allocations from the Consolidated Revenue Fund and revenue from charging, trading and investments. Also includes the monitoring and analysis of assets to assist the delivery of economic and social services to government, industry and the community.

### Planning

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

*For an agency's fraud control plans, use STRATEGIC MANAGEMENT - Planning.*

Class No	Description of records	Disposal action
1258 	Final version of agency-wide financial management plans.	Destroy 7 years after plan is superseded
1259 	Final version of a section or business unit's financial management plans, including those of state, regional or overseas offices.	Destroy 2 years after plan is superseded
1260 	Working papers used in developing all financial management plans. Includes draft plans, reports analysing issues, and comments received from other areas of the agency.	Destroy 1 year after adoption of the final plan
1261 	Copies of all financial management plans.	Destroy when reference ceases

## FINANCIAL MANAGEMENT

The function of managing the organisation's financial resources. Includes establishing, operating, and maintaining accounting systems, controls and procedures, financial planning, framing budgets and budget submissions, obtaining grants, managing funds in the form of allocations from the Consolidated Revenue Fund and revenue from charging, trading and investments. Also includes the monitoring and analysis of assets to assist the delivery of economic and social services to government, industry and the community.

### Policy

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




Class No	Description of records	Disposal action
1262 	Records documenting the development and establishment of the agency's financial management policies. Includes: <ul style="list-style-type: none"><li>• policy proposals;</li><li>• research papers;</li><li>• results of consultations;</li><li>• supporting reports;</li><li>• major drafts; and</li><li>• final policy documents (eg Chief Executive's instructions).</li></ul>	Destroy 7 years after policy is superseded
1263 	Records documenting comments made on the development of government-wide financial management policies.	Destroy 3 years after promulgation of the new policy
1264 	Working papers documenting the development of all financial management policies.	Destroy 3 years after promulgation of the new policy
1265 	Copies of policy documents and supporting papers.	Destroy when reference ceases

## FINANCIAL MANAGEMENT

The function of managing the organisation's financial resources. Includes establishing, operating, and maintaining accounting systems, controls and procedures, financial planning, framing budgets and budget submissions, obtaining grants, managing funds in the form of allocations from the Consolidated Revenue Fund and revenue from charging, trading and investments. Also includes the monitoring and analysis of assets to assist the delivery of economic and social services to government, industry and the community.

### Procedures

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

Class No	Description of records	Disposal action
1266 	Master set of agency manuals, handbooks, directives etc detailing procedures supporting the financial management function (eg procedural rules derived from Chief Executive's instructions).	Destroy 7 years after procedures are superseded
1267 	Records documenting the development of agency procedures supporting the financial management function.	Destroy 2 years after action completed
1268 	Copies of manuals, handbooks, directives etc.	Destroy when reference ceases

## FINANCIAL MANAGEMENT





The function of managing the organisation's financial resources. Includes establishing, operating, and maintaining accounting systems, controls and procedures, financial planning, framing budgets and budget submissions, obtaining grants, managing funds in the form of allocations from the Consolidated Revenue Fund and revenue from charging, trading and investments. Also includes the monitoring and analysis of assets to assist the delivery of economic and social services to government, industry and the community.

### Reporting

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

*For regular finance accrual reports, use FINANCIAL MANAGEMENT - Accounting.*

*For annual financial statements for formal interim statements, use FINANCIAL MANAGEMENT - Financial Statements.*



Class No	Description of records	Disposal action
1269 	Final version of formal internal reports and reports made to external agencies relating to the financial management function. Includes reports made in response to a statutory obligation or reports required to be submitted on a regular basis.	Destroy 7 years after action completed
1270 	Final version of periodic reports on general administrative matters used to monitor and document recurring activities to support the financial management function.	Destroy 7 years after action completed
1271 	Working papers documenting the development of all reports. Includes drafts and comments received.	Destroy 2 years after action completed
1272 	Copies of financial management reports.	Destroy when reference ceases

## FINANCIAL MANAGEMENT

The function of managing the organisation's financial resources. Includes establishing, operating, and maintaining accounting systems, controls and procedures, financial planning, framing budgets and budget submissions, obtaining grants, managing funds in the form of allocations from the Consolidated Revenue Fund and revenue from charging, trading and investments. Also includes the monitoring and analysis of assets to assist the delivery of economic and social services to government, industry and the community.



### Reviewing

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

Class No	Description of records	Disposal action
1273 	Records documenting a review of agency programs and operations supporting the financial management function. Includes documents establishing the review, the final report and action plan.	Destroy 7 years after action completed
1274 	Working papers documenting a review of agency programs and operations supporting the financial management function.	Destroy 3 years after action completed

### Risk Management

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


Class No	Description of records	Disposal action
1275 	Records documenting risk management relating to the financial management function. Includes documentation covering each stage of the process, treatment schedules and action plans.	Destroy 7 years after next risk assessment
1276 	Financial management risk register.	Destroy 7 years after next risk assessment

## FINANCIAL MANAGEMENT

The function of managing the organisation's financial resources. Includes establishing, operating, and maintaining accounting systems, controls and procedures, financial planning, framing budgets and budget submissions, obtaining grants, managing funds in the form of allocations from the Consolidated Revenue Fund and revenue from charging, trading and investments. Also includes the monitoring and analysis of assets to assist the delivery of economic and social services to government, industry and the community.

### Salaries


The process of managing the payment of salaries to personnel.

Class No	Description of records	Disposal action
20938 	Records documenting the payment of salaries to agency personnel. Includes payment of employer superannuation contributions.  <i>[For records such as group certificates, overtime forms, tax declaration forms, and records of superannuation deductions, use PERSONNEL - Salaries.]</i>	Destroy 7 years after last action

### Standards

The process of implementing industry or organisational benchmarks for services and processes to enhance the quality and efficiency of the organisation.

*For compliance with standards (except where other activities apply), use FINANCIAL MANAGEMENT - Compliance.*

Class No	Description of records	Disposal action
1278 	Records documenting the implementation of industry standards (eg those issued by the Public Sector Accounting Standards Board or by the Australian Accounting Research Foundation) and agency standards to support the financial management function.	Destroy 7 years after action completed

### Tendering

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




Class No	Description of Records	Disposal Action
N/A	<i>[For the acquisition of goods and services required to support the financial management function via a tender process, use PROCUREMENT - Tendering.]</i>	N/A

## FINANCIAL MANAGEMENT

The function of managing the organisation's financial resources. Includes establishing, operating, and maintaining accounting systems, controls and procedures, financial planning, framing budgets and budget submissions, obtaining grants, managing funds in the form of allocations from the Consolidated Revenue Fund and revenue from charging, trading and investments. Also includes the monitoring and analysis of assets to assist the delivery of economic and social services to government, industry and the community.

### Treasury Management

The process of managing the funds of the organisation in an efficient and economical manner by ensuring an effective system of internal control is in operation. Includes investments and loans.

Class No	Description of records	Disposal action
1289 	Records documenting the transfer of agency funds between official Commonwealth Funds.	Destroy 7 years after last action
1290 	Records documenting investments or loans undertaken by the agency.	Destroy 7 years after investment matures or loan repayment completed
1291 	Records documenting special accounts. Includes trust funds, unidentified receipts, unclaimed moneys.	Destroy 7 years after account finalised




## 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 or used by the organisation to transport people or items. Excludes vehicles acquired to support the Defence combat function, but includes all other special purpose vehicles.

### 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.

Class No	Description of records	Disposal action
1292 	Records detailing accidents/incidents involving Commonwealth vehicles. Includes: <ul style="list-style-type: none"> <li>• vehicle accident reports;</li> <li>• investigation reports;</li> <li>• documents authorising the use of the vehicle;</li> <li>• records of driver/operator/pilot licences and certificates of competencies;</li> <li>• logs of vehicle operations; and</li> <li>• booking schedules and other evidence supporting the use of the vehicle.</li> </ul>	Destroy 7 years after accident/incident

*[For lodgement of a claim for damages to a Commonwealth vehicle or third party vehicle or property, use FLEET MANAGEMENT - Claims.*

*For accident reports where there is an injury to an employee, use COMPENSATION - Cases. For accident reports where there is an injury to a member of the public who submits a claim for compensation, use COMPENSATION - Claims.*

*For accident reports where an employee was involved in an accident but where no compensation claim was lodged, use PERSONNEL - Accidents.*

*For accident reports sent to the lead agency (currently Comcare) covering deaths, serious personal injury, incapacity and dangerous occurrences for both employees and members of the public, use OH&S - Accidents.*

*For legal action resulting from an accident, use LEGAL SERVICES - Litigation.]*

### 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..

Class No	Description of Records	Disposal Action
N/A	<i>[For the acquisition of vehicles for Commonwealth use and goods and services required to support the fleet management function (eg vehicle accessories and fuel), use the PROCUREMENT function.]</i>	N/A

## 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 or used by the organisation to transport people or items. Excludes vehicles acquired to support the Defence combat function, but includes all other special purpose vehicles.

### Agreements

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


*For records relating to the tendering process and contracts, use PROCUREMENT - Tendering.*

*For managing contract arrangements, use PROCUREMENT - Contracting-out.*

Class No	Description of records	Disposal action
1295 	Final version of agreements and Memoranda of Understanding made to support the fleet management function.	Destroy 7 years after expiry or other termination of agreement
1296 	Records documenting negotiation, establishment, maintenance and review of agreements.	Destroy 7 years after expiry or other termination of agreement

### 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, eg travelling allowances.

Class No	Description of records	Disposal action
1297 	Records documenting applications for allowances to employees for use of private vehicles for official business.	Destroy 7 years after action completed


*[For the payment of allowances to employees, use  
FINANCIAL MANAGEMENT - Salaries.]*

## 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 or used by the organisation to transport people or items. Excludes vehicles acquired to support the Defence combat function, but includes all other special purpose vehicles.

### Arrangements

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

Class No	Description of records	Disposal action
1298 	Records documenting arrangements for using Commonwealth vehicles. Includes: <ul style="list-style-type: none"><li>• booking schedules;</li><li>• trip instructions (eg sailing directions);</li><li>• travel itineraries and programs;</li><li>• records documenting a check of appropriate authorisations (eg validity of driver/operator/pilot licences and certificate of competencies); and</li><li>• trip logs.</li></ul>	Destroy 2 years after action completed





*[For records detailing use arrangements for vehicles involved in accidents, use FLEET MANAGEMENT - Accidents.]*

## 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 or used by the organisation to transport people or items. Excludes vehicles acquired to support the Defence combat function, but includes all other special purpose vehicles.

### Authorisation

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

Class No	Description of records	Disposal action
1299 	Delegations of powers to agency staff to authorise administrative action relating to the fleet management function.	Destroy 7 years after delegation expires
1300 	Requests and approvals for the use of vehicles involving financial arrangements. Includes permission for: <ul style="list-style-type: none"> <li>• use of private vehicles for official business;</li> <li>• maintenance and repairs; and</li> <li>• private use of fuel card and arrangements for reimbursement.</li> </ul> <p><i>[For records supporting authorisation if the vehicle is involved in an accident, use FLEET MANAGEMENT - Accidents.]</i></p>	Destroy 7 years after action completed
1301 	Requests and approvals authorising the use of vehicles not involving financial arrangements. Includes giving permission: <ul style="list-style-type: none"> <li>• to carry non-Commonwealth passengers;</li> <li>• for home garaging of vehicles;</li> <li>• for Executive Officers to use vehicles while on leave; and</li> <li>• for learner drivers to drive a vehicle.</li> </ul> <p><i>[For records supporting authorisation if the vehicle is involved in an accident, use FLEET MANAGEMENT - Accidents.]</i></p>	Destroy 1 year after authority expires
1302 	Copies of endorsed vehicle-related invoices passed to the delegate for payment. <p><i>[For the payment of the invoices, use FINANCIAL MANAGEMENT - Accounting and/or FINANCIAL MANAGEMENT -Payment.]</i></p>	Destroy when reference ceases

## 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 or used by the organisation to transport people or items. Excludes vehicles acquired to support the Defence combat function, but includes all other special purpose vehicles.

### 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.

Class No	Description of records	Disposal action
1303 ■■■■■■■■■■	Records documenting insurance claims. Includes copies of claims, reports and related correspondence.	Destroy 7 years after action completed

### Committees

The activities associated with the managing of committees and task forces. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agenda etc.

Class No	Description of records	Disposal action
1304 ■■■■■■■■■■	Records of internal and external committees formed to consider matters relating to the fleet management function. Includes: <ul style="list-style-type: none"><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>	Destroy 2 years after action completed
1305 ■■■■■■■■■■	Working papers documenting the administration of committees which consider matters relating to the fleet management function. Includes: <ul style="list-style-type: none"><li>• agenda;</li><li>• notices of meetings; and</li><li>• draft minutes.</li></ul>	Destroy when reference ceases

## 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 or used by the organisation to transport people or items. Excludes vehicles acquired to support the Defence combat function, but includes all other special purpose vehicles.

### Compliance

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

*Other activities within this function may also be relevant to the Compliance activity.*

Class No	Description of records	Disposal action
1306 ■■■■■■■■■■	Records documenting agency compliance with mandatory or optional standards or with statutory requirements relating to the fleet management function.	Destroy 7 years after action completed
1307 ■■■■■■■■■■	Records documenting the registration of agency vehicles. Includes inspections and renewal papers.	Destroy when registration is renewed or expires
1308 ■■■■■■■■■■	Records documenting the calculation of Fringe Benefit Tax (FBT) liabilities.	Destroy 5 years after action completed

*[For managing FBT arrangements attached to individual employee's salary packages, use PERSONNEL - Salaries.*

*For the processes involved in managing financial transactions associated with meeting agency FBT obligations, use FINANCIAL MANAGEMENT - Accounting.]*

### 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.

*For information on records issues relating to outsourcing and contracting-out see General Disposal Authority 25.*



Class No	Description of Records	Disposal Action
N/A	<i>[For records documenting contract management relating to the fleet management function, use PROCUREMENT – Contracting-out.]</i>	N/A

## 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 or used by the organisation to transport people or items. Excludes vehicles acquired to support the Defence combat function, but includes all other special purpose vehicles.

### Disposal

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


Class No	Description of records	Disposal action
1310 	Records documenting the disposal of Commonwealth owned vehicles. Includes: <ul style="list-style-type: none"><li>• independent valuation;</li><li>• certification of work undertaken on a vehicle prior to disposal;</li><li>• written quotes;</li><li>• auction records; and</li><li>• routine forms and correspondence documenting the disposal of vehicles.</li></ul>	Destroy 7 years after disposal of vehicle
1311 	Records documenting the return of leased vehicles. Includes: <ul style="list-style-type: none"><li>• written notices and correspondence with leasing companies;</li><li>• handover reports;</li><li>• notification that the agency or its nominee wishes to purchase vehicle; and</li><li>• arrangements for the restoration of the vehicle to the original condition.</li></ul>	Destroy 3 years after disposal of vehicle

## 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 or used by the organisation to transport people or items. Excludes vehicles acquired to support the Defence combat function, but includes all other special purpose vehicles.

### Infringements

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

Class No	Description of records	Disposal action
1312 	Records documenting breaches of the agency's rules and/or driving, traffic, aeronautical or marine laws. Includes copy of infringement notice, correspondence with relevant authority and other supporting documentation.	Destroy 1 year after action completed

*[For cases where legal support is sought, use LEGAL SERVICES - Infringements.*

*For cases that proceed to litigation, use LEGAL SERVICES - Litigation.*



*For disciplinary action arising from infringements by employees, use PERSONNEL - Discipline.]*

### Insurance

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

*For insurance claims lodged, use FLEET MANAGEMENT - Claims.*

*For managing financial transactions supporting insurance activities, use FINANCIAL MANAGEMENT - Accounting and/or FINANCIAL MANAGEMENT - Payments.*

Class No	Description of records	Disposal action
1313 	Vehicle insurance policies.	Destroy 7 years after policy expires
1314 	Records documenting the annual renewal of insurance policies.	Destroy 1 year after action completed



## 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 or used by the organisation to transport people or items. Excludes vehicles acquired to support the Defence combat function, but includes all other special purpose vehicles.

### Leasing

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

<b>Class No</b>	<b>Description of Records</b>	<b>Disposal Action</b>
N/A	<i>[For the leasing of vehicles, including the short term hire of vehicles, use PROCUREMENT – Leasing.]</i>	N/A

### Maintenance

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

*For the payment of accounts relating to maintenance activities, use FINANCIAL MANAGEMENT - Accounting and Payment.*

<b>Class No</b>	<b>Description of records</b>	<b>Disposal action</b>
1317 ■■■■■■■■■■	Records documenting the maintenance, repair and modification of Commonwealth owned vehicles. Includes maintenance record books/logs.	Transfer to the new owner after sale or destroy 6 months after the write-off of the vehicle. (See instruction on the transfer of custody and ownership of Commonwealth records in Introduction)
1318 ■■■■■■■■■■	Records documenting the maintenance and servicing of leased vehicles. Includes maintenance record books/logs.	Transfer to leasing company after lease expires or is terminated. (See instruction on the transfer of custody and ownership of Commonwealth records in Introduction)

## 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 or used by the organisation to transport people or items. Excludes vehicles acquired to support the Defence combat function, but includes all other special purpose vehicles.

### Meetings

The activities associated with ad hoc gatherings held to formulate, discuss, update or resolve issues and matters pertaining to the management of the section, department, or organisation as a whole. Includes arrangements, agenda, taking of minutes etc. Excludes committee meetings.

Class No	Description of records	Disposal action
1319 ■■■■■■■■■■	Final version of minutes and supporting documents tabled at meetings held to support the fleet management function. Includes meetings with external agencies.	Destroy 2 years after action completed
1320 ■■■■■■■■■■	Working papers documenting the conduct and administration of meetings held to support the fleet management function. Includes agenda, notices of meetings and draft minutes.	Destroy when reference ceases

### Policy

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




Class No	Description of records	Disposal action
1321 ■■■■■■■■■■	Records documenting the development and establishment of the agency's fleet management policies. Includes: <ul style="list-style-type: none"><li>• policy proposals;</li><li>• research papers;</li><li>• results of consultations;</li><li>• supporting reports;</li><li>• major drafts; and</li><li>• final policy documents.</li></ul>	Destroy 7 years after policy is superseded
1322 ■■■■■■■■■■	Records documenting comments made on the development of government-wide fleet management policies.	Destroy 2 years after promulgation of the new policy
1323 ■■■■■■■■■■	Working papers documenting the development of all fleet management policies.	Destroy 2 year after promulgation of the new policy
1324 ■■■■■■■■■■	Copies of policy documents and supporting papers.	Destroy when reference ceases

## 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 or used by the organisation to transport people or items. Excludes vehicles acquired to support the Defence combat function, but includes all other special purpose vehicles.





### Procedures

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

Class No	Description of records	Disposal action
1325 	Master set of agency manuals, handbooks, directives etc detailing procedures supporting the fleet management function.	Destroy 7 years after procedures are superseded
1326 	Records documenting the development of agency procedures supporting the fleet management function.	Destroy 2 years after production of procedures
1327 	Copies of manuals, handbooks, directives etc.	Destroy when reference ceases

### Reporting

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

Class No	Description of records	Disposal action
1328 	Final versions of formal reports and reports made to external agencies relating to the fleet management function.	Destroy 5 years after action completed
1329 	Final versions of periodic internal reports on general administrative matters used to monitor and document recurring activities to support the fleet management function. Includes reporting on accidents/incidents and theft involving Commonwealth vehicles.	Destroy 3 years after action completed
1330 	Working papers documenting the development of all reports. Includes drafts and comments received.	Destroy when reference ceases
1331 	Copies of financial management reports.	Destroy when reference ceases

## 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 or used by the organisation to transport people or items. Excludes vehicles acquired to support the Defence combat function, but includes all other special purpose vehicles.

### 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.

Class No	Description of Records	Disposal Actions
N/A	<i>[For tendering carried out to support a contracting process for leasing vehicles, use PROCUREMENT – Tendering.]</i>	N/A




## GOVERNMENT RELATIONS

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

This function is NOT designed to cover regular ongoing contact between government agencies, which should be classified under the relevant function.

### Addresses (presentations)

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

Class No	Description of records	Disposal action
1342 	Final versions of addresses presented by portfolio Ministers and agency heads at government occasions.  <i>[For addresses delivered by portfolio Ministers at public occasions, use COMMUNITY RELATIONS - Addresses.]</i>	Retain as national archives
1343 	Final versions of addresses presented by other agency staff at government occasions.	Destroy 6 years after action completed
1344 	Working papers documenting the preparation of addresses presented by the portfolio Minister and agency staff. Includes requests for input into ministerial speeches, quality monitoring, comments, clearances, and draft versions.	Destroy 1 year after action completed

## GOVERNMENT RELATIONS

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

This function is NOT designed to cover regular ongoing contact between government agencies, which should be classified under the relevant function.




### Advice

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

*For advice and briefs provided to or prepared for a Minister, government or incoming government, Including briefs known as the red and blue books, use AFDA Express - GOVERNMENT RELATIONS - 61224*

*For formal submissions made by the agency on government matters, use GOVERNMENT RELATIONS - Submissions.*

*For registers tracking the handling of Cabinet documents, use INFORMATION MANAGEMENT - Security.*

Class No	Description of records	Disposal action
1345 	Numbered Cabinet memorandums, Cabinet discussion papers, Cabinet minutes and related documents received by the agency.	Destroy in accordance with Cabinet Handbook instructions
1346 	Working papers documenting the development of Cabinet memorandums and Cabinet discussion papers. Includes drafts.	Retain as national archives
1347 	Advice provided by the agency to the portfolio Minister and government agencies on controversial public issues with far-reaching social, economic and international implications relating to the functional responsibilities of the agency. Includes advice provided in the form of: <ul style="list-style-type: none"> <li>• briefing notes (includes background briefs and Question Time Briefs);</li> <li>• minutes providing advice to the Minister;</li> <li>• Ministerial statements;</li> <li>• Government responses to Inquiry recommendations;</li> <li>• policy papers (White and Green papers);</li> <li>• minutes providing co-ordination comments; and</li> <li>• advice to other agencies.</li> </ul>	Retain as national archives

## GOVERNMENT RELATIONS

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

This function is NOT designed to cover regular ongoing contact between government agencies, which should be classified under the relevant function.

### Advice - Continued

Class No	Description of records	Disposal action
1348 ■■■■■■■■■■	Working papers documenting the development of advice provided by the agency to the portfolio Minister and government agencies on controversial public issues with far-reaching social, economic and international implications relating to the functional responsibilities of the agency.	Retain as national archives
1349 ■■■■■■■■■■	Advice provided by the agency to the portfolio Minister and government agencies on matters of lesser importance, with no far reaching impact on the social, economic and international standing of the country. Includes advice provided in the form of: <ul style="list-style-type: none"> <li>• briefing notes (includes background briefs and Question Time Briefs);</li> <li>• minutes providing advice to the Minister;</li> <li>• minutes providing co-ordination comments; and</li> <li>• advice to other agencies.</li> </ul>	Destroy 5 years after action completed
1350 ■■■■■■■■■■	Working papers documenting the development of advice provided by the agency to the portfolio Minister and government agencies on matters of lesser importance, with no far-reaching impact on the social, economic and international standing of the country.	Destroy 5 years after action completed
1351 ■■■■■■■■■■	General administrative records documenting the provision of advice. Includes list of briefing requirements and records documenting the tabling of reports and papers to Parliament.	Destroy 2 years after action completed
1352 ■■■■■■■■■■	Notes made by agency officials attending Cabinet or Cabinet committee meetings to give advice. Excludes Cabinet notebooks held by the Department of Prime Minister and Cabinet.	Destroy in accordance with Cabinet Handbook instructions ie as soon as possible after the meeting

## GOVERNMENT RELATIONS

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

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### Advice - Continued

Class No	Description of records	Disposal action
20949 ■■■■■■■■■■	Records documenting provision of advice to Government on the nomination, appointment, reappointment, resignation and termination of members of the public to boards, committees and statutory positions which are administered by the agency.  <i>[For the provision of advice to Government on the nomination, appointment, resignation and termination of members of the agency's governing body, use GOVERNING BODIES</i>  <i>For the provision of advice to Government on the nomination, appointment, resignation and termination of members of the agency's advisory body, use ADVISORY BODIES.]</i>	Destroy 3 years after action completed
20948 ■■■■■■■■■■	Advice received by the agency from the portfolio Minister and government agencies on matters relating to the functional and administrative responsibilities of the agency. Includes Ministerial directives received by the agency. Excludes statements of expectations.  <i>[For statements of expectations relating to the performance management of governing bodies, use GOVERNING BODIES.</i>  <i>For statements of expectations relating to the performance management of the organisation, use STRATEGIC MANAGEMENT – Performance Management.]</i>	Destroy 5 years after action completed



## GOVERNMENT RELATIONS


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

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### Agency Liaison

The activity associated with maintaining regular general contact between the agency and other government agencies. Includes sharing informal advice and discussions, and collaborating on projects that are not joint ventures.

*For liaison with professional associations, private sector organisations and community groups, use COMMUNITY RELATIONS – Liaison.*

Class No	Description of records	Disposal action
20950 	Records documenting liaison activities undertaken with other government organisations. Includes collaboration on projects and exchange of information.	Destroy 3 years after action completed

*[For formal advice provided or received from other government organisations, use GOVERNMENT RELATIONS – Advice.*

*For formal submissions made to other government organisations, use GOVERNMENT RELATIONS – Submissions.]*

## GOVERNMENT RELATIONS

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





This function is NOT designed to cover regular ongoing contact between government agencies, which should be classified under the relevant function.

### Agreements

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

*Agencies must use their own Records Disposal Authorities for agreements which relate to their core functions.*

*For agreements relating to joint ventures, use GOVERNMENT RELATIONS - Joint Ventures.*

Class No	Description of records	Disposal action
1354 	Final version of significant agreements with government bodies. Includes: <ul style="list-style-type: none"> <li>• policies and procedures applying to the whole of government;</li> <li>• changes to the performance of statutory functions; and</li> <li>• those with implications for major liabilities or obligations for the agency.</li> </ul>	Retain as national archives
1355 	Records relating to the negotiations, establishment, maintenance and review of significant agreements.	Retain as national archives
1356 	Final versions of other agreements.	Destroy 10 years after expiry of the agreement
1357 	Records documenting the negotiations, establishment, maintenance and review of other agreements.	Destroy 10 years after expiry of the agreement

## GOVERNMENT RELATIONS




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

This function is NOT designed to cover regular ongoing contact between government agencies, which should be classified under the relevant function.

### Committees

The activities associated with the managing of committees and task forces. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agenda etc.

*Agencies must use their own Records Disposal Authorities for committees which relate to their core functions.*

Class No	Description of records	Disposal action
1358 	Records of external high level inter-government (both State/Territory and overseas) or inter-agency committees where the agency provides the Secretariat, is the Commonwealth's main representative, or plays a significant role. Includes: <ul style="list-style-type: none"> <li>documents establishing the committee;</li> <li>agendas;</li> <li>minutes;</li> <li>reports;</li> <li>recommendations; and</li> <li>supporting documents such as briefing and discussion papers.</li> </ul>	Retain as national archives
1359 	Working papers documenting the administrative arrangements made for the conduct of external high level committees.	Destroy 5 years after action completed
1360 	Records of other external inter-government (both State/Territory and overseas) or inter-agency committees where the agency does not provides the Secretariat, is not the Commonwealth's main representative, and plays only a minor role. Includes: <ul style="list-style-type: none"> <li>documents establishing the committee;</li> <li>minutes;</li> <li>reports;</li> <li>recommendations; and</li> <li>supporting documents such as briefing and discussion papers.</li> </ul>	Destroy 5 years after action completed

## GOVERNMENT RELATIONS

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

This function is NOT designed to cover regular ongoing contact between government agencies, which should be classified under the relevant function.

### Committees - Continued

Class No	Description of records	Disposal action
1361 ■■■■■■■■■■	Working papers documenting administrative arrangements made for the conduct of other external inter-government and inter-agency committees.	Destroy 2 years after action completed
1362 ■■■■■■■■■■	Records of internal agency committees formed to consider matters relating to the government relations function. Includes: <ul style="list-style-type: none"> <li>• documents establishing the committee;</li> <li>• minutes;</li> <li>• reports;</li> <li>• recommendations; and</li> <li>• supporting documents such as briefing and discussion papers.</li> </ul>	Destroy 3 years after action completed
1363 ■■■■■■■■■■	Working papers documenting the administration of internal committees formed to consider matters relating to the government relations function. Includes: <ul style="list-style-type: none"> <li>• agenda;</li> <li>• notices of meetings; and</li> <li>• draft minutes</li> </ul>	Destroy when reference ceases

### Compliance

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

*Other activities within this function may also be relevant to the Compliance activity.*

Class No	Description of records	Disposal action
1364 ■■■■■■■■■■	Records documenting agency compliance with mandatory or optional standards or with statutory requirements relating to the government relations function (eg submission of Annual Report to the portfolio Minister including letter of transmittal).	Destroy 7 years after action completed

## GOVERNMENT RELATIONS

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

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### Customer Service

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

Class No	Description of records	Disposal action
1365 ■■■■■■■■■■	Records documenting the general planning, monitoring and evaluation of customer services provided to government clients.	Destroy 6 years after action completed
1366 ■■■■■■■■■■	Records documenting the development of service charters and directives relating to the provision of services to government clients.	Destroy 6 years after action completed
<i>[For the production of the agency's service charter, use PUBLICATION - Planning and PUBLICATION - Production.]</i>		
1367 ■■■■■■■■■■	Records documenting the management of specific customer services delivered to government clients. Includes planning, monitoring and evaluation of services.	Destroy 6 years after action completed

### Implementation

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

Class No	Description of records	Disposal action
1368 ■■■■■■■■■■	Records documenting the implementation of plans, policies, procedures and instructions to support the Government Relations function.	Destroy 3 years after action completed






## GOVERNMENT RELATIONS

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

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### Inquiries

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

Class No	Description of records	Disposal action
1369 	Records documenting the agency's contribution and involvement in an inquiry directly relating to its functions. Includes: <ul style="list-style-type: none"> <li>agency statements and submissions;</li> <li>responses to final reports; and</li> <li>transcripts of oral evidence given by agency officers.</li> </ul>	Retain as national archives
1370 	Working papers documenting the agency's contribution and involvement in an inquiry directly relating to its functions.	Retain as national archives
1371 	Records documenting inquiries with no direct relation to the agency's functions where the agency made a substantial contribution. Includes: <ul style="list-style-type: none"> <li>agency statements and submissions;</li> <li>responses to final reports; and</li> <li>transcripts of oral evidence given by agency officers.</li> </ul>	Destroy 7 years after final report of inquiry is released
1372 	Records documenting inquiries with no direct relation to the agency's function where the agency made little or no contribution.	Destroy 2 years after final report of inquiry is released
1373 	Working papers documenting the agency's contribution and involvement in an inquiry with no direct relation to the agency's function.	Destroy when reference ceases

## GOVERNMENT RELATIONS





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

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### Joint Ventures

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

*Agencies must use their own Records Authority for joint venture operations which relate to their core functions.*

Class No	Description of records	Disposal action
1374 	Final signed version of joint venture agreements or contracts of major significance to the agency and the Commonwealth. Includes: <ul style="list-style-type: none"> <li>• policies and procedures applying to the whole of government;</li> <li>• changes to the performance of statutory functions; and</li> <li>• those with implications for major liabilities or obligations for the agency.</li> </ul>	Retain as national archives
1375 	Working papers relating to the establishment and negotiations and management of joint venture agreements of major significance.	Retain as national archives
1376 	Final versions of other joint venture agreements or contracts.	Destroy 7 years after completion or other termination of agreement or contract
1377 	Working papers relating to the establishment, negotiations and management of other joint venture agreements or contracts.	Destroy 7 years after completion or other termination of agreement or contract

## GOVERNMENT RELATIONS

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

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### Legislation


The process of making laws. Includes Local, State, Commonwealth and overseas Acts, Bills and subsections of Acts, and amendments to each.

*For records documenting the development of the legislative requirements, use STRATEGIC MANAGEMENT - Legislation.*

*For advice provided to Cabinet, the portfolio Minister and other government agencies on proposed legislation, use GOVERNMENT RELATIONS - Advice.*

*For submissions relating to legislative proposals to the portfolio Minister and to Cabinet, use GOVERNMENT RELATIONS - Submissions.*

*For legal advice received on the interpretation of legislation and legislation proposals, use LEGAL SERVICES - Advice.*

Class No	Description of records	Disposal action
1378 	Records documenting the preparation and passage of an agency's legislation through Parliament. Includes: <ul style="list-style-type: none"><li>• preliminary drafting instructions;</li><li>• proposed bills;</li><li>• records documenting consultation with relevant government agencies;</li><li>• preparation of the Explanatory Memorandum; and</li><li>• Second Reading Speech.</li></ul>	Retain as national archives



## GOVERNMENT RELATIONS

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### Media Relations

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

Class No	Description of records	Disposal action
1379 ■■■■■■■■■■	Master set of agency produced media releases in the portfolio Minister's name and transcripts of interviews.	Retain as national archives
1380 ■■■■■■■■■■	Records documenting administrative arrangements with the media. Includes the issuing of media releases in the portfolio Minister's name, organising media interviews for the Minister and providing information and assistance to support media coverage.	Destroy 3 years after action completed
1381 ■■■■■■■■■■	Copies of media items specifically relating to the portfolio Minister. Includes newscuttings, transcripts and electronic items.	Destroy when reference ceases

*[For copies of media items relating to the agency's operations,  
use COMMUNITY RELATIONS - Media Relations.*

*For the acquisition of media items through media monitoring  
services, use INFORMATION MANAGEMENT - Acquisition.]*



## GOVERNMENT RELATIONS

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

This function is NOT designed to cover regular ongoing contact between government agencies, which should be classified under the relevant function.

### Meetings

The activities associated with ad hoc gatherings held to formulate, discuss, update or resolve issues and matters pertaining to the management of the section, department, or organisation as a whole. Includes arrangements, agenda, taking of minutes etc. Excludes committee meetings.

Class No	Description of records	Disposal action
1382 	Final version of minutes and supporting documents tabled at meetings held to support the Government Relations function. Includes meetings with external agencies.	Destroy 3 years after action completed
1383 	Working papers documenting the conduct and administration of meetings held to support the Government Relations function. Includes agenda, notices of meetings and draft minutes.	Destroy when reference ceases

## GOVERNMENT RELATIONS

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

This function is NOT designed to cover regular ongoing contact between government agencies, which should be classified under the relevant function.

### Policy

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

Class No	Description of records	Disposal action
1384 	Records documenting the development and establishment of the agency's government relations policies. Includes: <ul style="list-style-type: none"><li>• policy proposals;</li><li>• research papers;</li><li>• results of consultations;</li><li>• supporting reports;</li><li>• major drafts; and</li><li>• final policy documents.</li></ul>	Destroy 5 years after policy is superseded
1385 	Records documenting comments made on the development of government-wide government relations policies.	Destroy 3 years after promulgation of the new policy
1386 	Working papers documenting the development of all government relations policies.	Destroy 3 years after promulgation of the new policy
1387 	Copies of policy documents and supporting papers.	Destroy when reference ceases




## GOVERNMENT RELATIONS

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

This function is NOT designed to cover regular ongoing contact between government agencies, which should be classified under the relevant function.

### Procedures

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

Class No	Description of records	Disposal action
1388 	Master set of agency manuals, handbooks, directives etc detailing procedures supporting the government relations function. Includes procedures for preparing materials for a particular Minister.	Destroy when procedures are superseded
1389 	Records documenting the development of agency procedures supporting the Government Relations function.	Destroy 1 year after production of procedures
1390 	Copies of manuals, handbooks, directives etc.	Destroy when reference ceases

## GOVERNMENT RELATIONS

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

This function is NOT designed to cover regular ongoing contact between government agencies, which should be classified under the relevant function.

### Reporting

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

*For the provision of advice to government, use GOVERNMENT RELATIONS - Advice.*

*For agency contributions to government inquiries, use GOVERNMENT RELATIONS - Inquiries.*

*For agency submissions to Cabinet, use GOVERNMENT RELATIONS - Submissions.*

Class No	Description of records	Disposal action
1391 ■■■■■■■■■■	Final version of unpublished formal reports made on the agency's core functions.	Retain as national archives
	<p><i>[For the Annual Report drafting process, use PUBLICATION - Drafting.</i></p> <p><i>For published reports (eg Annual Reports), use PUBLICATION - Planning and PUBLICATION - Production.</i></p> <p><i>For submission of the agency's Annual Report to the portfolio Minister, use GOVERNMENT RELATIONS - Compliance.]</i></p>	
1392 ■■■■■■■■■■	Working papers documenting the development of formal reports made on the agency's core functions.	Retain as national archives
1393 ■■■■■■■■■■	Final version of periodic reports required on a regular basis by external government bodies.	Destroy 5 years after action completed
1394 ■■■■■■■■■■	Working papers documenting periodic reports required on a regular basis by external government bodies.	Destroy 3 years after action completed
1395 ■■■■■■■■■■	Copies of government relations reports.	Destroy when reference ceases
1396 ■■■■■■■■■■	Responses to surveys requested by other government agencies.	Destroy 2 years after action completed

## GOVERNMENT RELATIONS





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

This function is NOT designed to cover regular ongoing contact between government agencies, which should be classified under the relevant function.

### Representations

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

*For registers of Ministerial correspondence, use INFORMATION MANAGEMENT - Control.*

Class No	Description of records	Disposal action
1397 	Records documenting the preparation of Ministerial responses to questions raised in Parliament.	Destroy 5 years after action completed
1398 	Records documenting responses to approaches received by the minister ('Ministerials') from peak industry bodies, leading community interest groups, recognised influential stakeholders and individuals concerning issues of a contentious nature which are of major significance to the agency and/or the community at large. Includes: <ul style="list-style-type: none"> <li>• copies of letters received;</li> <li>• draft responses;</li> <li>• minutes providing background details for the Minister;</li> <li>• requests from the Minister's office for changes; and</li> <li>• final response.</li> </ul>	Retain as national archives
1399 	Records documenting responses to other approaches received by the minister ('Ministerials') from the public of a routine nature concerning issues which are of no major significance to the agency and/or the community at large. Includes: <ul style="list-style-type: none"> <li>• copies of letters received;</li> <li>• draft responses;</li> <li>• minutes providing background details for the Minister;</li> <li>• requests from the Minister's office for changes; and</li> <li>• final response.</li> </ul>	Destroy 2 years after action completed
1400 	Reference set of all responses to representations ('Ministerials') kept by the coordinating area.	Destroy when reference ceases

## GOVERNMENT RELATIONS

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This function is NOT designed to cover regular ongoing contact between government agencies, which should be classified under the relevant function.

### Representations - Continued

Class No	Description of records	Disposal action
1401 ■■■■■■■■■■	Records documenting the management of communications sent to the Minister. Includes Ministerial directives (project worksheets) and background material, statistics and weekly reports on representations.	Destroy 1 year after action completed

### Representatives

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

Class No	Description of records	Disposal action
1402 ■■■■■■■■■■	Records documenting the nomination, appointment and resignation and/or termination of staff members on government bodies.	Destroy 3 years after end of appointment

*[For the management of agency representatives on community organisations, use COMMUNITY RELATIONS – Representatives.*

*For the management of agency representatives on governing bodies, use GOVERNING BODIES.*

*For the management of agency representatives appointed to councils and other bodies supporting the administration and operation of governing bodies, use GOVERNING BODIES]*



## GOVERNMENT RELATIONS

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

This function is NOT designed to cover regular ongoing contact between government agencies, which should be classified under the relevant function.



### 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 the business activities of the organisation in general. Includes following up enquiries relating to organisational programs, projects, working papers, literature searches etc.

Class No	Description of records	Disposal action
1403 	Records documenting detailed research carried out to support the Government Relations function.	Destroy 7 years after last action
1404 	Records documenting routine research carried out to support the Government Relations function.	Destroy 1 year 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.

Class No	Description of records	Disposal action
1405 	Records documenting a review of agency programs and operations supporting the Government Relations function. Includes documents establishing the review, final report and action plan.	Destroy 5 years after action completed
1406 	Working papers documenting a review of agency programs and operations supporting the Government Relations function.	Destroy 2 years after action completed



## GOVERNMENT RELATIONS

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

This function is NOT designed to cover regular ongoing contact between government agencies, which should be classified under the relevant function.

### 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.

Class No	Description of records	Disposal action
1407 ■■■■■■■■■■	Records documenting arrangements made by the agency for the security of government representatives, including the portfolio Minister and dignitaries during visits.	Destroy 6 years after action completed

*[For general arrangements for visits, use GOVERNMENT RELATIONS - Visits.]*

### Submissions

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

*For registers tracking the handling of Cabinet documents, use INFORMATION MANAGEMENT - Security.*




Class No	Description of records	Disposal action
1408 ■■■■■■■■■■	Numbered Cabinet submissions and related Cabinet documents eg covering memorandums, corrigenda, reports and attachments to submissions and Cabinet minutes requesting submissions.	Destroy in accordance with Cabinet Handbook instructions
1409 ■■■■■■■■■■	Working papers documenting the development of Cabinet submissions. Includes background and briefing material, drafts and comments received.	Retain as national archives
1410 ■■■■■■■■■■	Submissions (other than Cabinet submissions) made to the Prime Minister, Minister, and government bodies on issues directly relating to the agency's functions, concerning controversial issues with far reaching social, economic and international implications relating to the functional responsibilities of the agency.	Retain as national archives

## GOVERNMENT RELATIONS

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

This function is NOT designed to cover regular ongoing contact between government agencies, which should be classified under the relevant function.

### Submissions - Continued

Class No	Description of records	Disposal action
1411 	Working papers documenting the development of submissions (other than Cabinet submissions) relating to controversial issues.	Retain as national archives
1412 	Submissions (other than Cabinet submissions) made to the Prime Minister, Minister, and government bodies on issues directly relating to the agency's functions, concerning other matters of lesser importance with no far reaching impact on the social, economic and international standing of the country. Includes submissions concerning administrative matters.	Destroy 10 years after action completed
1413 	Working papers documenting the development of submissions (other than Cabinet submissions) relating to other matters of lesser importance.	Destroy 10 years after action completed

## GOVERNMENT RELATIONS

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

This function is NOT designed to cover regular ongoing contact between government agencies, which should be classified under the relevant function.

### Visits

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

*For briefings for visits, use GOVERNMENT RELATIONS - Advice.*

*For visits to the agency by public and non-government visitors, use COMMUNITY RELATIONS - Visits.*

*For security arrangements made for the visits of government representatives, including the Minister, and delegations, use GOVERNMENT RELATIONS - Security.*

Class No	Description of records	Disposal action
1414 ██████████	Records documenting visits made by the Minister both within Australia and overseas. Includes: <ul style="list-style-type: none"> <li>• invitations;</li> <li>• travel and accommodation arrangements;</li> <li>• itineraries and programs;</li> <li>• visit reports; and</li> <li>• letters of thanks</li> </ul>	Destroy 10 years after action completed
1415 ██████████	Records documenting visits to the agency by royalty and Heads of State. Includes visitor books signed by such dignitaries.	Retain as national archives
1416 ██████████	Records documenting visits to the agency made by the Prime Minister, Ministers, Members of Parliament, other agency officials and interstate and overseas delegations.	Destroy 6 years after action completed
1417 ██████████	Records documenting visits by agency staff to other government organisations both within Australia and overseas. Includes reports on the visit.	Destroy 6 years after action completed

*[For visits by members of governing bodies to other government organisations, use GOVERNING BODIES.]*

*For visits by members of advisory bodies to other government organisations, use ADVISORY BODIES]*

## INDUSTRIAL RELATIONS

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

### Advice

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

Class No	Description of records	Disposal action
1418 ■■■■■■■■■■	Records documenting the receipt and provision of advice on the industrial relations function.	Destroy 3 years after action completed

*[For legal advice obtained on industrial relations matters, use LEGAL SERVICES - Advice.]*

### Agreements

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

*For agency collective or enterprise bargaining agreements, use INDUSTRIAL RELATIONS - Enterprise Bargaining.*

*For Australian Workplace Agreements with individual employees, use PERSONNEL - Agreements.*

Class No	Description of records	Disposal action
20951 ■■■■■■■■■■	Records documenting cases covering awards and agreements heard or certified by the central arbitration or determining body (eg Australian Industrial Relations Commission or former Public Service Arbitrator) where the agency is a major participant in negotiations. Includes arbitrated variations and consent variations to an award.	Destroy 10 years after expiry of agreement
1420 ■■■■■■■■■■	Records documenting other cases covering awards and agreements where the agency had little or no input.	Destroy 5 years after action completed

### 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 (eg travelling allowances).

Class No	Description of records	Disposal action
1421 ■■■■■■■■■■	Records documenting arrangements and money paid to enable employees to attend meetings and events to support the industrial relations function (eg Workplace Relations Committee meetings).	Destroy 1 year after action completed



*[For the payment of allowances to employees, use FINANCIAL MANAGEMENT - Salaries.]*

## INDUSTRIAL RELATIONS

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

### Appeals (decisions)


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

Class No	Description of records	Disposal action
20952 	Records documenting appeals made to the central arbitration or determining body (eg Fair Work Australia or the former Australian Industrial Relations Commission or Public Service Arbitrator) against a decision or an order where the agency is a major participant in negotiations.	Destroy 7 years after action completed
1423 	Records documenting appeals against a decision or an order where the agency had little or no input into the negotiations.	Destroy 2 years after action completed

*[For appeals made by individual employees, use PERSONNEL – Reviews (Decisions).]*

### 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.

Class No	Description of records	Disposal action
1424 	Records documenting insurance claims for damage and loss incurred by an agency resulting from industrial action.	Destroy 7 years after finalisation or withdrawal of claim



*[For the management of insurance policies, use INDUSTRIAL RELATIONS - Insurance.]*

## INDUSTRIAL RELATIONS

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

### Committees


The activities associated with the managing of committees and task forces. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agenda etc.

Class No	Description of records	Disposal action
1425 	Records of internal and external committees formed to consider matters relating to the industrial relations function (eg Workplace Relations Committee). Includes: <ul style="list-style-type: none"> <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> <p><i>[For records of the Workplace Relations Committee detailing negotiations for enterprise bargaining agreements, use INDUSTRIAL RELATIONS - Enterprise Bargaining.]</i></p>	Destroy 10 years after action completed
1426 	Working papers documenting the conduct and administration of committees which consider matters relating to the industrial relations function. Includes: <ul style="list-style-type: none"> <li>agenda;</li> <li>notices of meetings; and</li> <li>draft minutes.</li> </ul>	Destroy when reference ceases

### Compliance

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

*Other activities within this function may also be relevant to the Compliance activity.*

Class No	Description of records	Disposal action
1427 	Records documenting agency compliance with mandatory or optional standards or with statutory requirements relating to the industrial relations function.	Destroy 7 years after action completed

## INDUSTRIAL RELATIONS

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

### 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.

*For information on records issues relating to outsourcing and contracting-out see General Disposal Authority 25.*

Class No	Description of Records	Disposal Action
N/A	<i>[For records documenting contract management relating to the industrial relations function, use PROCUREMENT – Contracting-out.]</i>	N/A

### Disputes

The process of handling any disagreement pertaining to awards, agreements, demarcation issues, breaches of injunctions, secret ballots, etc.

Class No	Description of records	Disposal action
1429 	Records documenting the management of service, agency-wide or local industrial disputes. Includes records documenting liaison with employees, union representatives and the Commonwealth's lead agency.	Destroy 6 years after action completed

*[For advice on legal aspects of an industrial dispute, use LEGAL SERVICES - Advice.]*

*[For a dispute which escalates into industrial action (eg strikes, bans, lock-outs) use INDUSTRIAL RELATIONS - Industrial Action.]*

## INDUSTRIAL RELATIONS

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

### Enterprise Bargaining


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

Class No	Description of records	Disposal action
20953 	Records documenting negotiation, establishment and implementation of agency collective agreements or enterprise bargaining agreements made under industrial relations legislation. Includes: <ul style="list-style-type: none"><li>• negotiations with staff and union representatives;</li><li>• records documenting the conduct of the staff ballot;</li><li>• draft agreement;</li><li>• liaison with the Commonwealth's lead agency;</li><li>• Ministerial approval;</li><li>• records to support lodgement of agreements with the central lodgement authority;</li><li>• certified copy of final agreement; and</li><li>• minutes of Workplace Relations Committee meetings considering issues relating to the development of certified agreements.</li></ul>	Destroy 10 years after expiry of agreement

*[For Australian Workplace Agreements with an individual employee, use PERSONNEL - Agreements.]*

### Grievances

The activities associated with the handling and resolution of grievances. Includes handling complaints over perceived discrimination, or those arising over work environment, work organisation or distribution, peers, supervisors or subordinates. Also includes complaints regarding the provision of access to opportunities such as training, equipment, promotion or higher duties.

Class No	Description of records	Disposal action
1432 	Records documenting employee grievances and complaints. Includes records documenting liaison with employees, union representatives and the Commonwealth's lead agency.	Destroy 6 years after action completed

*[For a grievance which escalates into a dispute or industrial action, use INDUSTRIAL RELATIONS - Disputes or INDUSTRIAL RELATIONS - Industrial Action.]*

*For grievances lodged by individual employees, use PERSONNEL - Grievances.*

*For advice on legal aspects of handling grievances, use LEGAL SERVICES - Advice.]*



## INDUSTRIAL RELATIONS



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

### Industrial Action

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


*For advice on legal aspects of managing an industrial action, use LEGAL SERVICES - Advice.*

*For the management of any variation in employees' pay as a result of an industrial action, use PERSONNEL - Salaries.*

Class No	Description of records	Disposal action
1433 	Records documenting the management of industrial action (ie strikes, bans, lockouts, go-slows, work-to-rule) of a significant nature (eg involving large numbers of agency staff, where the action has a major affect on the provision of services to the community or if it has service-wide implications).  Includes: <ul style="list-style-type: none"><li>• notification to Minister;</li><li>• liaison with the relevant lead agency;</li><li>• discussions/meetings and conferences between parties;</li><li>• hearings with the Australian Industrial Relations Commission (Public Service Arbitrator);</li><li>• hearings before the Federal Court and predecessor bodies; and</li><li>• communications with staff.</li></ul>	Retain as national archives
1434 	Records documenting the management of industrial action (ie strikes, bans, lockouts, go-slows, work-to-rule) of a minor nature (eg involving few staff, with no major effect on the provision of services to the community or confined to a localised area of the agency).	Destroy 6 years after action completed

### Infringements

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

Class No	Description of records	Disposal action
1435 	Records documenting any industrial relations infringements incurred by the agency.	Destroy 7 years after action completed

## INDUSTRIAL RELATIONS

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

### Inspections

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

*For inspections where a prosecution occurs, use LEGAL SERVICES - Litigation.*

*For records detailing inspections carried out under the OH&S function, use OH&S - Inspections.*

Class No	Description of records	Disposal action
1436 ■■■■■■■■■■	Records documenting inspections carried out as a result of an OH&S dispute where breaches are recorded.	Destroy 6 years after action completed
1437 ■■■■■■■■■■	Records documenting routine inspections.	Destroy 3 years after action completed

### Insurance

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

*For insurance claims lodged, use INDUSTRIAL RELATIONS - Claims.*

*For managing financial transactions supporting insurance activities, use FINANCIAL MANAGEMENT - Accounting and/or FINANCIAL MANAGEMENT - Payments.*

Class No	Description of records	Disposal action
1438 ■■■■■■■■■■	Insurance policies.	Destroy 7 years after policy expires
1439 ■■■■■■■■■■	Records documenting the annual renewal of insurance policies.	Destroy 1 year after action completed

## INDUSTRIAL RELATIONS

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

### Meetings

The activities associated with ad hoc gatherings held to formulate, discuss, update or resolve issues and matters pertaining to the management of the section, department, or organisation as a whole. Includes arrangements, agenda, taking of minutes etc. Excludes committee meetings.

Class No	Description of records	Disposal action
1440 ■■■■■■■■■■	Final version of minutes and supporting documents tabled at meetings held to support the industrial relations function. Includes ongoing consultative meetings with union representatives and staff.	Destroy 6 years after action completed
1441 ■■■■■■■■■■	Working papers documenting the conduct and administration of meetings held to support the industrial relations function. Includes agenda, notices of meetings and draft minutes.	Destroy when reference ceases

### Planning

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

Class No	Description of records	Disposal action
1442 ■■■■■■■■■■	Final versions of agency-wide industrial relations plans (eg dispute contingency or action plans).	Destroy 5 years after plan is superseded
1443 ■■■■■■■■■■	Final version of section or business unit's industrial relations plans, including state, regional or overseas office.	Destroy 3 years after plan is superseded
1444 ■■■■■■■■■■	Working papers used to develop all industrial relations plans. Includes working papers, draft plans, reports analysing issues, and comments received from other areas of the agency.	Destroy 1 year after adoption of the final plan
1445 ■■■■■■■■■■	Copies of all industrial relations plans.	Destroy when reference ceases

## INDUSTRIAL RELATIONS

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

### Policy

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

Class No	Description of records	Disposal action
1446 ■■■■■■■■■■	Records documenting the development and establishment of the agency's industrial relations policies. Includes: <ul style="list-style-type: none"> <li>• policy proposals;</li> <li>• research papers;</li> <li>• results of consultations;</li> <li>• supporting reports;</li> <li>• major drafts; and</li> <li>• final policy documents.</li> </ul>	Retain as national archives
1447 ■■■■■■■■■■	Records documenting comments made on the development of government-wide industrial relations policies.	Destroy 3 years after promulgation of the new policy
1448 ■■■■■■■■■■	Working papers documenting the development of all industrial relations policies.	Destroy 3 years after promulgation of the new policy
1449 ■■■■■■■■■■	Copies of policy documents and supporting papers.	Destroy when reference ceases

### Procedures

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





Class No	Description of records	Disposal action
1450 ■■■■■■■■■■	Master set of agency manuals, handbooks, directives etc detailing procedures supporting the industrial relations function.	Destroy 5 years after procedures are superseded
1451 ■■■■■■■■■■	Records documenting the development of agency procedures supporting the industrial relations function.	Destroy 2 years after completion of procedures
1452 ■■■■■■■■■■	Copies of manuals, handbooks, directives etc.	Destroy when reference ceases

## INDUSTRIAL RELATIONS

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



### Reporting

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

Class No	Description of records	Disposal action
1453 	Final version of formal internal reports and reports made to external agencies relating to the industrial relations function.	Destroy 5 years after action completed
1454 	Final version of periodic internal reports on general administrative matters used to monitor and document recurring activities to support the industrial relations function.	Destroy 3 years after action completed
1455 	Working papers documenting the development of all reports. Includes drafts and comments received.	Destroy 1 year after action completed
1456 	Copies of industrial relations reports.	Destroy when reference ceases

### 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 the business activities of the organisation in general. Includes following up enquiries relating to organisational programs, projects, working papers, literature searches etc.



Class No	Description of records	Disposal action
1457 	Records documenting detailed research carried out to support the industrial relations function.	Destroy 3 years after research is completed
1458 	Records documenting routine research carried out to support the industrial relations function.	Destroy when reference ceases

## INDUSTRIAL RELATIONS

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

### 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.

Class No	Description of records	Disposal action
20954 	Records documenting risk management relating to the industrial relations function. Includes documentation covering each stage of the process, treatment schedules and action plans.	Destroy 7 years after next risk assessment
20955 	Industrial relations risk register.	Destroy 7 years after next risk assessment

### 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.

Class No	Description of Records	Disposal Action
N/A	<i>[For the acquisition of goods and services required to support the community relations function via a tender process, use PROCUREMENT - Tendering.]</i>	N/A

## INFORMATION MANAGEMENT

The function of managing the organisation's information resources. Includes creating, capturing, registering, classifying, indexing, storing, retrieving and disposing of records and developing strategies to manage records. Also includes the acquisition, control and disposal of library and other information products, items kept for reference purposes and the provision of services to internal and external customers, based on information resources. Data administration, archival records and the handling of Freedom of Information (FOI) requests are also classified under this keyword.


### 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.

Class No	Description of Records	Disposal Action
N/A	<i>[For the acquisition of library and record materials and/or services (eg on-line services, subscription renewals, media monitoring services, inter-library loan payments, collection management systems) where there is no tender or contracting-out process, use PROCUREMENT – Acquisition.</i>	N/A
	<i>For the management of media items, use COMMUNITY RELATIONS - Media Relations and GOVERNMENT RELATIONS - Media Relations.</i>	
	<i>For joining organisations to obtain subscriptions to an organisation's publications, use COMMUNITY RELATIONS - Liaison.</i>	
	<i>For arranging loans and inter-library loans of library material, use INFORMATION MANAGEMENT - Control.]</i>	

### Advice

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



Class No	Description of records	Disposal action
1470 	Records documenting the receipt and provision of advice provided on the information management function.	Destroy 1 year after action completed
	<i>[For handling enquiries from employees or other government organisations, use INFORMATION MANAGEMENT - Enquiries.]</i>	

## INFORMATION MANAGEMENT

The function of managing the organisation's information resources. Includes creating, capturing, registering, classifying, indexing, storing, retrieving and disposing of records and developing strategies to manage records. Also includes the acquisition, control and disposal of library and other information products, items kept for reference purposes and the provision of services to internal and external customers, based on information resources. Data administration, archival records and the handling of Freedom of Information (FOI) requests are also classified under this keyword.

### Agreements

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

Class No	Description of records	Disposal action
1471 	Final version of agreements made covering the information management function (eg agreements made with National Library of Australia for Kinetica services and agreements made under Section 35 of the current Archives Act, 1983).  <i>[For managing financial transactions associated with any agreement, use FINANCIAL MANAGEMENT - Accounting and/or FINANCIAL MANAGEMENT - Payment.]</i>	Destroy 7 years after expiry of agreement
1472 	Records documenting negotiations, establishment, maintenance and review of agreements.	Destroy 7 years after expiry of agreement






## INFORMATION MANAGEMENT

The function of managing the organisation's information resources. Includes creating, capturing, registering, classifying, indexing, storing, retrieving and disposing of records and developing strategies to manage records. Also includes the acquisition, control and disposal of library and other information products, items kept for reference purposes and the provision of services to internal and external customers, based on information resources. Data administration, archival records and the handling of Freedom of Information (FOI) requests are also classified under this keyword.



### Audit

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

Class No	Description of records	Disposal action
1473 	Final internal and external audit report relating to the information management function. Includes the final reports from audits conducted by the Privacy Commissioner or the Australian National Audit Office.	Destroy 5 years after action completed
1474 	Records documenting the planning and conduct of internal and external audits relating to the information management function. Includes: <ul style="list-style-type: none"><li>• liaison with the auditing body;</li><li>• minutes of meetings;</li><li>• notes taken at opening and exit interviews;</li><li>• draft report; and</li><li>• comments.</li></ul>	Destroy 5 years after action completed
1475 	Records documenting recordkeeping audits. Includes file census.	Destroy when results of the file census have been recorded in control records

### Authorisation

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

Class No	Description of records	Disposal action
1476 	Delegations of powers to agency staff to authorise administrative action relating to the information management function.	Destroy 3 years after delegation superseded
1477 	Authorisations for administrative actions relating to the information management function.	Destroy 3 years after authorisation superseded

## INFORMATION MANAGEMENT




The function of managing the organisation's information resources. Includes creating, capturing, registering, classifying, indexing, storing, retrieving and disposing of records and developing strategies to manage records. Also includes the acquisition, control and disposal of library and other information products, items kept for reference purposes and the provision of services to internal and external customers, based on information resources. Data administration, archival records and the handling of Freedom of Information (FOI) requests are also classified under this keyword.

### Cases

This activity descriptor should be used where there is a need to keep a number of activities together on one file, for legislative or operational reasons. Case files relate to particular incidents, persons, organisations or clients.

*For the application of the privacy principles to an agency's recordkeeping practices and development of access restrictions, use INFORMATION MANAGEMENT - Privacy.*


*For registers of cases, use INFORMATION MANAGEMENT - Control.*

Class No	Description of records	Disposal action
1478 	Records documenting requests for public access to records and documents under the FOI Act, the Privacy Act, the Archives Act and other legislation specific to the agency that: <ul style="list-style-type: none"> <li>• set a precedent;</li> <li>• lead to a change of policy;</li> <li>• relate to issues of national significance;</li> <li>• relate to issues of public controversy; and</li> <li>• result in appeals to the Administrative Appeals Tribunal or the Federal or High Court.</li> </ul>	Retain as national archives
1479 	Records documenting recurring or protracted requests received from the public for access to records and documents under the FOI Act, the Privacy Act, the Archives Act and other legislation specific to the agency.	Destroy 10 years after completion of case
1480 	Records documenting requests for public access to records and documents under the FOI Act, the Privacy Act, the Archives Act and other legislation specific to the agency where: <ul style="list-style-type: none"> <li>• there has been an internal review;</li> <li>• where complaints have been lodged with the Ombudsman; and</li> <li>• where there have been negotiations between an individual and the agency relating to the amendment or alteration of records.</li> </ul>	Destroy 5 years after action completed

## INFORMATION MANAGEMENT



The function of managing the organisation's information resources. Includes creating, capturing, registering, classifying, indexing, storing, retrieving and disposing of records and developing strategies to manage records. Also includes the acquisition, control and disposal of library and other information products, items kept for reference purposes and the provision of services to internal and external customers, based on information resources. Data administration, archival records and the handling of Freedom of Information (FOI) requests are also Class Noified under this keyword.

### Cases - Continued

Class No	Description of records	Disposal action
1481 	Records documenting requests for public access to records and documents under the FOI Act, the Privacy Act, the Archives Act and other legislation specific to the agency for: <ul style="list-style-type: none"> <li>• less complex requests; and</li> <li>• applications which are not proceeded with (eg where requests are withdrawn, lapse because of non-payment of application fees or are referred to another agency).</li> </ul>	Destroy 2 years after action completed

### Committees

The activities associated with the managing of committees and task forces. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agenda etc.

Class No	Description of records	Disposal action
1482 	Records of internal and external committees formed to consider matters relating to the information management function. Includes: <ul style="list-style-type: none"> <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>	Destroy 5 years after action completed
1483 	Working papers documenting the conduct and administration of committees which consider matters relating to the information management function. Includes: <ul style="list-style-type: none"> <li>• agenda;</li> <li>• notices of meetings; and</li> <li>• draft minutes.</li> </ul>	Destroy when reference ceases



## INFORMATION MANAGEMENT

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### Compliance

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

*Other activities within this function may also be relevant to the Compliance activity.*




Class No	Description of records	Disposal action
1484 	Records documenting agency compliance with mandatory or optional standards or with statutory requirements relating to the information management function (eg Australian Standard AS 4390-1996 Records Management).	Destroy 3 years after action completed
1485 	Records documenting the compilation of a list of file titles in accordance with Senate Continuing Order No. 5.	Destroy 1 year after action completed

*[For the submission of the file title list to Parliament, use GOVERNMENT RELATIONS - Submissions.]*

### Conservation

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

*This Function/activity set should not be used by agencies where conservation supports a core function. In these instances coverage should be included in such agencies own functional Records Authority.*

Class No	Description of records	Disposal action
1486 	Records documenting the management of agency conservation projects for the preservation of records and other information resources.	Destroy 5 years after project is completed
1487 	Records documenting routine preservation activities undertaken on agency records, library and other information resources. Includes book binding and repairs.	Destroy when reference ceases
1488 	Records documenting specialised conservation treatment for agency records (eg for specific groups of records such as photographs).	Destroy when treated records are disposed of

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### 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.

*For information on records issues relating to outsourcing and contracting-out see General Disposal Authority 25.*

Class No	Description of Records	Disposal Action
N/A	<i>[For records documenting contract management relating to the information management function (eg courier and outsourced storage services), use PROCUREMENT – Contracting-out.</i>	N/A
	<i>For the transfer of records to a storage provider, use INFORMATION MANAGEMENT - Disposal.]</i>	

### 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.

Class No	Description of records	Disposal action
1490 	Master control records for agency recordkeeping systems (both paper and electronic) for central, state, local, and overseas area offices. Includes: <ul style="list-style-type: none"> <li>• mandatory elements listed in National Archives' Recordkeeping Metadata Standards for Commonwealth Agencies;</li> <li>• registers of inwards/outwards correspondence (including Ministerial correspondence);</li> <li>• registers and indexes giving details of control numbers, titles, date, disposal details;</li> <li>• file movement cards (if they also constitute the main control record or have been used to record disposal detail);</li> <li>• list of records destroyed, if master control records are not annotated; and</li> <li>• registers of case files (eg personnel and compensation case files registers.)</li> </ul>	Retain as national archives

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### Control - Continued

Class No	Description of records	Disposal action
1491 	Control records documenting library systems. Includes: <ul style="list-style-type: none"> <li>• catalogues;</li> <li>• authority files of subject heading;</li> <li>• classification schemes;</li> <li>• thesauruses created by libraries for specialised use; and</li> <li>• loan and inter-library loan records.</li> </ul> <p><i>[For copies of invoices relating to payments for inter-library loans, use INFORMATION MANAGEMENT - Acquisitions.]</i></p>	Destroy when reference ceases
1492 	Ancillary records documenting the control of agency records, library and information resources. Includes: <ul style="list-style-type: none"> <li>• chronological sets of inwards and outwards correspondence;</li> <li>• file movements records (if they are a secondary control record to the main registers and indexes and have not been used to record disposal details);</li> <li>• reference sets of master control records;</li> <li>• reference sets of control records compiled and held by business units;</li> <li>• resubmit lists/notices;</li> <li>• barcode lists; and</li> <li>• location lists</li> </ul>	Destroy when reference ceases
1493 	Master copy of file classification systems or an agency's authorised business classification schemes (currently created using the methodology of the Australian Standard AS 4390. 1996 Records Management) and abbreviations used in paper and electronic systems.	Retain as national archives

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### Control - Continued

Class No	Description of records	Disposal action
1494 	Records documenting the creation, maintenance and evaluation of an agency record titling thesauruses. Includes master copy of the thesaurus.  <i>[For agency documentation of its functional analysis, the development of its business classification scheme and the recordkeeping requirements necessary for the creation of an agency Records Disposal Authority and functional thesaurus, use INFORMATION MANAGEMENT - Policy.]</i>	Retain as national archives
1495 	Business rules and configuration settings for agency metadata. Includes developmental records and requests for changes.  <i>[For the application, allocation and maintenance of the metadata in electronic systems, other than those covered by the Information Management function, use TECHNOLOGY &amp; TELECOMMUNICATIONS - Control.]</i>	Retain as national archives
1496 	Records documenting the receipt and dispatch of agency mail. Includes receipts for registered and certified mail.  <i>[For records supporting security requirement for the dispatch of classified mail, use INFORMATION MANAGEMENT - Security. For the internal distribution of agency mail, use INFORMATION MANAGEMENT - Distribution.]</i>	Destroy 3 years after action completed
1497 	Records documenting forms design.  <i>[For the printing of forms, use PUBLICATION - Production.]</i>	Destroy 7 years after action completed

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### Customer Service

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

Class No	Description of records	Disposal action
1498 ■■■■■■■■■■	Records documenting the planning, monitoring and evaluation of specific services provided to customers of libraries, archives and records management units. Includes customer surveys.	Destroy 3 years after action completed
1499 ■■■■■■■■■■	Records documenting the development of service charters and directives relating to the provision of information management services. Includes final copies of charters.	Destroy when superseded
<i>[For the production of the service charter, use PUBLICATION - Planning and PUBLICATION - Production.]</i>		
1500 ■■■■■■■■■■	Records documenting the management of a library or a records management unit enquiry desk.	Destroy when reference ceases
1501 ■■■■■■■■■■	Records documenting the management and use of translation services.	Destroy 1 year after action completed




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### 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.

Class No	Description of records	Disposal action
1502 	Records documenting the migration of records between formats or from one medium to another (eg paper to electronic ie scanning of paper records into an electronic system). Includes quality assurance checks to confirm the accuracy of information transfer.	Destroy 1 year after action completed

*[For migration strategies and quality assurance checks for migration between electronic systems and from one electronic medium to another, use TECHNOLOGY & TELECOMMUNICATIONS - Data Administration.*

*For direction on the destruction of records of short term value that have been copied, use the General Records Authority 26 for Source Records that have been Copied, Converted or Migrated.]*





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### Disposal

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

*For the development of Records Disposal Authorities specific to the operations of an agency, use INFORMATION MANAGEMENT - Policy.*

Class No	Description of records	Disposal action
1503 	Records documenting the transfer, destruction and storage of records according to National Archives directives. Includes copies of: <ul style="list-style-type: none"> <li>• transfer proposals;</li> <li>• consignment lists;</li> <li>• lists of records destroyed; and</li> <li>• lists of records transferred to alternative storage providers.</li> </ul> <p><i>[For lists of records destroyed if master control records are not annotated, use INFORMATION MANAGEMENT - Control.</i></p> <p><i>For the transfer of records to another agency following an administrative change, use INFORMATION MANAGEMENT - Restructuring.]</i></p>	Destroy when reference ceases
1504 	Records documenting the transfer of custody, under archives legislation (currently Section 24 (2) (b) of the Archives Act 1983), to or from a contractor under an outsourcing arrangement.	Destroy 3 years after contract is terminated or completed
1505 	Records documenting arrangement for the transfer of ownership of records under archives legislation, (currently Section 24 (2) (b) of the Archives Act 1983), following the corporatisation and privatisation of an agency, or part of an agency. Includes liaison with the National Archives.	Retain as national archives
1506 	Records documenting the culling of library collections and collections of non-agency publications in accordance with Purchasing Australia's Guidelines for Surplus Asset Disposal, Canberra, Australian Government Publishing Service, 1996.	Destroy when reference ceases

*[For the disposal of duplicate agency publications, use PUBLICATIONS - Disposal.]*

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### Distribution

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

Class No	Description of records	Disposal action
1507 ■■■■■■■■■■	Records documenting the internal and external distribution of correspondence and other information items (eg paper files, newspaper clippings and mail) within the agency. Includes: <ul style="list-style-type: none"><li>• distribution lists; and</li><li>• advice on changes of location.</li></ul>	Destroy when superseded

### Donations

The activities associated with managing money, items, artefacts or property donated to the organisation, or by the organisation and or its staff to charities etc. Includes managing unsolicited donations.

*This function/activity set should not be used by agencies where public donations are used to support core functions (eg National Library of Australia) or by institutions accepting donations under Commonwealth Gift schemes (eg Cultural Gifts Program). In these instances coverage should be included in such agencies own functional Records Authority.*

Class No	Description of records	Disposal action
1508 ■■■■■■■■■■	Records documenting donations of library or manuscript materials to an agency. Includes liaison with the owner on conditions of donation.	Destroy 7 years after disposal of item

*[For the disposal of library material after culling collections, use INFORMATION MANAGEMENT - Disposal.]*

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### Enquiries

The activities associated with handling requests for information about the organisation and its services by the general public, agency employees or another organisation.

*For enquiries received from the general public about the agency's programs, products and services, use COMMUNITY RELATIONS - Enquiries.*


*For the management of requests from the public for access to records under the FOI, Privacy and Archives Acts and other Acts specific to the agency, use INFORMATION MANAGEMENT - Cases.*

Class No	Description of records	Disposal action
1509 	Records documenting the handling of enquiries from agency employees or another government organisations covering the information management function. Includes records relating to the National Archives lending service.	Destroy 1 year after action completed
	<i>[For records supporting library loans and inter-library loans, use INFORMATION MANAGEMENT - Control.</i>	
	<i>For records relating to copies of inter-library loan payments, use INFORMATION MANAGEMENT - Acquisitions.]</i>	
1510 	Records documenting the management of discovery orders and subpoenas. Includes detailed lists and copies of records found.	Destroy 3 years after action completed

### 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.

*For the evaluation of the technological aspects of library and recordkeeping systems, use TECHNOLOGY & TELECOMMUNICATIONS - Evaluation.*



Class No	Description of records	Disposal action
1511 	Records documenting the evaluation of potential or existing information management services and systems. Includes the evaluation of library and recordkeeping systems.	Destroy 7 years after evaluation completed
	<i>[For the evaluation of goods and services being considered for procurement in support of the information management function, use PROCUREMENT – Evaluation.]</i>	

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### 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 the installation of equipment. Also includes monitoring to ensure that the implementation goes according to schedule and that standards are met and includes first aid treatment.

Class No	Description of records	Disposal action
1512 	Records documenting the implementation of library systems and recordkeeping systems within an agency.  <i>[For staff training to implement a new system, use STAFF DEVELOPMENT - Training. For the technological aspects of implementing library and recordkeeping systems, use TECHNOLOGY &amp; TELECOMMUNICATIONS - Implementation.]</i>	Destroy 7 years after implementation is completed
1513 	Records documenting the implementation of vital records plans and counter-disaster plans after disasters such as fire or floods, and implementation of emergency destruction plans covering the organisation's information resources. Includes a copy of current plan implemented for the disaster recovery process.  <i>[For the development of the counter-disaster plan, vital records plan, and other plans relating to the information management function, use INFORMATION MANAGEMENT - Planning.]</i>	Retain as national archives

### Inspections

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

Class No	Description of records	Disposal action
1514 	Records documenting inspections of agency records by a monitoring agency such as the National Archives and the Australian National Audit Office or any inspections of copyright records.  <i>[For copies of copyright declaration forms, use INFORMATION MANAGEMENT- Intellectual Property. For records relating to formal audits, use INFORMATION MANAGEMENT - Audit.]</i>	Destroy 4 years after action completed

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### 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 the 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.

*For applications made to reproduce published material, use PUBLICATIONS – Intellectual Property.*

*For the establishment and general management of an agency's intellectual property, use LEGAL SERVICES - Intellectual Property.*

Class No	Description of records	Disposal action
1515 	Records documenting the management of copying services in an agency. Includes the administration of payments made to collecting societies and any sampling undertaken to support the payment process.  <i>[For the payment of money to collecting societies, use FINANCIAL MANAGEMENT - Payments. For guidelines and procedures to support the administration of reproduction services in the agency, use INFORMATION MANAGEMENT - Procedures.]</i>	Destroy 7 years after action completed
1516 	Copyright declaration forms.  <i>[For inspections carried out by copyright owners of declaration forms and other records supporting the administration of copyright in the agency, use INFORMATION MANAGEMENT - Inspections.]</i>	Destroy 4 years after action completed

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### Inventory


The activities associated with listing and preparing lists of items and assets in the possession of the organisation.

*For the conduct of a file census, use INFORMATION MANAGEMENT - Audit.*

*For inventories of records transferred between agencies following an administrative change, use INFORMATION MANAGEMENT - Restructuring.*


*For lists of records transferred to the National Archives or alternative storage providers, use INFORMATION MANAGEMENT - Disposal.*

*For inventories of equipment used in information management areas, use EQUIPMENT & STORES - Inventory.*

Class No	Description of records	Disposal action
1517 	Routine inventories of library materials. Includes inventories created for shelf checking.	Destroy 1 year after action completed

### Marketing

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



Class No	Description of records	Disposal action
1518 	Records documenting the promotion of library and records management unit services. Includes customer profiles.	Destroy when reference ceases
	<i>[For training staff in the efficient use of an agency information unit, use STAFF DEVELOPMENT - Training.]</i>	

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### Meetings

The activities associated with ad hoc gatherings held to formulate, discuss, update or resolve issues and matters pertaining to the management of the section, department, or organisation as a whole. Includes arrangements, agenda, taking of minutes etc. Excludes committee meetings.

Class No	Description of records	Disposal action
1519 	Final version of minutes and supporting documents tabled at meetings held to support the information management function. Includes meetings with external agencies.	Destroy 3 years after action completed
1520 	Working papers documenting the conduct and administration of meetings held to support the information management function. Includes agenda, notices of meetings and draft minutes.	Destroy when reference ceases



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### Planning

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

Class No	Description of records	Disposal action
1521 ■■■■■■■■■■	Final versions of agency-wide information management plans. Includes: <ul style="list-style-type: none"> <li>• Vital records plans;</li> <li>• Emergency destruction plans; and</li> <li>• Counter-disaster plans.</li> </ul> <p><i>[For the implementation of a counter-disaster plan, vital records plan and emergency destruction plan covering the information management function, use INFORMATION MANAGEMENT - Implementation.]</i></p>	Destroy 5 years after plan is superseded
1522 ■■■■■■■■■■	Final version of a section or business unit's information management plans, including state, regional or overseas office.	Destroy 3 years after plan is superseded
1523 ■■■■■■■■■■	Working papers used to develop all information management plans. Includes draft plans, reports analysing issue, and comments received from areas of the agency.	Destroy when reference ceases
1524 ■■■■■■■■■■	Copies of all information management plans.	Destroy when reference ceases

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### Policy

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

Class No	Description of records	Disposal action
1525 ■■■■■■■■■■	Records documenting the development and establishment of the agency's information management policies. Includes: <ul style="list-style-type: none"> <li>• Information management security policy;</li> <li>• Library collection development policy;</li> <li>• Recordkeeping policy; and</li> <li>• E-mail policy.</li> </ul> <p>Includes policy proposals, research papers, results of consultations, supporting reports and major drafts and the final policy documents.</p>	Destroy 5 years after policy is superseded
1526 ■■■■■■■■■■	Records documenting comments made on the development of government-wide information management policies.	Destroy 3 years after promulgation of the new policy
1527 ■■■■■■■■■■	Working papers documenting the development of information management policies. Includes drafts and input from other areas of the agency.	Destroy 3 years after promulgation of the new policy
1528 ■■■■■■■■■■	Copies of policy documents and supporting papers.	Destroy when reference ceases
20956 ■■■■■■■■■■	Records documenting the creation of the agency's records authority. Includes supporting documentation required by the National Archives and a copy of the final authority.	Destroy 20 years after authority is superseded

*[For the master copy of the business classification schemes developed to support the creation of the agency's records authority, use INFORMATION MANAGEMENT - Control.]*

*For records documenting the transfer, destruction and storage of records, use INFORMATION MANAGEMENT - Disposal.*

*For the recordkeeping risk assessment report, use INFORMATION MANAGEMENT – Risk Management.]*

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### Policy - Continued

Class No	Description of records	Disposal action
1530 ■■■■■■■■■■	Snapshot of agency's recordkeeping requirement data taken at the point when recordkeeping instructions are issued.	Destroy 5 years after recordkeeping instruction is superseded
1531 ■■■■■■■■■■	Records documenting the on-going maintenance and review of agency recordkeeping.	Destroy when 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.

*For negotiations between an individual and the agency relating to the amendment or alteration of records under the Privacy Act, use INFORMATION MANAGEMENT - Cases.*

*For privacy audits, use INFORMATION MANAGEMENT - Audits.*

*For the mechanisms to protect privacy of information, use INFORMATION MANAGEMENT - Security.*

*For records relating to data matching exercises, use General Disposal Authority 24.*





Class No	Description of records	Disposal action
1532 ■■■■■■■■■■	Records documenting the application of the Information Privacy Principles (IPP) outlined in the Privacy Act 1988. Includes records relating to the development of access restrictions.	Destroy 5 years after action completed
1533 ■■■■■■■■■■	Investigations into alleged privacy breaches relating to information management. Includes unauthorised disposal of records containing personal information.	Destroy 5 years after investigation of breach

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### Procedures

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

Class No	Description of records	Disposal action
1534 	Master set of agency manuals, handbooks, directives etc detailing procedures supporting the information management function.	Destroy when procedures are superseded
1535 	Records documenting the development of agency procedures supporting the information management function. Excludes documents supporting the development of agency recordkeeping rules.	Destroy 1 year after completion of procedures
1536 	Master copy of recordkeeping rules/guidelines of the agency.  <i>[For recordkeeping requirements data, use INFORMATION MANAGEMENT - Policy.]</i>	Retain as national archives
1537 	Copies of manuals, handbooks, directives etc.	Destroy when reference ceases

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### Reporting

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

*For reporting of the agency file title list to the Senate, use INFORMATION MANAGEMENT - Compliance.*

Class No	Description of records	Disposal action
1538 ■■■■■■■■■■	Final version of formal internal reports and reports made to external agencies relating to the information management function.	Destroy 5 years after action completed
1539 ■■■■■■■■■■	Final version of periodic internal reports on general administrative matters used to monitor and document recurring activities to support the information management function. Includes cumulative summary reports and work progress reports.	Destroy 3 years after action completed
1540 ■■■■■■■■■■	Working papers documenting the development of all reports. Includes drafts and comments received.	Destroy 1 year after action completed
1541 ■■■■■■■■■■	Copies of information management reports.	Destroy when reference ceases
1542 ■■■■■■■■■■	Responses to information management surveys requested by other agencies or by the central office of an agency.  <i>[For customer services surveys, use INFORMATION MANAGEMENT - Customer Services.]</i>	Destroy 3 years after action completed

## INFORMATION MANAGEMENT

The function of managing the organisation's information resources. Includes creating, capturing, registering, classifying, indexing, storing, retrieving and disposing of records and developing strategies to manage records. Also includes the acquisition, control and disposal of library and other information products, items kept for reference purposes and the provision of services to internal and external customers, based on information resources. Data administration, archival records and the handling of Freedom of Information (FOI) requests are also classified under this keyword.

### 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 the business activities of the organisation in general. Includes following up enquiries relating to organisational programs, projects, working papers, literature searches etc.

Class No	Description of records	Disposal action
1543 ■■■■■■■■■■	Records documenting detailed research carried out to support the information management function.	Destroy 3 years after research is completed
1544 ■■■■■■■■■■	Records documenting routine research carried out to support the information management function.	Destroy when reference ceases

### Restructuring

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



Class No	Description of records	Disposal action
1545 ■■■■■■■■■■	Records documenting functions which have been transferred to another Commonwealth agency or institution.  <i>[For the transfer of records documenting functions transferred to a non-Commonwealth institution, refer to the National Archives for authorisation.]</i>	Transfer to Commonwealth agency or institution
1546 ■■■■■■■■■■	List of records and other supporting documentation for transferring records to another agency following an administrative change.	Destroy when the new information is transferred to master control records

## INFORMATION MANAGEMENT

The function of managing the organisation's information resources. Includes creating, capturing, registering, classifying, indexing, storing, retrieving and disposing of records and developing strategies to manage records. Also includes the acquisition, control and disposal of library and other information products, items kept for reference purposes and the provision of services to internal and external customers, based on information resources. Data administration, archival records and the handling of Freedom of Information (FOI) requests are also classified under this keyword.



### Reviewing

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

Class No	Description of records	Disposal action
1547 	Records documenting a review of agency programs and operations supporting the information management function. Includes documents establishing the review, final version of the report and the action plan.	Destroy 5 years after action completed
1548 	Working papers documenting a review of agency programs and operations supporting the information management function.	Destroy 2 years after action completed

### Risk Management

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

Class No	Description of records	Disposal action
1549 	Records documenting risk management relating to the information management function. Includes documentation covering each stage of the process, treatment schedules and action plans.	Destroy 7 years after next risk assessment
1550 	Risk register relating to the information management function.	Destroy 7 years after next risk assessment




## INFORMATION MANAGEMENT

The function of managing the organisation's information resources. Includes creating, capturing, registering, classifying, indexing, storing, retrieving and disposing of records and developing strategies to manage records. Also includes the acquisition, control and disposal of library and other information products, items kept for reference purposes and the provision of services to internal and external customers, based on information resources. Data administration, archival records and the handling of Freedom of Information (FOI) requests are also classified under this keyword.

### 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.

*For breaches of privacy of information, use INFORMATION MANAGEMENT - Privacy.*

Class No	Description of records	Disposal action
1551 	Records documenting major security breaches where classified records and information have been removed from official custody and passed to a third party. Includes referral to law enforcement authorities.	Retain as national archives
	<i>[For disciplinary action against staff for security related breaches involving records and information, use PERSONNEL - Discipline.]</i>	
1552 	Records documenting minor security breaches where classified records and information have not been appropriately secured.	Destroy 5 years after last action
	<i>[For disciplinary action against staff for security related breaches involving records and information, use PERSONNEL - Discipline.]</i>	
1553 	Records documenting the management of security arrangements for handling records and information (eg mail) within an agency. Includes: <ul style="list-style-type: none"> <li>classified document registers (eg register of Cabinet documents);</li> <li>safe hand registers; and</li> <li>safe hand receipts.</li> </ul>	Destroy 5 years after last action
	<i>[For the destruction of classified waste, use PROPERTY MANAGEMENT - Maintenance.]</i>	




## INFORMATION MANAGEMENT

The function of managing the organisation's information resources. Includes creating, capturing, registering, classifying, indexing, storing, retrieving and disposing of records and developing strategies to manage records. Also includes the acquisition, control and disposal of library and other information products, items kept for reference purposes and the provision of services to internal and external customers, based on information resources. Data administration, archival records and the handling of Freedom of Information (FOI) requests are also classified under this keyword.

### Standards


The process of implementing industry or organisational benchmarks for services and processes to enhance the quality and efficiency of the organisation.

*For compliance with standards (except where other activities apply), use INFORMATION MANAGEMENT - Compliance.*

Class No	Description of records	Disposal action
1554 	Records documenting the implementation of industry and agency standards to support the information management function (eg Australian Standard AS 4390-1996 Records Management).	Destroy 7 years after standard is implemented


### Submissions

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

Class No	Description of records	Disposal action
1555 	Records documenting the preparation of agency submissions seeking support for an information management project.	Destroy 3 years after action completed

### Suggestions

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

Class No	Description of records	Disposal action
1556 	Records documenting suggestions received and used to improve information management services.	Destroy 2 years after action completed

### Tendering

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




Class No	Description of Records	Disposal Action
N/A	<i>[For tendering processes associated with the procurement of goods and services to support the information management function, use PROCUREMENT – Tendering.]</i>	N/A

## LEGAL SERVICES

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

### Advice

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

Class No	Description of records	Disposal action
21021 	Records documenting the receipt or provision of advice by an internal or external legal service provider relating to: <ul style="list-style-type: none"> <li>• Cabinet matters;</li> <li>• international law;</li> <li>• national security;</li> <li>• agency-wide industrial issues;</li> <li>• interpretation of an agency's own legislation; and</li> <li>• proposal for new or amended agency legislation.</li> </ul> <p>Includes instructions to the provider, records of ongoing discussions, revisions of instructions, drafts and final advice.</p> <p><i>[For advice given on claims, infringements, inquiries, intellectual property and litigation, use these activities attached to LEGAL SERVICES.]</i></p>	Retain as national archives
21022 	Records documenting the receipt or provision of all other advice by an internal or external legal service provider.	Destroy 5 years after action completed
1569 	Copies of legal advice. <p><i>[For payments made to legal providers, use FINANCIAL MANAGEMENT - Accounting.]</i></p>	Destroy when reference ceases

## LEGAL SERVICES

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

### Agreements

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

*For all asbestos-related claims relating to the Asbestos-related Claims (Management of Commonwealth Liabilities) Act 2005, transfer records to the central agency with legislative responsibility for the management of asbestos liability in the Commonwealth (currently Comcare).*


Class No	Description of records	Disposal action
1570 ■■■■■■■■■■	Final versions of agreements made covering the legal services function and supporting documents	Destroy 7 years after expiry or other termination of agreement
1571 ■■■■■■■■■■	Signed deeds of release and deeds of indemnity and other similar agreements and supporting documents.	Destroy after indemnity ceases
20957 ■■■■■■■■■■	Signed agreements and contracts under seal prior to 15 November 2005 and supporting records: Western Australia.	Destroy 21 years after completion or other termination of contract
1573 ■■■■■■■■■■	Signed agreement and contracts under seal and supporting records: Victoria and South Australia.	Destroy 15 years after completion or other termination of contract
20958 ■■■■■■■■■■	Signed agreements and contracts under seal and supporting records: New South Wales, Western Australia (from 15 November 2005), Queensland, Australian Capital Territory and the Northern Territory.	Destroy 12 years after completion or other termination of contract
20959 ■■■■■■■■■■	Signed simple contracts and agreements and supporting records.	Destroy 7 years after completion or other termination of agreement or contract

## LEGAL SERVICES

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

### 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.

Class No	Description of records	Disposal action
1576 	Records documenting the provision of legal representation relating to claims that do not proceed to litigation or settlement by an agreement. Includes withdrawn claims.	Destroy 7 years after settlement or withdrawal of claim

*[For a claim proceeding to a lawsuit or other legal proceedings, use LEGAL SERVICES - Litigation.*

*For negotiations and drafting of final copies of deeds of release and deeds of indemnity for the settlement of claims, use LEGAL SERVICES - Agreements.*

*For settlement of COMPENSATION and OH&S claims without legal intervention, use those functions.*



*For all asbestos-related claims relating to the Asbestos-related Claims (Management of Commonwealth Liabilities) Act 2005, transfer records to the central agency with legislative responsibility for the management of asbestos liability in the Commonwealth (currently Comcare).]*

## LEGAL SERVICES

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

### Committees


The activities associated with the managing of committees and task forces. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agenda etc.

Class No	Description of records	Disposal action
1577 	Records of internal and external committees formed to consider matters relating to the legal services function. Includes: <ul style="list-style-type: none"> <li>documents establishing the committee;</li> <li>final version of minutes;</li> <li>copies of legal advice;</li> <li>reports;</li> <li>recommendations; and</li> <li>supporting documents such as briefing papers and discussion papers.</li> </ul>	Destroy 5 years after action completed
1578 	Working papers documenting the conduct and administration of committees which consider the legal services function. Includes: <ul style="list-style-type: none"> <li>agenda;</li> <li>notices of meetings; and</li> <li>draft minutes.</li> </ul>	Destroy when reference ceases

### Compliance

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

*Other activities within this function may also be relevant to the Compliance activity.*

Class No	Description of records	Disposal action
1579 	Records documenting agency compliance with mandatory or optional standards or with statutory requirements relating to the legal services function. Includes those set out in: <ul style="list-style-type: none"> <li>Legal Services Directions issued by the Attorney-General under Section 55ZF of the Judiciary Act 1903; and</li> <li>Quality System Guidelines AS/NZS 3905:6:1995 for the Legal Profession.</li> </ul>	Destroy 7 years after action completed

## LEGAL SERVICES

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

### 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.

*For information on records issues relating to outsourcing and contracting-out see General Disposal Authority 25.*

Class No	Description of Records	Disposal Action
N/A	<i>[For records documenting contract management relating to the legal services function, use PROCUREMENT – Contracting-out.</i>	N/A

### Infringements

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

Class No	Description of records	Disposal action
1581 	Records documenting infringements or breaches of mandatory standards, rules or statutory requirements that do not proceed to litigation. Includes notifications of breaches and investigations and negotiations.	Destroy 7 years after action completed

*[For cases that proceed to litigation, use LEGAL SERVICES - Litigation.*

*For driving or traffic infringements, use FLEET MANAGEMENT - Infringements.*

*For industrial relations infringements incurred by the agency, use INDUSTRIAL RELATIONS – Infringements.*


*For infringements by staff, use PERSONNEL - Infringements.]*

## LEGAL SERVICES

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

### Inquiries

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

Class No	Description of records	Disposal action
1582 	Records documenting legal support given to an agency either conducting an inquiry or participating in an inquiry.	Destroy 3 years after final report of inquiry is released

*[For a consolidated record of an agency's involvement in an inquiry, including agency submissions, use GOVERNMENT RELATIONS - Inquiries.]*

## LEGAL SERVICES

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



### 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 the 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.

*For handling infringements of an agency's intellectual property, use LEGAL SERVICES - Infringements.*

*For the management of an agency's copying services, including management of copyright declaration forms, use INFORMATION MANAGEMENT – Intellectual Property.*

*For the payment and receipt of royalties, use FINANCIAL MANAGEMENT - Accounting and/or FINANCIAL MANAGEMENT - Payments.*

Class No	Description of records	Disposal action
1583 	Records documenting the establishment and general management of an agency's intellectual property. Includes: <ul style="list-style-type: none"> <li>• Patents;</li> <li>• Trademarks;</li> <li>• Designs;</li> <li>• plant breeder's rights;</li> <li>• circuit layouts;</li> <li>• trade secrets; and</li> <li>• all forms of copyright.</li> </ul> <p><i>[For the management of copyright arrangements for publications, use PUBLICATION - Intellectual Property.]</i></p>	Destroy 3 years after intellectual property rights lapse
1584 	Records documenting unsuccessful or abandoned attempts to establish intellectual property rights.	Destroy 7 years after action completed



## LEGAL SERVICES

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

### Litigation

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

*For all litigation records pertaining to asbestos-related claims relating to the Asbestos-related Claims (Management of Commonwealth Liabilities) Act 2005, transfer records to the central agency with legislative responsibility for the management of asbestos liability in the Commonwealth (currently Comcare).*

Class No	Description of records	Disposal action
1585 ■■■■■■■■■■	Records documenting litigation matters where legal precedents are set.	Retain as national archives
1586 ■■■■■■■■■■	Records documenting litigation matters that do not set legal precedents.	Destroy 7 years after action ceases

*[For appeals to decisions of a court or tribunal relating to INFORMATION MANAGEMENT and COMPENSATION, use the activity Appeals against these functions.*

*For subpoenas and discovery orders, use INFORMATION MANAGEMENT - Enquiries.]*

### Meetings

The activities associated with ad hoc gatherings held to formulate, discuss, update or resolve issues and matters pertaining to the management of the section, department, or organisation as a whole. Includes arrangements, agenda, taking of minutes etc. Excludes committee meetings.





Class No	Description of records	Disposal action
1587 ■■■■■■■■■■	Final version of minutes and related documents tabled at meetings held to support the legal services function. Includes meetings with external agencies.	Destroy 3 years after action completed
1588 ■■■■■■■■■■	Working papers documenting the conduct and administration of meetings held to support the legal services function. Includes agenda, notices of meetings and draft minutes.	Destroy when reference ceases

## LEGAL SERVICES

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

### Planning

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

Class No	Description of records	Disposal action
1589 	Final version of agency-wide legal services plans.	Destroy 5 years after plan is superseded
1590 	Final version of a section or business unit's legal services plans, including state, regional or overseas office.	Destroy 3 years after plan is superseded
1591 	Working papers used in developing all legal services plans. Includes draft plans, reports analysing issues, and comments received from and input made by other areas of the agency.	Destroy 1 year after adoption of the final plan
1592 	Copies of legal services plans.	Destroy when reference ceases

## LEGAL SERVICES

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

### Policy

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




Class No	Description of records	Disposal action
1593 	Records documenting the development and establishment of the agency's legal services policies. Includes: <ul style="list-style-type: none"><li>• policy proposals;</li><li>• research papers;</li><li>• results of consultations;</li><li>• supporting reports;</li><li>• major drafts; and</li><li>• final policy documents.</li></ul>	Destroy 5 years after policy is superseded
1594 	Records documenting comments made on the development of government-wide legal services policies.	Destroy 2 years after promulgation of new policy
1595 	Working papers documenting the development of all legal services policies.	Destroy 2 years after promulgation of new policy
1596 	Copies of policy documents and supporting papers.	Destroy when reference ceases

## LEGAL SERVICES

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





### Procedures

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

Class No	Description of records	Disposal action
1597 	Master set of agency manuals, handbooks, directives etc detailing procedures supporting the legal services function.	Destroy when procedures are superseded
1598 	Records documenting the development of agency procedures supporting the legal services function.	Destroy 1 year after production of procedures
1599 	Copies of manuals, handbooks, directives etc.	Destroy when reference ceases

### Reporting

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



Class No	Description of records	Disposal action
1600 	Final version of formal internal reports and reports made to external agencies relating to the legal services function.	Destroy 5 years after action completed
1601 	Final version of periodic internal reports on general administrative matters used to monitor and document recurring activities to support the legal services function.	Destroy 3 years after action completed
1602 	Working papers documenting the development of all reports. Includes drafts and comments received.	Destroy 1 year after action completed
1603 	Copies of legal services reports.	Destroy when reference ceases

## LEGAL SERVICES

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



### 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 the business activities of the organisation in general. Includes following up enquiries relating to organisational programs, projects, working papers, literature searches etc.

Class No	Description of records	Disposal action
1604 	Records documenting detailed research carried out to support the legal services function.	Destroy 5 years after action completed
1605 	Records documenting routine research carried out to support the legal services function.	Destroy when reference ceases

### Reviewing

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



Class No	Description of records	Disposal action
1606 	Records documenting a review of agency programs and operations supporting the legal services function. Includes documents establishing the review, final report and action plan	Destroy 5 years after action completed
1607 	Working papers documenting a review of agency programs and operations supporting the legal services function.	Destroy 2 years after action completed

## LEGAL SERVICES

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

### 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.

Class No	Description of records	Disposal action
20960 	Records documenting risk management relating to the legal services function. Includes documentation covering each stage of the process, treatment schedules and action plans.	Destroy 7 years after next risk assessment
20961 	Legal services risk register.	Destroy 7 years after next risk assessment

### Submissions

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

Class No	Description of Records	Disposal Action
N/A	<i>[For agency submissions to government, use GOVERNMENT RELATIONS - Submissions.</i>  <i>For agency submissions to community bodies, use COMMUNITY RELATIONS - Submissions.]</i>	N/A

### 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.

Class No	Description of Records	Disposal Action
N/A	<i>[For the acquisition of goods and services required to support the legal services function via a tender process, use PROCUREMENT - Tendering.]</i>	N/A

## OCCUPATIONAL HEALTH & SAFETY (OH&S)

The function of implementing and coordinating occupational health and safety and associated legislation throughout the organisation. Includes safety, occupational hygiene, ergonomic, occupational medicine and first aid measures together with policy, procedural and monitoring matters associated with the organisations' preventive and curative OH&S program. Includes the establishment of committees to investigate and advise on health and safety issues in the workplace.

### 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.


Class No	Description of records	Disposal action
1619 ■■■■■■■■■■	Accident/incident reports and supporting documentation of death, serious personal injury, dangerous occurrences and incapacity to Commonwealth employees and the public within the workplace. Includes accident registers.  <i>[For copies of accident reports for employees where a compensation claim is made, use COMPENSATION - Cases. For copies of accident reports where an employee is injured but no compensation claim is lodged, use PERSONNEL - Accidents.]</i>	Destroy 30 years after last action
1620 ■■■■■■■■■■	All other accident/incident reports for Commonwealth employees retained for agency OH&S assessment purposes.	Destroy 7 years after last action
1621 ■■■■■■■■■■	Accident/incident reports of personal injuries to members of the public aged under 18 years, not resulting in claims for compensation.  <i>[For copies of accident reports where a claim for compensation is submitted by a member of the public following an accident, use COMPENSATION - Claims.]</i>	Destroy when person reaches 25 years of age, or 7 years after last action, whichever is later
1622 ■■■■■■■■■■	Accident/incident reports of personal injuries to members of the public aged over 18 years, not resulting in claims for compensation.  <i>[For copies of accident reports where a claim for compensation is submitted by a member of the public following an accident, use COMPENSATION - Claims.]</i>	Destroy 7 years after last action

## OCCUPATIONAL HEALTH & SAFETY (OH&S)

The function of implementing and coordinating occupational health and safety and associated legislation throughout the organisation. Includes safety, occupational hygiene, ergonomic, occupational medicine and first aid measures together with policy, procedural and monitoring matters associated with the organisations' preventive and curative OH&S program. Includes the establishment of committees to investigate and advise on health and safety issues in the workplace.

### Advice

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



Class No	Description of records	Disposal action
1623 	Records relating to the receipt and provision of advice on the OH&S function.	Destroy 2 years after action completed

*[For the distribution of promotional material to employees, use OH&S - Health Promotion.*

*For legal advice on OH&S matters, use LEGAL SERVICES - Advice.]*


### Agreements

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

Class No	Description of records	Disposal action
1624 	Final version of an agency OH&S agreement.	Destroy 5 years after agreement is superseded
1625 	Records documenting negotiations for and establishment, maintenance and review of an agency OH&S agreement.	Destroy 5 years after agreement is superseded

### Appeals (decisions)

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

Class No	Description of records	Disposal action
1626 	Records documenting an appeal made by the agency against an investigator's decision on a health and safety matter to the Australian Industrial Relations Commission.	Destroy 5 years after action completed

*[For any legal advice received on the conduct of the appeal, use LEGAL SERVICES - Advice.]*



## OCCUPATIONAL HEALTH & SAFETY (OH&S)

The function of implementing and coordinating occupational health and safety and associated legislation throughout the organisation. Includes safety, occupational hygiene, ergonomic, occupational medicine and first aid measures together with policy, procedural and monitoring matters associated with the organisations' preventive and curative OH&S program. Includes the establishment of committees to investigate and advise on health and safety issues in the workplace.

### Audit

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

*For inspections, use OH&S - Inspections.*

Class No	Description of records	Disposal action
1627 ■■■■■■■■■■	Final reports of health and safety audits conducted by an external authority or internally by the agency.	Destroy 5 years after action completed
1628 ■■■■■■■■■■	Records documenting the planning and conduct of external and internal audits relating to the OH&S function. Includes: <ul style="list-style-type: none"><li>• liaison with the auditing body;</li><li>• minutes of meetings;</li><li>• notes taken at opening and exit interviews;</li><li>• draft report; and</li><li>• comments.</li></ul>	Destroy 5 years after action completed

### Authorisation

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


Class No	Description of records	Disposal action
1629 ■■■■■■■■■■	Delegations of power to agency staff to authorise administrative action relating to the OH&S function.	Destroy 5 years after delegation superseded
1630 ■■■■■■■■■■	Authorisations for administrative actions relating to the OH&S function.	Destroy 5 years after action completed

## OCCUPATIONAL HEALTH & SAFETY (OH&S)

The function of implementing and coordinating occupational health and safety and associated legislation throughout the organisation. Includes safety, occupational hygiene, ergonomic, occupational medicine and first aid measures together with policy, procedural and monitoring matters associated with the organisations' preventive and curative OH&S program. Includes the establishment of committees to investigate and advise on health and safety issues in the workplace.

### Cases

This activity descriptor should be used where there is a need to keep a number of activities together on one file, for legislative or operational reasons. Case files relate to particular incidents, persons, organisations or clients.

Class No	Description of records	Disposal action
1631 	Records documenting medical examinations of employees which are undertaken for health surveillance purposes as prescribed under the Occupational Health and Safety (Commonwealth Employment) Act 1991.	Destroy in the year 2040 or 75 years after date of birth whichever is later

*[For recording potential exposure to hazardous substances, including asbestos, or for records detailing that an employee was employed at places identified as containing a hazardous substance, use PERSONNEL - Employment Conditions.]*




## OCCUPATIONAL HEALTH & SAFETY (OH&S)

The function of implementing and coordinating occupational health and safety and associated legislation throughout the organisation. Includes safety, occupational hygiene, ergonomic, occupational medicine and first aid measures together with policy, procedural and monitoring matters associated with the organisations' preventive and curative OH&S program. Includes the establishment of committees to investigate and advise on health and safety issues in the workplace.

### Committees

The activities associated with the managing of committees and task forces. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agenda etc.

*For selection or election of employee representatives to a Health & Safety Committee and the nomination of union representatives, use OH&S - Representatives.*

Class No	Description of records	Disposal action
1632 	Records of health and safety committees. Includes: <ul style="list-style-type: none"><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>	Destroy 5 years after action completed
1633 	Records of other internal committees and external committees convened by other agencies or organisations to consider general matters relating to the OH&S function. Includes: <ul style="list-style-type: none"><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>	Destroy 5 years after action completed
1634 	Working papers documenting the conduct and administration of all committees formed to consider general matters relating to the OH&S function. Includes: <ul style="list-style-type: none"><li>• agenda;</li><li>• notices of minutes;</li><li>• draft minutes; and</li><li>• arrangements with unions.</li></ul>	Destroy when reference ceases

## OCCUPATIONAL HEALTH & SAFETY (OH&S)

The function of implementing and coordinating occupational health and safety and associated legislation throughout the organisation. Includes safety, occupational hygiene, ergonomic, occupational medicine and first aid measures together with policy, procedural and monitoring matters associated with the organisations' preventive and curative OH&S program. Includes the establishment of committees to investigate and advise on health and safety issues in the workplace.







### Compliance

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

*For a risk assessment undertaken for hazardous substances, use OH&S - Risk Management.*

*For health surveillance of individual employees exposed to hazardous substances, use OH&S - Cases.*

*For the training of staff in handling hazardous substances, use STAFF DEVELOPMENT - Training.*


Class No	Description of records	Disposal action
1635 	Records documenting compliance with provisions of the Occupational Health and Safety (Commonwealth Employment) Act 1991 and the Occupational Health and Safety (Commonwealth Employment) (National Standards) Regulations such as: <ul style="list-style-type: none"> <li>• plant testing and maintenance; and</li> <li>• applications for the registration of the design of plant.</li> </ul>	Destroy when the need for compliance ceases (eg when plant is disposed of)
1636 	Records documenting the licensing processes for the operation of plant items.	Destroy when licence expires
1637 	Records documenting the identification and control of access to confined spaces.	Destroy 5 years after space is no longer accessed
1638 	All notices issued under the Occupational Health and Safety (Commonwealth Employment) Act 1991 (eg Provisional Improvement Notices).	Destroy 5 years after notice lapses
1639 	Records documenting environmental monitoring of hazardous substances listed in Schedule 2 of the Occupational Health and Safety (Commonwealth Employment) (National Standards) Regulations.	Destroy 75 years after last action
1640 	Hazardous substance register (including asbestos register) identifying substance properties and details of their condition.	Destroy 75 years after last entry

*[For the inspection of hazardous substances including asbestos, use OH&S - Inspections.]*

## OCCUPATIONAL HEALTH & SAFETY (OH&S)

The function of implementing and coordinating occupational health and safety and associated legislation throughout the organisation. Includes safety, occupational hygiene, ergonomic, occupational medicine and first aid measures together with policy, procedural and monitoring matters associated with the organisations' preventive and curative OH&S program. Includes the establishment of committees to investigate and advise on health and safety issues in the workplace.

### Compliance - Continued

Class No	Description of records	Disposal action
1641 	Records documenting the payment of the annual compulsory contribution supporting the administration of the Occupational Health and Safety (Commonwealth Employment) Act 1991 required under Part 4A.	Destroy 10 years after action completed

### 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.

*For information on records issues relating to outsourcing and contracting-out see General Disposal Authority 25.*

Class No	Description of Records	Disposal Action
N/A	<i>[For records documenting contract management relating to the OH&amp;S function, use PROCUREMENT – Contracting-out.</i>	N/A

### 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.

Class No	Description of records	Disposal action
1643 	Records documenting the evaluation of OH&S programs and services in an agency. Includes the development of performance indicators.  <i>[For the evaluation of goods and services being considered for procurement in support of the OH&amp;S function, use PROCUREMENT – Evaluation.]</i>	Destroy 5 years after last action




## OCCUPATIONAL HEALTH & SAFETY (OH&S)

The function of implementing and coordinating occupational health and safety and associated legislation throughout the organisation. Includes safety, occupational hygiene, ergonomic, occupational medicine and first aid measures together with policy, procedural and monitoring matters associated with the organisations' preventive and curative OH&S program. Includes the establishment of committees to investigate and advise on health and safety issues in the workplace.

### Health Promotion

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

*For records documenting the treatment or health surveillance of individual employees, use OH&S - Cases.*


Class No	Description of records	Disposal action
1644 	Records documenting the management of an agency's first aid centres and occupational health centres and facilities (eg Gymnasiums). Includes: <ul style="list-style-type: none"> <li>• appointment books;</li> <li>• drug and x-ray registers; and</li> <li>• statistical summaries of operations.</li> </ul> <p><i>[For the appointment of first aid officers use, OH&amp;S - Representatives.</i></p> <p><i>For the provision of first aid treatment to individuals, use OH&amp;S - Implementation.</i></p> <p><i>For the equipping of the centres including the supply of medical stores and equipment, use PROCUREMENT - Acquisition, and PROPERTY MANAGEMENT - Fit-outs.</i></p> <p><i>For the maintenance of equipment (eg autoclaves and the replenishment of first aid kits) use EQUIPMENT &amp; STORES - Maintenance.]</i></p>	Destroy 5 years after last action
1645 	Records documenting the promotion of safe work practices in the workplace. Includes the development and distribution of notices, instructions, posters and other promotional material. <p><i>[For the provision of OH&amp;S training to staff, managers and OH&amp;S Representatives, use STAFF DEVELOPMENT - Training.</i></p> <p><i>For the production process for any advertising material produced by the agency, use PUBLICATION - Production.]</i></p>	Destroy 5 years after action completed
1646 	Material safety data sheets (MSDS)	Destroy when hazardous material is disposed of

## OCCUPATIONAL HEALTH & SAFETY (OH&S)

The function of implementing and coordinating occupational health and safety and associated legislation throughout the organisation. Includes safety, occupational hygiene, ergonomic, occupational medicine and first aid measures together with policy, procedural and monitoring matters associated with the organisations' preventive and curative OH&S program. Includes the establishment of committees to investigate and advise on health and safety issues in the workplace.

### 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 the installation of equipment. Also includes monitoring to ensure that the implementation goes according to schedule and that standards are met and includes first aid treatment.

Class No	Description of records	Disposal action
1647 	Records documenting the provision of first aid treatment to individual employees.	Destroy 5 years after last action

*[For records relating to the management of a first aid centre, use OH&S - Health Promotion.]*

### Inquiries

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

Class No	Description of records	Disposal action
1648 	Records documenting an inquiry into an agency's performance of the OH&S function.	Destroy 10 years after action completed

*[For any legal advice provided to support the agency during the inquiry process, use LEGAL SERVICES - Advice.]*

## OCCUPATIONAL HEALTH & SAFETY (OH&S)

The function of implementing and coordinating occupational health and safety and associated legislation throughout the organisation. Includes safety, occupational hygiene, ergonomic, occupational medicine and first aid measures together with policy, procedural and monitoring matters associated with the organisations' preventive and curative OH&S program. Includes the establishment of committees to investigate and advise on health and safety issues in the workplace.

### Inspections

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

*For audits, use OH&S - Audits.*

Class No	Description of records	Disposal action
1649 ■■■■■■■■■■	Records documenting an OH&S inspection resulting from a major accident in the workplace (eg accidents causing fatalities, serious injuries or dangerous occurrences). Includes documents detailing complaints lodged by agencies about the way the investigation was carried out by the lead agency (currently Comcare).	Destroy 75 years after last action
1650 ■■■■■■■■■■	Records documenting routine OH&S inspections carried out under the Commonwealth's lead agency for the function (currently Comcare) Planned Investigation Program and/or self-audit program, or as a result of a safety dispute in the workplace. Includes copies of notices issued, copies of reports, and agency responses. Also includes copies of Provisional Improvement Notices (PINS) and records detailing complaints about the way an investigation was carried out.  <i>[For records relating to an industrial dispute undertaken in respect of an OH&amp;S inspection, use INDUSTRIAL RELATIONS - Inspections.]</i>	Destroy 10 years after last action
1651 ■■■■■■■■■■	Records documenting routine inspections of hazardous substances in the workplace.  <i>[For the hazardous substance and asbestos registers, use OH&amp;S - Compliance.</i>  <i>For monitoring and risk assessment, use OH&amp;S - Risk Management.</i>  <i>For inspections to determine the presence of asbestos or other hazardous materials, use PROPERTY MANAGEMENT - Inspections.</i>  <i>For the removal and disposal of asbestos and other hazardous substances, use PROPERTY MANAGEMENT - Maintenance.]</i>	Destroy 75 years after last action





## OCCUPATIONAL HEALTH & SAFETY (OH&S)

The function of implementing and coordinating occupational health and safety and associated legislation throughout the organisation. Includes safety, occupational hygiene, ergonomic, occupational medicine and first aid measures together with policy, procedural and monitoring matters associated with the organisations' preventive and curative OH&S program. Includes the establishment of committees to investigate and advise on health and safety issues in the workplace.




### Meetings

The activities associated with ad hoc gatherings held to formulate, discuss, update or resolve issues and matters pertaining to the management of the section, department, or organisation as a whole. Includes arrangements, agenda, taking of minutes etc. Excludes committee meetings.

Class No	Description of records	Disposal action
1652 	Final version of minutes and supporting documents tabled at meetings held to support the OH&S function. Includes meetings with external agencies.	Destroy 5 years after action completed
1653 	Working papers documenting the conduct and administration of meetings to support the OH&S function. Includes agenda, notices of meetings and draft minutes.	Destroy when reference ceases

### Planning

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






Class No	Description of records	Disposal action
1654 	Final versions of agency-wide OH&S plans. Includes: <ul style="list-style-type: none"><li>• OH&amp;S plan; and</li><li>• Asbestos management plan.</li></ul>	Destroy 5 years after plan is superseded
1655 	Working papers used in developing agency-wide OH&S plans. Includes draft plans, reports analysing issues, and comments received from other areas of the agency.	Destroy 3 years after adoption of the final plan
1656 	Copies of all OH&S plans.	Destroy when reference ceases

## OCCUPATIONAL HEALTH & SAFETY (OH&S)

The function of implementing and coordinating occupational health and safety and associated legislation throughout the organisation. Includes safety, occupational hygiene, ergonomic, occupational medicine and first aid measures together with policy, procedural and monitoring matters associated with the organisations' preventive and curative OH&S program. Includes the establishment of committees to investigate and advise on health and safety issues in the workplace.

### Policy

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





Class No	Description of records	Disposal action
1657 	Records documenting the development and establishment of an agency's OH&S policy. Includes: <ul style="list-style-type: none"> <li>• policy proposals;</li> <li>• results of consultations with unions and employees;</li> <li>• research papers;</li> <li>• supporting reports;</li> <li>• major drafts; and</li> <li>• the final document.</li> </ul> <p><i>[For the development and review of the agency's OH&amp;S agreement, use OH&amp;S - Agreements.</i></p> <p><i>For the development and review of the agency's OH&amp;S plan, use OH&amp;S - Planning.]</i></p>	Destroy 5 years after policy is superseded
1658 	Records documenting the development and establishment of an agency asbestos policy. Includes: <ul style="list-style-type: none"> <li>• policy proposals;</li> <li>• results of consultations;</li> <li>• research papers;</li> <li>• supporting reports;</li> <li>• major drafts; and</li> <li>• final policy documents.</li> </ul>	Destroy 75 years after removal of asbestos
1659 	Records documenting comments made on the development of government-wide OH&S policies.	Destroy 3 years after promulgation of the new policy
1660 	Working papers documenting the development of all agency-wide OH&S policies. Includes drafts and input from other areas of the agency.	Destroy when reference ceases
1661 	Copies of policy documents and supporting papers.	Destroy when reference ceases

## OCCUPATIONAL HEALTH & SAFETY (OH&S)

The function of implementing and coordinating occupational health and safety and associated legislation throughout the organisation. Includes safety, occupational hygiene, ergonomic, occupational medicine and first aid measures together with policy, procedural and monitoring matters associated with the organisations' preventive and curative OH&S program. Includes the establishment of committees to investigate and advise on health and safety issues in the workplace.

### Procedures

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




Class No	Description of records	Disposal action
1662 	Master set of agency manuals, handbooks, directives etc detailing OH&S requirements for specific tasks and work procedures.  <i>[For records relating to emergency procedures, use PROPERTY MANAGEMENT - Procedures.]</i>	Destroy 75 years after procedures are superseded
1663 	Master set of other agency manuals, handbooks, directives etc detailing routine procedures supporting the OH&S function. Includes registers of legal responsibilities under OH&S.	Destroy 5 years after action completed
1664 	Records documenting the development of agency procedures supporting the OH&S function.	Destroy 5 years after production of procedures
1665 	Copies of manuals, handbooks, directives etc.	Destroy when reference ceases

## OCCUPATIONAL HEALTH & SAFETY (OH&S)

The function of implementing and coordinating occupational health and safety and associated legislation throughout the organisation. Includes safety, occupational hygiene, ergonomic, occupational medicine and first aid measures together with policy, procedural and monitoring matters associated with the organisations' preventive and curative OH&S program. Includes the establishment of committees to investigate and advise on health and safety issues in the workplace.

### Reporting

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

Class No	Description of records	Disposal action
1666 	Final copies of other reports, both formal and periodic, produced to support the OH&S function.  <i>[For all accident reports sent to the lead agency (currently Comcare), use OH&amp;S - Accidents.</i>  <i>For copies of accident report forms where a compensation claim is made, use COMPENSATION - Cases.</i>  <i>For copies of accident report forms where an employee is injured but no compensation claim is lodged, use PERSONNEL - Accidents.</i>  <i>For copies of accident reports where compensation is claimed by a member of the public following an accident, use COMPENSATION - Claims.]</i>	Destroy 7 years after action completed
1667 	Working papers documenting the development of all reports. Includes drafts and comments received.	Destroy when reference ceases
1668 	Copies of OH&S reports.	Destroy when reference ceases

## OCCUPATIONAL HEALTH & SAFETY (OH&S)




The function of implementing and coordinating occupational health and safety and associated legislation throughout the organisation. Includes safety, occupational hygiene, ergonomic, occupational medicine and first aid measures together with policy, procedural and monitoring matters associated with the organisations' preventive and curative OH&S program. Includes the establishment of committees to investigate and advise on health and safety issues in the workplace.

### Representatives

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



*For the training of first aid officers, fire wardens and safety officers etc, use STAFF DEVELOPMENT - Training.*

*For arranging first aid, fire and safety officer allowances etc, use PERSONNEL - Allowances.*

Class No	Description of records	Disposal action
1669 	Records documenting the selection of an OH&S representative for a designated work group or to act as a first aid officer. Includes documentation on selection, lists of representatives, and resignation documentation.	Destroy 1 year after term of office expires or resignation of officer
1670 	Records documenting the election of OH&S Committee representatives. Includes calling for nominations, managing the ballot and results.	Destroy 6 months after action completed
1671 	Records documenting the appointment of first aid officers, fire wardens and safety officers etc. Includes letter of appointment, and details of roles and responsibilities.	Destroy 1 year after appointment lapses

### 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 the business activities of the organisation in general. Includes following up enquiries relating to organisational programs, projects, working papers, literature searches etc.

Class No	Description of records	Disposal action
1672 	Records documenting detailed research carried out to support the OH&S function (eg research on the properties of a hazardous substance).	Destroy 5 years after action completed
1673 	Records documenting routine research carried out to support the OH&S function.	Destroy when reference ceases

## OCCUPATIONAL HEALTH & SAFETY (OH&S)

The function of implementing and coordinating occupational health and safety and associated legislation throughout the organisation. Includes safety, occupational hygiene, ergonomic, occupational medicine and first aid measures together with policy, procedural and monitoring matters associated with the organisations' preventive and curative OH&S program. Includes the establishment of committees to investigate and advise on health and safety issues in the workplace.

### Reviewing



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

*For the review of the agency's OH&S policy, use OH&S - Policy.*

*For the review of the agency's OH&S plan, use OH&S - Planning.*

*For the review of the agency's OH&S agreement, use OH&S - Agreements.*

*For the review of workplace hazards, use OH&S - Risk Management.*




Class No	Description of records	Disposal action
1674 	Records documenting the review and monitoring of OH&S programs and operations. Includes documents establishing the review, final report and action plan.	Destroy 10 years after action completed
1675 	Working papers documenting the conduct of an agency review and monitoring of OH&S programs and operations.	Destroy 3 years after action completed

## OCCUPATIONAL HEALTH & SAFETY (OH&S)

The function of implementing and coordinating occupational health and safety and associated legislation throughout the organisation. Includes safety, occupational hygiene, ergonomic, occupational medicine and first aid measures together with policy, procedural and monitoring matters associated with the organisations' preventive and curative OH&S program. Includes the establishment of committees to investigate and advise on health and safety issues in the workplace.

### 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.

Class No	Description of records	Disposal action
1676 	Records documenting risk management of all OH&S hazards including hazardous substances detailed in Schedule 2 of the Occupational Health and Safety (Commonwealth Employment) (National Standards) Regulations where risk assessments indicate risk to the employees and where health surveillance and/or monitoring of the employees is necessary. Includes documentation covering each stage of the process and action plans.	Destroy 75 years after last action
1677 	Records documenting risk management of OH&S hazards where risk assessments indicate no risk to the employees and where no health surveillance and/or monitoring is required. Includes documentation covering each stage of the process, treatment schedules and action plans.	Destroy 30 years after last action
1678 	OH&S risk register containing environmental monitoring and health surveillance data.	Destroy 75 years after last entry

*[For environmental monitoring, use OH&S - Compliance.*


*For health surveillance of employees, use OH&S - Cases.*

*For recording an employee's potential exposure to asbestos or employment at places identified as containing asbestos, use PERSONNEL - Employment Conditions.]*

### Standards

The process of implementing industry or organisational benchmarks for services and processes to enhance the quality and efficiency of the organisation.

*For compliance with standards (except where other activities apply), use OH&S - Compliance.*

Class No	Description of records	Disposal action
1679 	Records documenting the implementation of industry and agency standards to support the OH&S function (eg Approved Code of Practice for First Aid in Commonwealth Workplaces, and Australian Standard 1885.1 -1990 Workplace Injury and Disease Recording Standard).	Destroy 7 years after standards are superseded

## OCCUPATIONAL HEALTH & SAFETY (OH&S)

The function of implementing and coordinating occupational health and safety and associated legislation throughout the organisation. Includes safety, occupational hygiene, ergonomic, occupational medicine and first aid measures together with policy, procedural and monitoring matters associated with the organisations' preventive and curative OH&S program. Includes the establishment of committees to investigate and advise on health and safety issues in the workplace.

### 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.

Class No	Description of Records	Disposal Action
N/A	<i>[For the acquisition of goods and services required to support the OH&amp;S function via a tender process, use PROCUREMENT - Tendering.]</i>	N/A




## PERSONNEL

The function of managing all employees in the organisation employed under the Public Service Act 1999 and previous legislation and volunteer workers. Includes review of actions, overtime, salaries, superannuation and working hours for individuals.

Note: Before using this authority agencies that employ staff under legislation other than the Public Service Act 1999 should check their own enabling legislation and other regulatory directives for major variations from the Public Service Act in scope and conditions of employment. In cases where the variations differ greatly the Administrative Functions Disposal Authority is not applicable and should not be used. Coverage in such circumstances must be included under the agency's own Records Authority.


### 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.

Class No	Description of records	Disposal action
1690 	Accident/incident reports where an employee is injured but no compensation claim is lodged.  <i>[For accidents where a compensation claim is made by an employee, use COMPENSATION - Cases. For accident reports retained for OH&amp;S purposes, use OH&amp;S - Accidents.]</i>	Destroy 75 years after date of birth of employee or 7 years after last action, whichever is later

### Advice

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

Class No	Description of records	Disposal action
21133 	Records relating to the receipt and provision of advice on the personnel function.	Destroy 5 years after action completed

## PERSONNEL

The function of managing all employees in the organisation employed under the Public Service Act 1999 and previous legislation and volunteer workers. Includes review of actions, overtime, salaries, superannuation and working hours for individuals.

Note: Before using this authority agencies that employ staff under legislation other than the Public Service Act 1999 should check their own enabling legislation and other regulatory directives for major variations from the Public Service Act in scope and conditions of employment. In cases where the variations differ greatly the Administrative Functions Disposal Authority is not applicable and should not be used. Coverage in such circumstances must be included under the agency's own Records Authority.

### Agreements

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

Class No	Description of records	Disposal action
1691 ■■■■■■■■■■	Records documenting negotiations, establishment and implementation of an Australian Workplace Agreement (AWA) with an individual employee. Includes an authorised version of the final agreement.  <i>[For collective or enterprise bargaining agreements, use INDUSTRIAL RELATIONS - Enterprise Bargaining. For performance agreements with individual employees, use PERSONNEL – Performance Management.]</i>	Destroy 75 years after date of birth of employee or 7 years after last action, whichever is later
1692 ■■■■■■■■■■	Records documenting other employment agreements/contracts made with employees. Includes the agreement and records of negotiations.	Destroy 7 years after separation from the APS

### 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, eg travelling allowances.

Class No	Description of records	Disposal action
1693 ■■■■■■■■■■	Records documenting the payment of allowances to employees. Includes: overtime, first aid, clothing, travelling allowances and higher duties.  <i>[For the records of financial transactions relating to the payment of allowances to employees, use FINANCIAL MANAGEMENT - Salaries.]</i>	Destroy 7 years after action completed


## PERSONNEL

The function of managing all employees in the organisation employed under the Public Service Act 1999 and previous legislation and volunteer workers. Includes review of actions, overtime, salaries, superannuation and working hours for individuals.

Note: Before using this authority agencies that employ staff under legislation other than the Public Service Act 1999 should check their own enabling legislation and other regulatory directives for major variations from the Public Service Act in scope and conditions of employment. In cases where the variations differ greatly the Administrative Functions Disposal Authority is not applicable and should not be used. Coverage in such circumstances must be included under the agency's own Records Authority.

### Arrangements



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

Class No	Description of records	Disposal action
1694 	Records documenting arrangements for an employee to undertake a journey or trip for work related reasons. Includes arrangements for obtaining official passports and visas.	Destroy 2 years after action completed

### Authorisation

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

*For the delegation of power to agency staff relating to determinations on compensation claims, use COMPENSATION – Authorisation.*

Class No	Description of records	Disposal action
1695 	Delegations of power to agency staff to authorise administrative action relating to the personnel function.	Destroy 7 years after delegation expires
1696 	Authorisations for administrative actions relating to the personnel function (eg authorisations to collect group certificates).	Destroy 7 years after action completed


## PERSONNEL

The function of managing all employees in the organisation employed under the Public Service Act 1999 and previous legislation and volunteer workers. Includes review of actions, overtime, salaries, superannuation and working hours for individuals.

Note: Before using this authority agencies that employ staff under legislation other than the Public Service Act 1999 should check their own enabling legislation and other regulatory directives for major variations from the Public Service Act in scope and conditions of employment. In cases where the variations differ greatly the Administrative Functions Disposal Authority is not applicable and should not be used. Coverage in such circumstances must be included under the agency's own Records Authority.

### 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.

Class No	Description of records	Disposal action
1697 	Records documenting insurance claims. Includes copies of claims, reports and related correspondence.	Destroy 7 years after action completed

*[For compensation claims covering personal injury lodged by APS personnel, use COMPENSATION - Cases.*

*For compensation claims covering personal injury lodged by volunteer workers, use COMPENSATION - Claims.]*



## PERSONNEL

The function of managing all employees in the organisation employed under the Public Service Act 1999 and previous legislation and volunteer workers. Includes review of actions, overtime, salaries, superannuation and working hours for individuals.

Note: Before using this authority agencies that employ staff under legislation other than the Public Service Act 1999 should check their own enabling legislation and other regulatory directives for major variations from the Public Service Act in scope and conditions of employment. In cases where the variations differ greatly the Administrative Functions Disposal Authority is not applicable and should not be used. Coverage in such circumstances must be included under the agency's own Records Authority.

### Committees


The activities associated with the managing of committees and task forces. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agenda etc.

Class No	Description of records	Disposal action
1698 	Records of internal and external committees formed to consider matters relating to the personnel function. Includes: <ul style="list-style-type: none"> <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> <p><i>[For consultations with Workplace Relations Committee, use INDUSTRIAL RELATIONS - Committees.</i></p> <p><i>For negotiations with staff and union representatives in establishing a Certified Agreement, use INDUSTRIAL RELATIONS - Enterprise Bargaining.]</i></p>	Destroy 3 years after action completed
1699 	Working papers documenting the conduct and administration of committees held to consider matters relating to the personnel function. Includes: <ul style="list-style-type: none"> <li>• agenda;</li> <li>• notices of meetings; and</li> <li>• draft minutes.</li> </ul>	Destroy when reference ceases

### Compliance

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

*Other activities within this function may also be relevant to the Compliance activity.*

Class No	Description of records	Disposal action
1700 	Records documenting agency compliance with mandatory or optional standards or with statutory requirements relating to the personnel function.	Destroy 7 years after action completed

## PERSONNEL

The function of managing all employees in the organisation employed under the Public Service Act 1999 and previous legislation and volunteer workers. Includes review of actions, overtime, salaries, superannuation and working hours for individuals.

Note: Before using this authority agencies that employ staff under legislation other than the Public Service Act 1999 should check their own enabling legislation and other regulatory directives for major variations from the Public Service Act in scope and conditions of employment. In cases where the variations differ greatly the Administrative Functions Disposal Authority is not applicable and should not be used. Coverage in such circumstances must be included under the agency's own Records Authority.

### 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.

*For information on records issues relating to outsourcing and contracting-out see General Disposal Authority 25.*

Class No	Description of Records	Disposal Action
N/A	<i>[For records documenting contract management relating to the personnel function, use PROCUREMENT – Contracting-out.]</i>	N/A

### Counselling

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

Class No	Description of records	Disposal action
1702 	Records documenting general counselling of staff. Includes: <ul style="list-style-type: none"> <li>• personal counselling;</li> <li>• new entry counselling;</li> <li>• career counselling;</li> <li>• work performance counselling; and</li> <li>• counselling for minor breaches to the Code of Conduct.</li> </ul> <p><i>[For counselling relating to a disciplinary matter, use PERSONNEL - Discipline.</i></p> <p><i>For post appointment counselling and counselling of unsuccessful candidates, use PERSONNEL - Recruitment.]</i></p>	Destroy 2 years after action completed
1703 	Records documenting financial counselling of staff on separation. Includes superannuation and retirement counselling.	Destroy 7 years after action completed





## PERSONNEL

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### Discipline

The activities and actions associated with the disciplinary process. Includes investigation, charges, formal inquiries, punishment and appeals.

Class No	Description of records	Disposal action
20962 	Records documenting investigations of misconduct (eg a breach of the Code of Conduct) or criminal activity by either the agency or an external body, which result in disciplinary action being taken.  <i>[For the carrying out of sanctions and suspensions on an employee found to have breached the Code of Conduct or found guilty of misconduct, use the relevant activity under the PERSONNEL function (eg PERSONNEL – Salaries and/or PERSONNEL – Separations). For appeals against a decision on a misconduct charge, use PERSONNEL - Reviews (decisions).]</i>	Destroy 5 years after action completed
1705 	Records documenting allegations into misconduct where no follow-up investigation is made (ie where allegations are proved to be frivolous or vexatious).	Destroy 18 months after action completed
1706 	Records documenting investigations of misconduct which are investigated, either by the agency or an external authority, and where allegations are proved to be unfounded and the employee has requested the retention of the records.	Destroy 75 years after date of birth of employee or 7 years after last action whichever is later, or when requested by employee
1707 	Records documenting investigations of misconduct which are investigated, either by the agency or an external authority, and where allegations are proved to be unfounded and the employee has not requested the retention of the records.	Destroy 18 months after investigation is completed


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### Employment Conditions

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

Class No	Description of records	Disposal action
1708 	Records documenting the appointment of heads of executive agencies. Includes report from departmental Secretary on the vacancy, the Ministerial instrument of appointment and arrangements on remuneration and other employment conditions.	Destroy 75 years after date of birth of employee or 7 years after last action, whichever is later

*[For employment agreements/contracts (eg Australian Workplace Agreements), use PERSONNEL - Agreements.*

*For termination of appointment of heads of executive agencies, use PERSONNEL - Separations.]*

20963 	<p>Records documenting the consolidated employment history of all ongoing employees (formerly known as permanent officers) and SES employees from initial appointment and subsequent promotions and details of higher duties undertaken. Includes:</p> <ul style="list-style-type: none"> <li>• letter of appointment and conditions of engagement;</li> <li>• letter of acceptance;</li> <li>• details of assigned duties (initial and subsequent variations);</li> <li>• probation reports;</li> <li>• medical examinations/health declarations;</li> <li>• records detailing personal particulars and supporting documentation (eg birth certificates);</li> <li>• evidence of educational qualifications;</li> <li>• declarations of any conflicts of interest; and</li> <li>• undertakings to preserve official secrets.</li> </ul>	Destroy 75 years after date of birth of employee or 7 years after last action, whichever is later
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*[For employment agreements/contracts (eg Australian Workplace Agreements), use PERSONNEL - Agreements.*

*For pre-employment security checks, use PERSONNEL - Security.*

*For salary and superannuation related records completed on appointment, use PERSONNEL - Salaries.*

*For reviews of recruitment decisions, use PERSONNEL - Reviews (decisions).*



## PERSONNEL

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### Employment Conditions - Continued

Class No	Description of records	Disposal action
	<i>For moving personnel from one location to another to take up an appointment, use PERSONNEL - Moving.]</i>	
1710 ■■■■■■■■	Records documenting potential exposure to hazardous substances, including asbestos, or records detailing that an employee was located at places identified as containing hazardous substances.	Destroy in the year 2040 or 75 years after date of birth whichever is later
	<i>[For health surveillance of employees who have been exposed to hazardous substances, use OH&amp;S - Cases.]</i>	
1711 ■■■■■■■■	Records documenting the appointment of non-ongoing employees (formerly known as temporary employees).	Destroy 7 years after termination of appointment
	<i>[For agreements/contracts undertaken with non-ongoing employees, use PERSONNEL - Agreements.]</i>	
1712 ■■■■■■■■	Records documenting the engagement of volunteers and students undertaking work experience placements. Includes personal details, agreed undertakings relating to conditions of engagement and details of work performed.	Destroy 2 years after engagement ceases
	<i>[For insuring volunteer/ work experience workers, use PERSONNEL - Insurance.</i>	
	<i>For compensation claims lodged by volunteer/ work experience workers, use COMPENSATION - Claims.]</i>	
1713 ■■■■■■■■	Records supporting higher duty arrangements.	Destroy 7 years after action completed
	<i>[For arranging the payment of high duties allowances, use PERSONNEL - Allowances.]</i>	
1714 ■■■■■■■■	Records documenting redeployment of SES personnel. Includes reassignment both at level and to a lower classification.	Destroy 75 years after date of birth of employee or 7 years after last action, whichever is later
20964 ■■■■■■■■	Records documenting the redeployment of APS employees.	Destroy 75 years after date of birth of employee or 7 years after last

## PERSONNEL

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### Employment Conditions - Continued

Class No	Description of records	Disposal action action, whichever is later
1715 ■■■■■■■■■■	Records documenting the reduction in the classification of an APS employee either with or without the employees consent.  <i>[For disciplinary action leading to a reduction in the classification of an employee, use PERSONNEL - Discipline.]</i>	Destroy 75 years after date of birth of employee or 7 years after last action, whichever is later
1716 ■■■■■■■■■■	Records documenting the management of personnel under employment schemes (eg apprenticeships, scholarships, cadetships and traineeships).	Destroy 7 years after completion of training
1717 ■■■■■■■■■■	Records documenting the management of non-Commonwealth remuneration for performing duties as an APS employee.	Destroy 7 years after action completed
20965 ■■■■■■■■■■	Attendance records for employees. Includes: <ul style="list-style-type: none"> <li>• attendance books;</li> <li>• clock on/off cards;</li> <li>• flextime sheets; and</li> <li>• overtime records.</li> </ul>	Destroy 7 years after action completed
1720 ■■■■■■■■■■	Records documenting the management of rosters.	Destroy 1 year after action completed


## PERSONNEL

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### 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.

Class No	Description of records	Disposal action
1721 	Records documenting the evaluation of existing and potential programs and services supporting the personnel function.	Destroy 5 years after action completed


*[For the evaluation of equipment, goods and services being considered for procurement in support of the personnel function (eg training packages), use PROCUREMENT – Evaluation.*

*For the evaluation of strategic personnel programs, use STRATEGIC MANAGEMENT - Evaluation.*

*For the evaluation of the performance of individual employees against performance agreements, use PERSONNEL - Performance Management.]*

### Grievances

The activities associated with the handling and resolution of grievances. Includes handling complaints over perceived discrimination, or those arising over work environment, work organisation or distribution, peers, supervisors or subordinates. Also includes complaints regarding the provision of access to opportunities such as training, equipment, promotion or higher duties.

Class No	Description of records	Disposal action
1722 	Records documenting formal grievances lodged by an individual employee and considered either internally within the organisation and/or by an external body. Includes notes of meetings, reports and recommendations.	Destroy 5 years after action completed

*[For records covering disciplinary action resulting from a grievance, use PERSONNEL - Discipline.*

*For records covering grievances lodged by a number of employees, use INDUSTRIAL RELATIONS - Grievances.*

*For appeals against decisions (eg promotion), use PERSONNEL - Reviews (decisions).]*


## PERSONNEL

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### Infringements

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



Class No	Description of records	Disposal action
1723 	Records documenting infringements by an employee.  <i>[For infringements which lead to disciplinary action, use PERSONNEL - Discipline. For the management of driving infringements, use FLEET MANAGEMENT - Infringements.]</i>	Destroy 18 months after action completed

### Insurance

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

*For workers compensation insurance, use COMPENSATION - Insurance.*

*For managing financial transactions supporting insurance activities, use FINANCIAL MANAGEMENT - Accounting and/or FINANCIAL MANAGEMENT - Payments.*

Class No	Description of records	Disposal action
1724 	Insurance policies supporting the management of the personnel function (eg for personal and household effects being moved overseas and insuring volunteer workers).	Destroy 7 years after action completed
1725 	Records documenting the annual renewal of insurance policies.	Destroy 1 year after policy expires

## PERSONNEL

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### Leave

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

Class No	Description of records	Disposal action
1726 ■■■■■■■■■■	Consolidated leave history records.	Destroy 75 years after date of birth of employee or 7 years after last action, whichever is later
1727 ■■■■■■■■■■	Records documenting long service leave, parental leave, military leave and leave without pay exceeding 5 days in any one calendar year (ie leave used to calculate entitlements for superannuation or long service leave).	Destroy 75 years after date of birth of employee or 7 years after last action, whichever is later
1728 ■■■■■■■■■■	Records documenting all other leave (with and without pay). Includes: <ul style="list-style-type: none"><li>• sick leave (including war service sick leave);</li><li>• recreation leave;</li><li>• special and personal leave;</li><li>• study leave;</li><li>• jury service; and</li><li>• Defence training leave.</li></ul>	Destroy 7 years after action completed

### Marketing

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

Class No	Description of records	Disposal action
1729 ■■■■■■■■■■	Records documenting recruitment campaigns run by an agency (eg graduate employment schemes).  <i>[For records documenting applications for employment resulting from a recruitment campaign, use PERSONNEL – Recruitment.]</i>	Destroy 3 years after action completed

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### Meetings

The activities associated with ad hoc gatherings held to formulate, discuss, update or resolve issues and matters pertaining to the management of the section, department, or organisation as a whole. Includes arrangements, agenda, taking of minutes etc. Excludes committee meetings.

Class No	Description of records	Disposal action
1730 ■■■■■■■■■■	Final version of minutes and supporting documents tabled at meetings held to support the personnel function.	Destroy 3 years after action completed
1731 ■■■■■■■■■■	Working papers documenting the conduct and administration of meetings held to support the personnel function. Includes agenda, notices of meetings and draft minutes.	Destroy when reference ceases

### Moving

The process of relocation of an agency, business unit, workgroup or individual.

*For relocation of workgroups, use PROPERTY MANAGEMENT - Moving.*

Class No	Description of records	Disposal action
1732 ■■■■■■■■■■	Records documenting the relocation of an employee and their family's personal effects. Includes arrangements made for the storage of personal and household effects at Commonwealth expense.	Destroy 3 years after action completed

*[For any insurance claims made for loss or damage to property, use PERSONNEL - Insurance.]*

*For managing financial transactions supporting the moving of an employee, use FINANCIAL MANAGEMENT - Accounting and/or FINANCIAL MANAGEMENT - Payment.]*




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### Performance Management

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

Class No	Description of records	Disposal action
1733 	Records documenting the management of agency performance management schemes.	Destroy 5 years after action completed
	<i>[For the development of agency performance management schemes, use PERSONNEL - Policy.</i>	
	<i>For the development, implementation and operation of performance management schemes for members of governing bodies, use GOVERNING BODIES.</i>	
	<i>For training of staff in the conduct of agency performance management schemes, use STAFF DEVELOPMENT - Training.]</i>	
1734 	Performance agreements with individual employees. Includes final version of agreement, notes from meetings with employees and assessment and review reports.	Destroy 2 years after agreement is superseded
	<i>[For Australian Workplace Agreements and other agreements/contracts covering the employment of individual employees, use PERSONNEL - Agreements.</i>	
	<i>For Certified Agreements made under the Workplace Relations Act 1996, use INDUSTRIAL RELATIONS - Enterprise Bargaining.]</i>	
1735 	Records documenting the conferring of awards (honours) on individuals, staff members and teams in recognition of achievements.	Destroy 5 years after action completed

## PERSONNEL

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### Planning

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

*For broad level human resource planning, use STRATEGIC MANAGEMENT - Planning.*

*For individual development plans produced as part of a performance agreement, use PERSONNEL - Performance Management.*

Class No	Description of records	Disposal action
1736 	Final versions of agency-wide personnel plans (eg workplace diversity plan or succession plan).	Destroy 5 years after plan is superseded
1737 	Final version of a section or business unit's personnel plans, including state, regional or overseas office.	Destroy 3 years after plan is superseded
1738 	Working papers used to develop all personnel plans. Includes draft plans, reports analysing issues, and comments received from other areas of the agency.	Destroy 1 year after adoption of the final plan
1739 	Copies of all personnel plans.	Destroy when reference ceases







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### Policy

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

Class No	Description of records	Disposal action
20966 	Records documenting the development and establishment of the agency's personnel policies. Includes: <ul style="list-style-type: none"><li>• policy proposals;</li><li>• research papers;</li><li>• results of consultations;</li><li>• supporting reports;</li><li>• major drafts; and</li><li>• final policy documents.</li></ul>	Destroy 7 years after policy is superseded
1741 	Records documenting comments made on the development of government-wide policies relating to the personnel function.	Destroy 2 years after promulgation of new policy
1742 	Working papers documenting the development of all personnel policies.	Destroy 3 years after promulgation of the new policy
1743 	Copies of policy documents and supporting papers.	Destroy when reference ceases




## PERSONNEL

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### Procedures

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

Class No	Description of records	Disposal action
1744 	Master set of agency manuals, handbooks, directives etc detailing procedures supporting the personnel function.	Destroy 5 years after procedures are superseded
1745 	Records documenting the development of agency procedures supporting the Personnel function.	Destroy 1 year after completion of procedures
1746 	Copies of manuals, handbooks, directives etc.	Destroy when reference ceases

## PERSONNEL

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### Recruitment

The process of recruiting which includes applying for approval to fill existing vacancies, the advertising of vacant positions in the Public Service Notices, and the handling of applications, interviews, selection, culling and appointment. Also includes recruiting volunteers.

*For review of recruitment decisions, use PERSONNEL - Reviews (decisions).*

*For establishing and managing agency marketing campaigns to support recruitment, use PERSONNEL – Marketing.*

Class No	Description of records	Disposal action
20967 	<p>Records documenting the filling of vacancies in an agency. Includes both ongoing APS employees (formerly known as permanent officers) and SES officers, and non-ongoing APS employees (formerly known as temporary employees). Includes:</p> <ul style="list-style-type: none"> <li>• advertisements;</li> <li>• applications;</li> <li>• referee reports;</li> <li>• psychological testing;</li> <li>• interview assessments/exercises;</li> <li>• interview reports;</li> <li>• gazette notices; and</li> <li>• notification to unsuccessful applicants.</li> </ul> <p><i>[For letter of appointment to the successful applicant and supporting documentation, use PERSONNEL – Employment Conditions.</i></p> <p><i>For post recruitment counselling, use PERSONNEL - Counselling.]</i></p>	Destroy 7 years after recruitment has been finalised
1748 	Records documenting the management of unsolicited applications.	Destroy 1 year after action completed

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### Rehabilitation

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

Class No	Description of records	Disposal action
1749 ■■■■■■■■■■	Records documenting the rehabilitation of workers to full employment which are not related to a compensation case. Includes return to work plans.	Retain for 7 years after completion of rehabilitation

*[For rehabilitation records relating to compensation cases, use COMPENSATION - Cases.]*

### Reporting

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

Class No	Description of records	Disposal action
1750 ■■■■■■■■■■	Final version of formal internal reports and reports made to external agencies relating to the personnel function (eg workplace diversity report).	Destroy 5 years after action completed
1751 ■■■■■■■■■■	Final version of periodic internal reports on general administrative matters used to monitor and document recurring activities to support the personnel function.	Destroy 3 years after action completed
1752 ■■■■■■■■■■	Records documenting surveys carried out to support the personnel function.	Destroy 5 years after action completed
1753 ■■■■■■■■■■	Working papers documenting the development of all reports. Includes drafts and comments received.	Destroy 1 year after report is completed
1754 ■■■■■■■■■■	Copies of personnel reports.	Destroy when reference ceases


## PERSONNEL

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### Representatives

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



Class No	Description of records	Disposal action
1755 	Records documenting the nomination, appointment, resignation from and/or termination of agency representatives on bodies considering matters relating to the personnel function.	Destroy 3 years after end of the appointment

*[For appointments on community organisations, use COMMUNITY RELATIONS - Representatives.*

*For appointments on government bodies, use GOVERNMENT RELATIONS - Representatives.]*

### Reviewing

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

Class No	Description of records	Disposal action
1756 	Records documenting a review of agency programs and operations supporting the personnel function. Includes documents establishing the review, final version of report and action plan.	Destroy 5 years after action completed
1757 	Working papers documenting a review of agency programs and operations supporting the personnel function.	Destroy 2 years after action completed

## PERSONNEL




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### Reviews (decisions)

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

*For disciplinary action taken as a result of a misconduct charge, use PERSONNEL - Discipline.*

Class No	Description of records	Disposal action
1758 	Records documenting reviews of promotion decisions.	Destroy 1 year after recruitment has been finalised
1759 	Records documenting reviews of actions, other than reviews of promotion decisions, either carried out within the agency or by an external authority.	Destroy 5 years after action completed
1760 	Records documenting applications for reviews of action that were not proceeded with (eg if the application for review is considered frivolous or vexatious).	Destroy 18 months after action completed





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### Salaries

The process of managing the payment of salaries to personnel.

Class No	Description of records	Disposal action
20968 	Records supporting the payment of employees' salaries. Includes: <ul style="list-style-type: none"> <li>• payroll deduction authorities;</li> <li>• records relating to the recovery of overpayments;</li> <li>• deductions to satisfy a judgement debt; and</li> <li>• employee pay history records.</li> </ul>	Destroy 75 years after date of birth of employee or 7 years after last action, whichever is later
<i>[For records of financial transactions relating to the payment of salaries, use FINANCIAL MANAGEMENT - Salaries.]</i>		
20970 	Employee group certificates.	Destroy 5 years after separation from the APS
20971 	Records documenting taxation declarations for employees.	Destroy 2 years after separation from the APS
20969 	Records documenting employee superannuation deductions and agency superannuation contributions.	Destroy 75 years after date of birth of employee or 7 years after last action, whichever is later
<i>[For records of financial transactions relating to the payment of superannuation contributions by the agency, use FINANCIAL MANAGEMENT – Salaries.]</i>		
1763 	Records documenting the management of special salary packaging arrangements. Includes Fringe Benefit Tax (FBT) arrangements.	Destroy 7 years after action completed

## PERSONNEL

The function of managing all employees in the organisation employed under the Public Service Act 1999 and previous legislation and volunteer workers. Includes review of actions, overtime, salaries, superannuation and working hours for individuals.

Note: Before using this authority agencies that employ staff under legislation other than the Public Service Act 1999 should check their own enabling legislation and other regulatory directives for major variations from the Public Service Act in scope and conditions of employment. In cases where the variations differ greatly the Administrative Functions Disposal Authority is not applicable and should not be used. Coverage in such circumstances must be included under the agency's own Records Authority.

### 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.

*For the issue of keys to employees, use PROPERTY MANAGEMENT - Security or EQUIPMENT & STORES - Security.*




*For security breaches by an employee involving the inappropriate handling of records and/or the disclosure of information, use INFORMATION MANAGEMENT - Security.*

*For security breaches by an employee involving premises, use PROPERTY MANAGEMENT - Security.*

*For security breaches by an employee involving equipment and stores, use EQUIPMENT & STORES - Security.*

*For security breaches by an employee involving the use of technology, use TECHNOLOGY & TELECOMMUNICATIONS - Security.*

*For any disciplinary action taken against an employee for a breach of security, use PERSONNEL - Discipline.*

Class No	Description of records	Disposal action
1764 	Register of security clearances and passes held by agency staff.	Destroy 10 years after last entry
1765 	Records documenting the issue of security passes to employees.	Destroy 5 years after pass expires
1766 	Records documenting security checks (vetting) carried out as part of pre-engagement and pre-employment checks, or periodic reviews.  <i>[For the transfer of Personal Security Files between Commonwealth and State and Territory agencies, use the General Records Authority for the Transfer of Custody and Ownership of Personal Security Files (PSFs).]</i>	Destroy 5 years after separation from the APS or 6 years after the date of the last clearance check on file, whichever is sooner





## PERSONNEL

The function of managing all employees in the organisation employed under the Public Service Act 1999 and previous legislation and volunteer workers. Includes review of actions, overtime, salaries, superannuation and working hours for individuals.

Note: Before using this authority agencies that employ staff under legislation other than the Public Service Act 1999 should check their own enabling legislation and other regulatory directives for major variations from the Public Service Act in scope and conditions of employment. In cases where the variations differ greatly the Administrative Functions Disposal Authority is not applicable and should not be used. Coverage in such circumstances must be included under the agency's own Records Authority.


### Separations

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

Class No	Description of records	Disposal action
1767 	Records documenting the separation of ongoing (formerly known as permanent officers) and SES employees. Includes: <ul style="list-style-type: none"><li>• retirements (including retirement with incentive);</li><li>• resignations;</li><li>• voluntary redundancies;</li><li>• dismissal;</li><li>• death; and</li><li>• retrenchment.</li></ul> <p><i>[For the temporary or permanent transfer of officers, use PERSONNEL - Employment Conditions.]</i></p>	Destroy 75 years after date of birth of employee or 7 years after last action, whichever is later
1768 	Records documenting the termination of a non-ongoing employee before the completion of a specified term of employment.	Destroy 7 years after termination

### Social Clubs

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

Class No	Description of records	Disposal action
1769 	Records documenting staff social clubs including support and/or sponsorship given by the agency.	Destroy 2 years after action completed

## PERSONNEL

The function of managing all employees in the organisation employed under the Public Service Act 1999 and previous legislation and volunteer workers. Includes review of actions, overtime, salaries, superannuation and working hours for individuals.

Note: Before using this authority agencies that employ staff under legislation other than the Public Service Act 1999 should check their own enabling legislation and other regulatory directives for major variations from the Public Service Act in scope and conditions of employment. In cases where the variations differ greatly the Administrative Functions Disposal Authority is not applicable and should not be used. Coverage in such circumstances must be included under the agency's own Records Authority.

### Suggestions

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

Class No	Description of records	Disposal action
1770 ■■■■■■■■	Records documenting management of staff suggestion schemes promoted by an agency.	Destroy 5 years after action completed
1771 ■■■■■■■■	Records of suggestions made by staff.	Destroy 2 years after action completed

### Tendering

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

Class No	Description of Records	Disposal Action
N/A	<i>[For the acquisition of goods and services required to support the personnel function via a tender process, use PROCUREMENT - Tendering.]</i>	N/A

## PROCUREMENT

The function of obtaining goods and services to support an agency's business, including the services of consultants and contractors. Includes the activities of acquisition, agreements, contracting-out and tendering. Also includes the development and review of policies and procedures to support the function, planning the procurement process, assessment and management of associated risks, auditing, authorisation of delegations and reporting. Excludes acquisition of land and construction of buildings. Also excludes procurement undertaken to support the Defence combat function.

Note: This function should not be used by agencies for records covering the procurement of highly specialised or unique items of equipment or plant peculiar to agency core functions, eg military equipment for Defence, scientific research equipment for CSIRO, or nuclear materials acquired for use in the Lucas Heights Nuclear Reactor. In these cases specific coverage should be included in such agency's own records authority.

### 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.

*For the acquisition of equipment, goods and services through a tender process, use PROCUREMENT – Tendering.*

*For records relating to the leasing of equipment, goods and services, use PROCUREMENT - Leasing.*


*For the acquisition of land and construction of buildings, use PROPERTY MANAGEMENT - Acquisition.*

*For the management of contracted services, use PROCUREMENT – Contracting-out.*

*For the initial evaluation of equipment, goods and services, including those available through the whole-of-government procurement framework, use PROCUREMENT – Evaluation,*

*For the entry of equipment and stores into the agency's Asset Register, use FINANCIAL MANAGEMENT – Asset Register.*

*For managing financial transactions supporting acquisition activities, use FINANCIAL MANAGEMENT – Accounting and/or FINANCIAL MANAGEMENT – Payments.*




Class No	Description of records	Disposal action
19477 	<p>Records documenting the acquisition of equipment, goods and services where there is no tender or contracting-out process (ie where the cost of the acquisition is below the threshold for tendering or where a purchase is made against a period contract). Includes:</p> <ul style="list-style-type: none"> <li>• formal requests for quotes;</li> <li>• orders;</li> <li>• handover reports; and</li> <li>• correspondence relating to acquisition.</li> </ul> <p>Excludes the acquisition of vehicles for Commonwealth use.</p> <p><i>[For the assessment of suitability of equipment, goods and services considered for procurement and the preparation of specifications, use PROCUREMENT – Evaluation.]</i></p>	Destroy 7 years after action completed

## PROCUREMENT

The function of obtaining goods and services to support an agency's business, including the services of consultants and contractors. Includes the activities of acquisition, agreements, contracting-out and tendering. Also includes the development and review of policies and procedures to support the function, planning the procurement process, assessment and management of associated risks, auditing, authorisation of delegations and reporting. Excludes acquisition of land and construction of buildings. Also excludes procurement undertaken to support the Defence combat function.


Note: This function should not be used by agencies for records covering the procurement of highly specialised or unique items of equipment or plant peculiar to agency core functions, eg military equipment for Defence, scientific research equipment for CSIRO, or nuclear materials acquired for use in the Lucas Heights Nuclear Reactor. In these cases specific coverage should be included in such agency's own records authority.

### Acquisition - Continued

Class No	Description of records	Disposal action
19478 	Records documenting the acquisition of vehicles for Commonwealth use. Includes: <ul style="list-style-type: none"> <li>• quotes;</li> <li>• justification for choice;</li> <li>• orders; and</li> <li>• handover reports</li> </ul> <p><i>[For the assessment of suitability of equipment, goods and services considered for procurement and the preparation of specifications, use PROCUREMENT – Evaluation.]</i></p>	Destroy 7 years after disposal of vehicle
19479 	Investigations into acquisition of equipment, goods and services not proceeded with.	Destroy 2 years after action completed.
19480 	Records relating to warranties and guarantees for equipment, goods and services. Includes vehicle warrantees and guarantees.	Destroy when warranty or guarantee expires or item is disposed of, whichever is sooner

### Advice

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

Class No	Description of records	Disposal action
19481 	Records relating to the receipt and provision of advice on the Procurement function.	Destroy 7 years after action completed

## PROCUREMENT


The function of obtaining goods and services to support an agency's business, including the services of consultants and contractors. Includes the activities of acquisition, agreements, contracting-out and tendering. Also includes the development and review of policies and procedures to support the function, planning the procurement process, assessment and management of associated risks, auditing, authorisation of delegations and reporting. Excludes acquisition of land and construction of buildings. Also excludes procurement undertaken to support the Defence combat function.

Note: This function should not be used by agencies for records covering the procurement of highly specialised or unique items of equipment or plant peculiar to agency core functions, eg military equipment for Defence, scientific research equipment for CSIRO, or nuclear materials acquired for use in the Lucas Heights Nuclear Reactor. In these cases specific coverage should be included in such agency's own records authority.

### Agreements



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

*For the leasing of equipment, goods and services in support of the agency's business, use PROCUREMENT – Leasing.*

Class No	Description of records	Disposal action
19482 	Final version of agreements made relating to the procurement of equipment, goods and services (eg Memoranda of Understanding). Includes agreements with vendors or other agencies to provide equipment, goods and services.	Destroy 7 years after expiry or other termination of agreement

### Audit

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

Class No	Description of records	Disposal action
19483 	Final internal or external audit reports relating to the Procurement function.	Destroy 7 years after action completed
19484 	Records documenting the planning and conduct of internal and external audits relating to the Procurement function. Includes: <ul style="list-style-type: none"> <li>• liaison with the auditing body;</li> <li>• minutes of meetings;</li> <li>• notes taken at opening and exit interviews;</li> <li>• draft report; and</li> <li>• comments.</li> </ul>	Destroy 3 years after action completed



## PROCUREMENT

The function of obtaining goods and services to support an agency's business, including the services of consultants and contractors. Includes the activities of acquisition, agreements, contracting-out and tendering. Also includes the development and review of policies and procedures to support the function, planning the procurement process, assessment and management of associated risks, auditing, authorisation of delegations and reporting. Excludes acquisition of land and construction of buildings. Also excludes procurement undertaken to support the Defence combat function.

Note: This function should not be used by agencies for records covering the procurement of highly specialised or unique items of equipment or plant peculiar to agency core functions, eg military equipment for Defence, scientific research equipment for CSIRO, or nuclear materials acquired for use in the Lucas Heights Nuclear Reactor. In these cases specific coverage should be included in such agency's own records authority.



### Authorisation

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

Class No	Description of records	Disposal action
19485 	Delegations of power to agency staff to authorise administrative action relating to the Procurement function.	Destroy 7 years after delegation expires
19486 	Authorisations for administrative action supporting the Procurement function.	Destroy 7 years after action completed

### Committees

The activities associated with the managing of committees and task forces. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agenda etc.

Class No	Description of records	Disposal action
21131 	Records of committees formed to consider matters relating to the Procurement function. Includes: <ul style="list-style-type: none"> <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>	Destroy 7 years after action completed
21132 	Working papers documenting the conduct and administration of committees which consider matters relating to the Procurement function. Includes: <ul style="list-style-type: none"> <li>agenda;</li> <li>notices of meetings; and</li> <li>draft minutes</li> </ul>	Destroy 3 years after action completed


## PROCUREMENT

The function of obtaining goods and services to support an agency's business, including the services of consultants and contractors. Includes the activities of acquisition, agreements, contracting-out and tendering. Also includes the development and review of policies and procedures to support the function, planning the procurement process, assessment and management of associated risks, auditing, authorisation of delegations and reporting. Excludes acquisition of land and construction of buildings. Also excludes procurement undertaken to support the Defence combat function.

Note: This function should not be used by agencies for records covering the procurement of highly specialised or unique items of equipment or plant peculiar to agency core functions, eg military equipment for Defence, scientific research equipment for CSIRO, or nuclear materials acquired for use in the Lucas Heights Nuclear Reactor. In these cases specific coverage should be included in such agency's own records authority.

### Complaints


Activities involved in receiving and responding to complaints. Includes liaison with the complainants, investigations, internal and external reviews and dispute resolution activities.

Class No	Description of records	Disposal action
21130 	Records documenting the handling of complaints received about procurement processes. Includes complaints about the tendering activities.	Destroy 7 years after action completed

### Compliance


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

*For declarations of any conflicts of interest by an employee associated with a particular procurement assignment, use PERSONNEL – Employment Conditions.*

Class No	Description of records	Disposal action
19487 	Records documenting agency compliance with mandatory or with optional standards or with statutory requirements relating to the Procurement function (eg <i>compliance with whole-of – government policy guidelines, Chief Executive instructions etc</i> ).	Destroy 7 years after action completed

### Construction

The process of making or building something.

Class No	Description of records	Disposal action
19488 	Records documenting the in-house construction of equipment and plant.	Destroy 7 years after disposal of asset

*[For the design of equipment and plant, use PROCUREMENT - Evaluation.*

*For establishing and managing the intellectual property of agency-designed equipment and plant, use LEGAL SERVICES - Intellectual Property.]*

## PROCUREMENT


The function of obtaining goods and services to support an agency's business, including the services of consultants and contractors. Includes the activities of acquisition, agreements, contracting-out and tendering. Also includes the development and review of policies and procedures to support the function, planning the procurement process, assessment and management of associated risks, auditing, authorisation of delegations and reporting. Excludes acquisition of land and construction of buildings. Also excludes procurement undertaken to support the Defence Combat function.

Function note: This function should not be used by agencies for records covering the procurement of highly specialised or unique items of equipment or plant peculiar to agency core functions, eg military equipment for Defence, scientific research equipment for the Commonwealth Scientific and Industrial Research Organisation (CSIRO) or nuclear materials acquired for use in the Lucas Heights Nuclear Reactor. In these cases specific coverage should be included in such agency's own Records Authority.

### 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.

*For information on records issues relating to outsourcing and contracting-out see GDA 25.*

Class No	Description of records	Disposal action
19489 	Records documenting contract management relating to the Procurement function. Includes: <ul style="list-style-type: none"><li>minutes of meetings with main stakeholders; and</li><li>performance and evaluation reports.</li></ul>	Destroy 7 years after completion or other termination of contract



## PROCUREMENT


The function of obtaining goods and services to support an agency's business, including the services of consultants and contractors. Includes the activities of acquisition, agreements, contracting-out and tendering. Also includes the development and review of policies and procedures to support the function, planning the procurement process, assessment and management of associated risks, auditing, authorisation of delegations and reporting. Excludes acquisition of land and construction of buildings. Also excludes procurement undertaken to support the Defence Combat function.

Note: This function should not be used by agencies for records covering the procurement of highly specialised or unique items of equipment or plant peculiar to agency core functions, eg military equipment for Defence, scientific research equipment for the Commonwealth Scientific and Industrial Research Organisation (CSIRO) or nuclear materials acquired for use in the Lucas Heights Nuclear Reactor. In these cases specific coverage should be included in such agency's own Records Authority.

### 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.

*For the assessment of suitability of technology and telecommunications equipment, goods and services, use TECHNOLOGY & TELECOMMUNICATIONS - Evaluation.*

Class No	Description of records	Disposal action
19490 	Records documenting the evaluation of equipment, goods and services for procurement. Includes requirements, criteria and assessments.  <i>[For the acquisition of equipment, goods and services where there is no tender or contracting-out process, use PROCUREMENT - Acquisition.</i>  <i>For the acquisition of equipment, goods and services by a tender or contracting-out process, use PROCUREMENT – Tendering.</i>  <i>For the re-evaluation of existing equipment, goods and services, use the Reviewing activity under the relevant function.]</i>	Destroy 7 years after action completed
19491 	Records documenting the development and issue of specifications for equipment and stores (including purpose-built equipment and stores).  <i>[For the development of specifications for technology and telecommunications equipment, goods and services, use TECHNOLOGY &amp; TELECOMMUNICATIONS - Evaluation.]</i>	Destroy 7 years after action completed

## PROCUREMENT




The function of obtaining goods and services to support an agency's business, including the services of consultants and contractors. Includes the activities of acquisition, agreements, contracting-out and tendering. Also includes the development and review of policies and procedures to support the function, planning the procurement process, assessment and management of associated risks, auditing, authorisation of delegations and reporting. Excludes acquisition of land and construction of buildings. Also excludes procurement undertaken to support the Defence combat function.

Note: This function should not be used by agencies for records covering the procurement of highly specialised or unique items of equipment or plant peculiar to agency core functions, eg military equipment for Defence, scientific research equipment for CSIRO, or nuclear materials acquired for use in the Lucas Heights Nuclear Reactor. In these cases specific coverage should be included in such agency's own records authority.

### Leasing

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

*For the leasing of accommodation, premises or real estate from another organisation or individual, use PROPERTY MANAGEMENT - Leasing.*

Class No	Description of records	Disposal action
19492 	Records documenting the leasing of equipment, goods and services (ie where the agency is the lessee). Includes: <ul style="list-style-type: none"> <li>• negotiations;</li> <li>• cost-benefit analysis;</li> <li>• assessments; and</li> <li>• signed leases.</li> </ul>	Destroy 7 years after lease expires or is terminated
19493 	Records documenting the administration and management of leased equipment, goods and services. Includes reports received from leasing companies and signed leases.	Destroy 7 years after lease expires or is terminated
<p><i>[For the disposal of leased equipment, use the disposal activity under the relevant function.</i></p> <p><i>For the maintenance of leased equipment, use the Maintenance activity under the relevant function.</i></p> <p><i>For Fringe Benefit Tax reports received from a leasing company, other than for the leasing of vehicles, use PERSONNEL - Salaries.</i></p> <p><i>For Fringe Benefits Tax reports relating to the leasing of vehicles, use FLEET MANAGEMENT - Compliance.</i></p> <p><i>For managing financial transactions supporting leasing activities, use FINANCIAL MANAGEMENT – Accounting and/or FINANCIAL MANAGEMENT – Payments.]</i></p>		
19494 	Records documenting the administration of short term rental vehicles for official business.	Destroy 7 years after action completed
<p><i>[For managing financial transactions associated with the short term rental of vehicles, use FINANCIAL MANAGEMENT – Accounting and/or FINANCIAL MANAGEMENT – Payments.]</i></p>		

## PROCUREMENT

The function of obtaining goods and services to support an agency's business, including the services of consultants and contractors. Includes the activities of acquisition, agreements, contracting-out and tendering. Also includes the development and review of policies and procedures to support the function, planning the procurement process, assessment and management of associated risks, auditing, authorisation of delegations and reporting. Excludes acquisition of land and construction of buildings. Also excludes procurement undertaken to support the Defence combat function.

Note: This function should not be used by agencies for records covering the procurement of highly specialised or unique items of equipment or plant peculiar to agency core functions, eg military equipment for Defence, scientific research equipment for CSIRO, or nuclear materials acquired for use in the Lucas Heights Nuclear Reactor. In these cases specific coverage should be included in such agency's own records authority.

### Leasing - Continued

Class No	Description of records	Disposal action
19495 ██████████	Records relating to the leasing of equipment, goods or services, where the lease is not proceeded with.	Destroy 2 years after action completed

### Meetings

The activities associated with ad hoc gatherings held to formulate, discuss, update or resolve issues and matters pertaining to the management of the section, department or organisation as a whole. Includes arrangements, agenda, taking of minutes etc. Excludes committee meetings.

Class No	Description of records	Disposal action
19496 ██████████	Final version of minutes and supporting documents tabled at meetings held to support the Procurement function. Includes meetings with external agencies.	Destroy 3 years after action completed
19497 ██████████	Working papers documenting the conduct and administration of meetings held to support the Procurement function. Includes agenda, notices of meetings and draft minutes.	Destroy 1 year after action completed

### Planning

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

Class No	Description of records	Disposal action
19498 ██████████	Final version of agency-wide plans supporting the Procurement function.	Destroy 7 years after plan is superseded
19499 ██████████	Final version of a section or business unit's plans supporting the Procurement function, including those of State, regional or overseas offices.	Destroy 2 years after plan is superseded
19500 ██████████	Working papers used in developing all plans supporting the Procurement function. Includes draft plans, reports analysing issues, and comments received from other areas of the agency.	Destroy 1 year after adoption of the final plan




## PROCUREMENT

The function of obtaining goods and services to support an agency's business, including the services of consultants and contractors. Includes the activities of acquisition, agreements, contracting-out and tendering. Also includes the development and review of policies and procedures to support the function, planning the procurement process, assessment and management of associated risks, auditing, authorisation of delegations and reporting. Excludes acquisition of land and construction of buildings. Also excludes procurement undertaken to support the Defence combat function.

Note: This function should not be used by agencies for records covering the procurement of highly specialised or unique items of equipment or plant peculiar to agency core functions, eg military equipment for Defence, scientific research equipment for CSIRO, or nuclear materials acquired for use in the Lucas Heights Nuclear Reactor. In these cases specific coverage should be included in such agency's own records authority.



### Policy

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

Class No	Description of records	Disposal action
19501 	Records documenting the development and establishment of the agency's policies supporting the Procurement function. Includes: <ul style="list-style-type: none"> <li>• policy proposals;</li> <li>• research papers;</li> <li>• results of consultations;</li> <li>• supporting reports;</li> <li>• major drafts; and</li> <li>• final policy documents</li> </ul>	Destroy 7 years after policy is superseded
19502 	Records documenting comments made on the development of government-wide policies supporting the Procurement function.	Destroy 3 years after promulgation of the new policy
19503 	Working papers documenting the development of all policies supporting the Procurement function.	Destroy 3 years after promulgation of the new policy

### Procedures

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

Class No	Description of records	Disposal action
19504 	Master set of agency manuals, handbooks, directives etc detailing procedures supporting the Procurement function.	Destroy 7 years after procedures are superseded
19505 	Records documenting the development of agency procedures supporting the Procurement function.	Destroy 2 years after action completed

## PROCUREMENT

The function of obtaining goods and services to support an agency's business, including the services of consultants and contractors. Includes the activities of acquisition, agreements, contracting-out and tendering. Also includes the development and review of policies and procedures to support the function, planning the procurement process, assessment and management of associated risks, auditing, authorisation of delegations and reporting. Excludes acquisition of land and construction of buildings. Also excludes procurement undertaken to support the Defence Combat function.

Function note: This function should not be used by agencies for records covering the procurement of highly specialised or unique items of equipment or plant peculiar to agency core functions, eg military equipment for Defence, scientific research equipment for the Commonwealth Scientific and Industrial Research Organisation (CSIRO) or nuclear materials acquired for use in the Lucas Heights Nuclear Reactor. In these cases specific coverage should be included in such agency's own Records Authority.

### Reporting

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

Class No	Description of records	Disposal action
19506 ■■■■■■■■■■	Final version of formal internal reports and reports made to external agencies relating to the Procurement function.	Destroy 7 years after action completed
19507 ■■■■■■■■■■	Final version of periodic internal reports on general administrative matters used to monitor and document recurring activities to support the Procurement function.	Destroy 3 years after action completed
19508 ■■■■■■■■■■	Working papers documenting the development of all reports. Includes drafts and comments received.	Destroy 2 years after action completed

### Reviewing

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

Class No	Description of records	Disposal action
19509 ■■■■■■■■■■	Records documenting a review of agency programs and operations supporting the Procurement function. Includes documents establishing the review, the final report and action plan.	Destroy 7 years after action completed
19510 ■■■■■■■■■■	Working papers documenting a review of agency programs and operations supporting the Procurement function.	Destroy 3 years after action completed



## PROCUREMENT

The function of obtaining goods and services to support an agency's business, including the services of consultants and contractors. Includes the activities of acquisition, agreements, contracting-out and tendering. Also includes the development and review of policies and procedures to support the function, planning the procurement process, assessment and management of associated risks, auditing, authorisation of delegations and reporting. Excludes acquisition of land and construction of buildings. Also excludes procurement undertaken to support the Defence combat function.

Note: This function should not be used by agencies for records covering the procurement of highly specialised or unique items of equipment or plant peculiar to agency core functions, eg military equipment for Defence, scientific research equipment for CSIRO, or nuclear materials acquired for use in the Lucas Heights Nuclear Reactor. In these cases specific coverage should be included in such agency's own records authority.

### 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.

Class No	Description of records	Disposal action
19511 	Records documenting risk management relating to the Procurement function. Includes documentation covering each stage of the process, treatment schedules and action plans.	Destroy 7 years after next risk assessment
19512 	Procurement risk register.	Destroy 7 years after next risk assessment

## PROCUREMENT

The function of obtaining goods and services to support an agency's business, including the services of consultants and contractors. Includes the activities of acquisition, agreements, contracting-out and tendering. Also includes the development and review of policies and procedures to support the function, planning the procurement process, assessment and management of associated risks, auditing, authorisation of delegations and reporting. Excludes acquisition of land and construction of buildings. Also excludes procurement undertaken to support the Defence combat function.

Note: This function should not be used by agencies for records covering the procurement of highly specialised or unique items of equipment or plant peculiar to agency core functions, eg military equipment for Defence, scientific research equipment for CSIRO, or nuclear materials acquired for use in the Lucas Heights Nuclear Reactor. In these cases specific coverage should be included in such agency's own records authority.

### 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.

*For tendering in relation to the acquisition of land and construction of buildings, use PROPERTY MANAGEMENT - Tendering.*

*For feedback to a successful tenderer during the life of a contract, use PROCUREMENT - Contracting-out.*

Class No	Description of records	Disposal action
19513 ■■■■■■■■■■	Records documenting the development and issue of tender documentation. Includes business plan, Statement of Requirements, Request for Proposals, Expressions of Interest, Requests for Tender (RFT), draft contract and tender evaluation plan.	Destroy 7 years after tender process completed
19514 ■■■■■■■■■■	Evaluation of tenders received against selection criteria. Includes records documenting arrangements for carrying out the evaluation process, evaluation report, recommendations, final report and public notices.	Destroy 7 years after tender process completed
19515 ■■■■■■■■■■	Records documenting post-offer negotiations and due diligence checks.	Destroy 7 years after tender process completed
19516 ■■■■■■■■■■	Records of unsuccessful tenders or a tender process where there is no suitable bidder, or where the tender process has been discontinued. Includes submissions, notification of outcome and reports on debriefing and feedback sessions.	Destroy 3 years after tender process completed or decision made not to continue with the tender
19517 ■■■■■■■■■■	Tender register.	Destroy 7 years after last entry
19518 ■■■■■■■■■■	Signed contracts under seal prior to 15 November 2005 resulting from tenders and supporting records: Western Australia. Includes the successful tender documentation.	Destroy 21 years after completion or other termination of contract
19519 ■■■■■■■■■■	Signed contracts under seal resulting from tenders and supporting records: Victoria and South Australia. Includes the successful tender documentation.	Destroy 15 years after completion or other termination of contract

## PROCUREMENT

The function of obtaining goods and services to support an agency's business, including the services of consultants and contractors. Includes the activities of acquisition, agreements, contracting-out and tendering. Also includes the development and review of policies and procedures to support the function, planning the procurement process, assessment and management of associated risks, auditing, authorisation of delegations and reporting. Excludes acquisition of land and construction of buildings. Also excludes procurement undertaken to support the Defence Combat function.

Note: This function should not be used by agencies for records covering the procurement of highly specialised or unique items of equipment or plant peculiar to agency core functions, eg military equipment for Defence, scientific research equipment for the Commonwealth Scientific and Industrial Research Organisation (CSIRO) or nuclear materials acquired for use in the Lucas Heights Nuclear Reactor. In these cases specific coverage should be included in such agency's own Records Authority.

### Tendering - Continued

Class No	Description of records	Disposal action
19520 	Signed contracts under seal resulting from tenders and supporting records: New South Wales, Western Australia (from 15 November 2005), Queensland, Tasmania, Australian Capital Territory and Northern Territory. Includes the successful tender documentation.	Destroy 12 years after completion or other termination of contract
19521 	Signed simple contracts and agreements resulting from tenders and supporting records. Includes the successful tender documentation.	Destroy 7 years after completion or other termination of contract
19522 	Contract register.	Destroy 7 years after last entry



## PROPERTY MANAGEMENT

The function of managing land and working, storage, or living space within premises, and of acquiring, constructing, fitting-out, managing, maintaining, protecting and disposing of premises. Includes buildings and land allotments either owned, rented, or leased by the organisation. Also includes the removal of pollutants and waste. This function also covers properties owned by the Commonwealth or Commonwealth institutions which have national significance including natural, historic and indigenous significance and are listed in the Register of the National Estate, by the World Heritage Commission, classified by the National Trusts or on State heritage listings.

Note: Care should be taken when using this function for records covering the management of specialised premises, ie purpose-built, specialised premises supporting core functions or with unique design features eg army barracks, immigration detention centres, Lucas Heights Nuclear Reactor Building or Mt Stromlo Observatory. While this function should provide sufficient coverage for the majority of property management matters relating to specialised premises, there may be unique business and/or recordkeeping requirements that will necessitate specific coverage for specialized premises within an agency's own Records Authority.

### 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.

*For submissions to Cabinet relating to the acquisition of property, use GOVERNMENT RELATIONS - Submissions.*

*For legal advice and any litigation resulting from compulsory acquisition of property, use LEGAL SERVICES - Advice and LEGAL SERVICES - Litigation.*


*For the acquisition of property through a tendering process, use PROPERTY MANAGEMENT - Tendering.*

*For the leasing of accommodation, premises or real estate from another organisation or individual, use PROPERTY MANAGEMENT - Leasing.*

*For the leasing-out of agency accommodation, premises or real estate to another organisation or individual, use PROPERTY MANAGEMENT - Leasing-out.*

*For asset registers used to record property details, use FINANCIAL MANAGEMENT - Asset Register.*

*For managing financial transactions supporting acquisition activities, use FINANCIAL MANAGEMENT - Accounting and/or FINANCIAL MANAGEMENT - Payments.*





Class No	Description of records	Disposal action
1782 	Records documenting the acquisition of properties of national significance (see functional scope note) including compulsory acquisitions. Includes: <ul style="list-style-type: none"> <li>• investigations into and reports on the property;</li> <li>• environmental impact assessments;</li> <li>• budgetary estimates; and</li> <li>• cost benefit analyses.</li> </ul>	Retain as national archives

## PROPERTY MANAGEMENT

The function of managing land and working, storage, or living space within premises, and of acquiring, constructing, fitting-out, managing, maintaining, protecting and disposing of premises. Includes buildings and land allotments either owned, rented, or leased by the organisation. Also includes the removal of pollutants and waste. This function also covers properties owned by the Commonwealth or Commonwealth institutions which have national significance including natural, historic and indigenous significance and are listed in the Register of the National Estate, by the World Heritage Commission, classified by the National Trusts or on State heritage listings.

Note: Care should be taken when using this function for records covering the management of specialised premises, ie purpose-built, specialised premises supporting core functions or with unique design features eg army barracks, immigration detention centres, Lucas Heights Nuclear Reactor Building or Mt Stromlo Observatory. While this function should provide sufficient coverage for the majority of property management matters relating to specialised premises, there may be unique business and/or recordkeeping requirements that will necessitate specific coverage for specialized premises within an agency's own Records Authority.

### Acquisition - Continued

Class No	Description of records	Disposal action
1783 	Records documenting the acquisition of properties without national significance (see functional scope note) including compulsory acquisitions. Includes: <ul style="list-style-type: none"> <li>• investigations into and reports on the property;</li> <li>• environmental impact assessments;</li> <li>• budgetary estimates; and</li> <li>• cost benefit analyses.</li> </ul>	Destroy 7 years after disposal of property
1784 	Deeds and certificates of title for property owned by the agency.	Transfer to new owner when property is disposed of (see instruction on the transfer of custody and ownership of Commonwealth records in the Introduction, page 5)
1785 	Records documenting the negotiations for other properties where the acquisition was not proceeded with.	Destroy 7 years after purchase is suspended
1786 	Records documenting the acquisition of goods and services required for the support of the property management function where there is no tender or contracting-out process (ie where the cost of the acquisition is below the threshold for tendering or where a purchase is made against a period contract).	Destroy 7 years after action completed

*[For the acquisition of property management goods and services through a tender process, use PROPERTY MANAGEMENT - Tendering.]*

## PROPERTY MANAGEMENT

The function of managing land and working, storage, or living space within premises, and of acquiring, constructing, fitting-out, managing, maintaining, protecting and disposing of premises. Includes buildings and land allotments either owned, rented, or leased by the organisation. Also includes the removal of pollutants and waste. This function also covers properties owned by the Commonwealth or Commonwealth institutions which have national significance including natural, historic and indigenous significance and are listed in the Register of the National Estate, by the World Heritage Commission, classified by the National Trusts or on State heritage listings.

Note: Care should be taken when using this function for records covering the management of specialised premises, ie purpose-built, specialised premises supporting core functions or with unique design features eg army barracks, immigration detention centres, Lucas Heights Nuclear Reactor Building or Mt Stromlo Observatory. While this function should provide sufficient coverage for the majority of property management matters relating to specialised premises, there may be unique business and/or recordkeeping requirements that will necessitate specific coverage for specialized premises within an agency's own Records Authority.

### Acquisition - Continued

Class No	Description of records	Disposal action
20978 [Barcode]	Signed contracts under seal, prior to 15 November 2005, and supporting records for the acquisition of property in Western Australia when there is no tendering process.	Destroy 21 years after disposal of the property
20979 [Barcode]	Signed contracts under seal and supporting records for the acquisition of property in Victoria and South Australia when there is no tendering process.	Destroy 15 years after disposal of property
20980 [Barcode]	Signed contracts under seal and supporting records for the acquisition of property in New South Wales, Western Australia (from 15 November 2005), Queensland, Tasmania, Australian Capital Territory and Northern Territory when there is no tendering process.	Destroy 12 years after disposal of property

### Advice

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

Class No	Description of records	Disposal action
20981 [Barcode]	Records documenting the receipt and provision of general advice on the Property Management function.	Destroy 5 years after action completed

*[For advice relating to the acquisition, conservation, construction, fit-outs, maintenance and disposal of specific properties, use the relevant activity under PROPERTY MANAGEMENT.*

*For legal advice on property management matters, use LEGAL SERVICES - Advice.]*

## PROPERTY MANAGEMENT

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Note: Care should be taken when using this function for records covering the management of specialised premises, ie purpose-built, specialised premises supporting core functions or with unique design features eg army barracks, immigration detention centres, Lucas Heights Nuclear Reactor Building or Mt Stromlo Observatory. While this function should provide sufficient coverage for the majority of property management matters relating to specialised premises, there may be unique business and/or recordkeeping requirements that will necessitate specific coverage for specialized premises within an agency's own Records Authority.

### Agreements

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

*For the acquisition of property through an agreement not resulting from a tendering process, use PROPERTY MANAGEMENT – Acquisition.*

*For the disposal of property through an agreement not resulting from a tendering process, use PROPERTY MANAGEMENT – Disposal.*

*For the acquisition or disposal of property through an agreement resulting from a tendering process, use PROPERTY MANAGEMENT – Tendering.*

*For leasing of accommodation, premises or real estate from another organisation or individual, use PROPERTY MANAGEMENT - Leasing.*

*For leasing-out of accommodation, premises or real estate to another organisation or individual, use PROPERTY MANAGEMENT - Leasing-out.*

Class No	Description of records	Disposal action
20982 ■■■■■■■■■■	Final versions of agreements made to support the property management function (eg Memoranda of Understanding).	Destroy 7 years after expiry or other termination of agreement
1792 ■■■■■■■■■■	Records documenting negotiations, establishment, maintenance and review of agreements.	Destroy 7 years after expiry or other termination of agreement
1793 ■■■■■■■■■■	Records documenting agreements made with property owners relating to easement and right-of-way arrangements.	Destroy 7 years after expiry of agreement

## PROPERTY MANAGEMENT

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Note: Care should be taken when using this function for records covering the management of specialised premises, ie purpose-built, specialised premises supporting core functions or with unique design features eg army barracks, immigration detention centres, Lucas Heights Nuclear Reactor Building or Mt Stromlo Observatory. While this function should provide sufficient coverage for the majority of property management matters relating to specialised premises, there may be unique business and/or recordkeeping requirements that will necessitate specific coverage for specialized premises within an agency's own Records Authority.

### Appeals (decisions)

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

Class No	Description of records	Disposal action
1794 ■■■■■■■■■■	Records documenting appeals made against the level of compensation for compulsory acquisition of property.	Destroy 10 years after last action

*[For the compulsory acquisition of property, use PROPERTY MANAGEMENT - Acquisition.*

*For claims made against the compulsory acquisition of property, use PROPERTY MANAGEMENT - Claims.*

*For legal advice and any litigation resulting from compulsory acquisition of property, use LEGAL SERVICES - Advice and Litigation.]*

### Arrangements

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

Class No	Description of records	Disposal action
1795 ■■■■■■■■■■	Records documenting routine arrangements for the use of properties. Includes parking arrangements and facility bookings.	Destroy 1 year after action completed

*[For managing financial transactions associated with the use of properties, use FINANCIAL MANAGEMENT - Accounting and/or FINANCIAL MANAGEMENT - Payments.*

*For leasing-out arrangements, use PROPERTY MANAGEMENT- Leasing-out.]*

## PROPERTY MANAGEMENT




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Note: Care should be taken when using this function for records covering the management of specialised premises, ie purpose-built, specialised premises supporting core functions or with unique design features eg army barracks, immigration detention centres, Lucas Heights Nuclear Reactor Building or Mt Stromlo Observatory. While this function should provide sufficient coverage for the majority of property management matters relating to specialised premises, there may be unique business and/or recordkeeping requirements that will necessitate specific coverage for specialized premises within an agency's own Records Authority.

### Audit

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

*For routine inspections of hazardous substances in the workplace, use OH&S - Inspections.*

Class No	Description of records	Disposal action
20983 	Records documenting internal and external audits of processes and systems to detect the presence of hazardous substances or conditions in buildings or land. Includes records documenting the planning and conduct of audits. Includes: <ul style="list-style-type: none"> <li>• final audit reports;</li> <li>• liaison with the auditing body;</li> <li>• minutes of meetings;</li> <li>• notes taken at opening and exit interviews;</li> <li>• draft reports; and</li> <li>• comments.</li> </ul>	Destroy 75 years after last action
20984 	Final internal and external audit report relating to the agency's property or property management processes and systems, not related to hazardous substances. Includes the final reports from audits conducted by the Australian National Audit Office and environmental audits.	Destroy 5 years after action completed
1797 	Records documenting the planning and conduct of internal and external audits relating to the property management function. Includes: <ul style="list-style-type: none"> <li>• liaison with the auditing body;</li> <li>• minutes of meetings;</li> <li>• notes taken at opening and exit interviews;</li> <li>• draft reports; and</li> <li>• comments.</li> </ul>	Destroy 5 years after action completed

## PROPERTY MANAGEMENT

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Note: Care should be taken when using this function for records covering the management of specialised premises, ie purpose-built, specialised premises supporting core functions or with unique design features eg army barracks, immigration detention centres, Lucas Heights Nuclear Reactor Building or Mt Stromlo Observatory. While this function should provide sufficient coverage for the majority of property management matters relating to specialised premises, there may be unique business and/or recordkeeping requirements that will necessitate specific coverage for specialized premises within an agency's own Records Authority.

### Authorisation

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

Class No	Description of records	Disposal action
1798 ■■■■■■■■■■	Delegations of power to agency staff to authorise administrative action relating to property management.	Destroy 7 years after delegation expires
1799 ■■■■■■■■■■	Authorisations for administrative actions relating to property management.	Destroy 7 years after authorisation expires

### 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.

Class No	Description of records	Disposal action
1800 ■■■■■■■■■■	Records documenting claims made against compulsory acquisition of property.  <i>[For the compulsory acquisition of property, use PROPERTY MANAGEMENT - Acquisition.</i> <i>For appeals made against compensation received for compulsory acquisition of property, use PROPERTY MANAGEMENT - Appeals.</i> <i>For legal advice and any litigation resulting from compulsory acquisition of property, use LEGAL SERVICES - Advice and Litigation.]</i>	Destroy 10 years after finalisation or withdrawal of claim
1801 ■■■■■■■■■■	Records documenting insurance claims for damage to and/or loss of property.  <i>[For insurance policies and annual renewals, use PROPERTY MANAGEMENT - Insurance.]</i>	Destroy 7 years after finalisation or withdrawal of claim



## PROPERTY MANAGEMENT

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Note: Care should be taken when using this function for records covering the management of specialised premises, ie purpose-built, specialised premises supporting core functions or with unique design features eg army barracks, immigration detention centres, Lucas Heights Nuclear Reactor Building or Mt Stromlo Observatory. While this function should provide sufficient coverage for the majority of property management matters relating to specialised premises, there may be unique business and/or recordkeeping requirements that will necessitate specific coverage for specialized premises within an agency's own Records Authority.

### Committees

The activities associated with the managing of committees and task forces. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agenda etc.

Class No	Description of records	Disposal action
1802 	Records of committees formed to consider the management of properties of national significance (see functional scope note). Includes: <ul style="list-style-type: none"> <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> <p>Includes both internal and external committees.</p>	Retain as national archives
1803 	Records of committees formed to consider the management of properties without national significance (see functional scope note) and general matters relating to the property management function. Includes: <ul style="list-style-type: none"> <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> <p>Includes both internal and external committees.</p>	Destroy 7 years after action completed




## PROPERTY MANAGEMENT

The function of managing land and working, storage, or living space within premises, and of acquiring, constructing, fitting-out, managing, maintaining, protecting and disposing of premises. Includes buildings and land allotments either owned, rented, or leased by the organisation. Also includes the removal of pollutants and waste. This function also covers properties owned by the Commonwealth or Commonwealth institutions which have national significance including natural, historic and indigenous significance and are listed in the Register of the National Estate, by the World Heritage Commission, classified by the National Trusts or on State heritage listings.

Note: Care should be taken when using this function for records covering the management of specialised premises, ie purpose-built, specialised premises supporting core functions or with unique design features eg army barracks, immigration detention centres, Lucas Heights Nuclear Reactor Building or Mt Stromlo Observatory. While this function should provide sufficient coverage for the majority of property management matters relating to specialised premises, there may be unique business and/or recordkeeping requirements that will necessitate specific coverage for specialized premises within an agency's own Records Authority.


### Committees - Continued

Class No	Description of records	Disposal action
1804 	Working papers documenting the conduct and administration of all committees formed to consider matters relating to the property management function. Includes: <ul style="list-style-type: none"> <li>• agenda;</li> <li>• notices of minutes; and</li> <li>• draft minutes.</li> </ul>	Destroy when reference ceases

### Compliance

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

*Other activities within this function may also be relevant to the Compliance activity.*

Class No	Description of records	Disposal action
1805 	Records documenting compliance with mandatory or optional standards or with statutory requirements relating to the property management function.	Destroy 7 years after action completed

*[For conducting inspections to determine compliance, use  
PROPERTY MANAGEMENT – Inspections.]*

## PROPERTY MANAGEMENT




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Note: Care should be taken when using this function for records covering the management of specialised premises, ie purpose-built, specialised premises supporting core functions or with unique design features eg army barracks, immigration detention centres, Lucas Heights Nuclear Reactor Building or Mt Stromlo Observatory. While this function should provide sufficient coverage for the majority of property management matters relating to specialised premises, there may be unique business and/or recordkeeping requirements that will necessitate specific coverage for specialized premises within an agency's own Records Authority.

### Conservation

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

*For environmental audits, use PROPERTY MANAGEMENT - Audits.*

Class No	Description of records	Disposal action
20985 	Records documenting the activities involved in the preservation, protection, restoration and enhancement of properties of national significance (see functional scope note).	Retain as national archives
	<i>[For construction, major renovation or restoration of buildings, structures or environs, use PROPERTY MANAGEMENT – Construction.</i>	
	<i>For ongoing maintenance of property, use PROPERTY MANAGEMENT – Maintenance.]</i>	
1807 	Records documenting the activities involved in the restoration and enhancement of properties without national significance (see functional scope note).	Destroy when property is disposed of or transfer to new owners. (See instruction on the transfer of custody and ownership of Commonwealth records in Introduction)
	<i>[For construction, major renovation or restoration of buildings, structures or environs, use PROPERTY MANAGEMENT – Construction.</i>	
	<i>For ongoing maintenance of property, use PROPERTY MANAGEMENT – Maintenance.]</i>	
1808 	Records documenting the restoration of contaminated land.	Retain as national archives
	<i>[For inspection to identify the type of contamination, use PROPERTY MANAGEMENT - Inspection.]</i>	

## PROPERTY MANAGEMENT

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Note: Care should be taken when using this function for records covering the management of specialised premises, ie purpose-built, specialised premises supporting core functions or with unique design features eg army barracks, immigration detention centres, Lucas Heights Nuclear Reactor Building or Mt Stromlo Observatory. While this function should provide sufficient coverage for the majority of property management matters relating to specialised premises, there may be unique business and/or recordkeeping requirements that will necessitate specific coverage for specialized premises within an agency's own Records Authority.

### Construction

The process of making or building something.

*For tendering of work to support construction activities, use PROPERTY MANAGEMENT - Tendering.*

*For managing the performance of contracted-out services to support the construction process, use PROCUREMENT - Contracting-out.*

*For the planning of construction programs, use PROPERTY MANAGEMENT - Planning.*

*For submissions to Cabinet and the Parliamentary Works Committee seeking support for construction projects, use GOVERNMENT RELATIONS - Submissions.*


Class No	Description of records	Disposal action
1809 ■■■■■■■■■■	Records documenting construction activities carried out on properties of national significance (see functional scope note). Includes: <ul style="list-style-type: none"> <li>• records of consultations (eg with owners and local authorities);</li> <li>• specifications;</li> <li>• building plans; and</li> <li>• project management records.</li> </ul>	Retain as national archives
20986 ■■■■■■■■■■	Records documenting the construction activities for properties without national significance (see functional scope note). Includes: <ul style="list-style-type: none"> <li>• records of consultations (eg with owners and local authorities);</li> <li>• specifications;</li> <li>• building plans; and</li> <li>• project management records.</li> </ul>	Destroy 7 years after property is disposed of or, if required, transfer to new owners. (See instruction on the transfer of custody and ownership of Commonwealth records in Introduction)
1811 ■■■■■■■■■■	Records documenting construction activities not proceeded with.	Destroy 7 years after decision to suspend construction activities

## PROPERTY MANAGEMENT

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Note: Care should be taken when using this function for records covering the management of specialised premises, ie purpose-built, specialised premises supporting core functions or with unique design features eg army barracks, immigration detention centres, Lucas Heights Nuclear Reactor Building or Mt Stromlo Observatory. While this function should provide sufficient coverage for the majority of property management matters relating to specialised premises, there may be unique business and/or recordkeeping requirements that will necessitate specific coverage for specialized premises within an agency's own Records Authority.


### Construction - Continued

Class No	Description of records	Disposal action
1812 	Working papers documenting the construction activities on properties without national significance (see functional scope note.)	Destroy when reference ceases

### 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.

*For information on records issues relating to outsourcing and contracting-out see General Disposal Authority 25.*

Class No	Description of records	Disposal action
1813 	Records documenting contract management relating to the property management function. Includes: <ul style="list-style-type: none"><li>minutes of meetings with main stakeholders; and</li><li>performance and evaluation reports.</li></ul>	Destroy 7 years after completion or other termination of contract

## PROPERTY MANAGEMENT





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Note: Care should be taken when using this function for records covering the management of specialised premises, ie purpose-built, specialised premises supporting core functions or with unique design features eg army barracks, immigration detention centres, Lucas Heights Nuclear Reactor Building or Mt Stromlo Observatory. While this function should provide sufficient coverage for the majority of property management matters relating to specialised premises, there may be unique business and/or recordkeeping requirements that will necessitate specific coverage for specialized premises within an agency's own Records Authority.

### Disposal

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

*For the disposal of property through a tendering process, use PROPERTY MANAGEMENT - Tendering.*


Class No	Description of records	Disposal action
1814 	Records documenting the disposal of properties of national significance (see functional scope note). Includes: <ul style="list-style-type: none"> <li>assessments and investigations;</li> <li>valuation certificates; and</li> <li>details of preparation undertaken before disposal ('making good').</li> </ul>	Retain as national archives
1815 	Records documenting the disposal of properties without national significance (see functional scope note) by sale, transfer, termination of lease, auction or destruction. Includes: <ul style="list-style-type: none"> <li>assessments and investigations;</li> <li>valuation certificates; and</li> <li>details of preparation undertaken before disposal ('making good').</li> </ul>	Destroy 7 years after last action
20987 	Signed contracts under seal, prior to 15 November 2005, and related records for the disposal of Commonwealth property in Western Australia when there is no tendering process.	Destroy 21 years after completion or other termination of contract
20988 	Signed contracts under seal and related records for the disposal of Commonwealth property in Victoria and South Australia when there is no tendering process.	Destroy 15 years after completion or other termination of contract

## PROPERTY MANAGEMENT

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Note: Care should be taken when using this function for records covering the management of specialised premises, ie purpose-built, specialised premises supporting core functions or with unique design features eg army barracks, immigration detention centres, Lucas Heights Nuclear Reactor Building or Mt Stromlo Observatory. While this function should provide sufficient coverage for the majority of property management matters relating to specialised premises, there may be unique business and/or recordkeeping requirements that will necessitate specific coverage for specialized premises within an agency's own Records Authority.

### Disposal - Continued

Class No	Description of records	Disposal action
20989 	Signed contracts under seal and related records documenting records for the disposal of Commonwealth property in New South Wales, Western Australia (from 15 November 2005), Queensland, Tasmania, Australian Capital Territory and Northern Territory when there is no tendering process.	Destroy 12 years after completion or other termination of contract

### 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.

Class No	Description of records	Disposal action
1819 	Records documenting the evaluation of matters relating to the property management function.	Destroy 5 years after action completed



## PROPERTY MANAGEMENT

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Note: Care should be taken when using this function for records covering the management of specialised premises, ie purpose-built, specialised premises supporting core functions or with unique design features eg army barracks, immigration detention centres, Lucas Heights Nuclear Reactor Building or Mt Stromlo Observatory. While this function should provide sufficient coverage for the majority of property management matters relating to specialised premises, there may be unique business and/or recordkeeping requirements that will necessitate specific coverage for specialized premises within an agency's own Records Authority.

### Fit-outs

The process of establishing or refurbishing a workplace. Includes painting, floor coverings, furnishings, furniture, partitions/walls fittings and equipment.

Class No	Description of records	Disposal action
1820 	Records documenting the fit-outs of properties of national significance (see functional scope note). Includes justification, notification of intent and assessment of obligations regarding heritage properties.	Retain as national archives
20990 	Records documenting fit-outs of properties without national significance (see functional scope note). Includes economic justification and any required notification of intent.  <i>[For construction activities, use PROPERTY MANAGEMENT - Construction.]</i>	Destroy 1 year after next fit-out or when property is disposed of, or transfer to new owner or lessee of property if applicable. (See instruction on the transfer of custody and ownership of Commonwealth records in Introduction)

## PROPERTY MANAGEMENT

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### 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 the installation of equipment. Also includes monitoring to ensure that the implementation goes according to schedule and that standards are met and includes first aid treatment.

Class No	Description of records	Disposal action
1822 ■■■■■■■■	Records documenting the implementation of counter-disaster plans after disasters such as fire and floods to property of national significance (see functional scope note). Includes a copy of the plan implemented in the disaster recovery process.	Retain as national archives
1823 ■■■■■■■■	Records documenting the implementation of counter-disaster plans after disasters such as fires and floods for properties without national significance (see functional scope note) both leased and owned. Includes a copy of the plan implemented in the disaster recovery process.	Destroy 7 years after disposal of building
1824 ■■■■■■■■	Records documenting the implementation of plans (other than counter disaster plans), policies and procedures relating to property management.	Destroy 5 years after action completed
1825 ■■■■■■■■	Records documenting arrangements relating to the flying of flags.	Destroy when reference ceases





## PROPERTY MANAGEMENT

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### Inspections

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

Class No	Description of records	Disposal action
1826 	Records documenting routine inspections of land, buildings or premises. Includes: <ul style="list-style-type: none"> <li>• requests for inspections; and</li> <li>• administrative arrangements and inspection reports.</li> </ul> <p><i>[For inspections carried out for the construction of a building, use PROPERTY MANAGEMENT- Construction.]</i></p>	Destroy 5 years after action completed
1827 	Records documenting inspections undertaken to determine whether asbestos and other hazardous substances are present in a building or land. <p><i>[For the removal of hazardous substances, use PROPERTY MANAGEMENT - Maintenance.</i></p> <p><i>For OH&amp;S related routine inspections and regular inspections of asbestos material, use OCCUPATIONAL HEALTH &amp; SAFETY (OH&amp;S) - Inspections.</i></p> <p><i>For audit related inspections, use PROPERTY MANAGEMENT - Audit.</i></p> <p><i>For decontamination of land, use PROPERTY MANAGEMENT- Conservation.]</i></p>	Destroy 75 years after last action or transfer copies to new owner if sold before this date. (See instruction on the transfer of custody and ownership of Commonwealth records in Introduction)

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### Installation

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

*For the installation of furniture and fittings, use PROPERTY MANAGEMENT - Fit-outs.*



Class No	Description of records	Disposal action
20991 	Records documenting installation of equipment (eg heating, plumbing, air-conditioning, security equipment and cabling) in properties. Includes arranging installations and location details (eg fire panel, alarm panels).	Destroy after replacement of equipment or when property is disposed of, or transfer to new owner or lessee of property if applicable. (See instruction on the transfer of custody and ownership of Commonwealth records in Introduction)
	<i>[For the installation of cabling from the point of entry of service to outlets for technology and telecommunications equipment and facilities, use TECHNOLOGY &amp; TELECOMMUNICATIONS - Installation.]</i>	

### Insurance

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

*For records relating to insurance claims, use PROPERTY MANAGEMENT - Claims.*

*For managing financial transactions supporting insurance activities, use FINANCIAL MANAGEMENT - Accounting and/or FINANCIAL MANAGEMENT - Payments.*

Class No	Description of records	Disposal action
1829 	Property insurance policies.	Destroy 7 years after policy expires
1830 	Records documenting the annual renewal of property insurance policies.	Destroy 1 year after action completed


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### Inventory

The activities associated with listing and preparing lists of items and assets in the possession of the organisation.

Class No	Description of records	Disposal action
1831 	Inventories relating to the property management function.	Destroy when reference ceases

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### Leasing

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

*For the leasing-out of accommodation, premises or real-estate to another organisation or individual, use PROPERTY MANAGEMENT – Leasing-out.*

*For agreements made to support the property management function, use PROPERTY MANAGEMENT – Agreements.*

Class No	Description of records	Disposal action
1832 ■■■■■■■■	Records documenting the leasing of property (ie where the agency is the lessee). Includes: <ul style="list-style-type: none"> <li>• space and accommodation assessments;</li> <li>• negotiations;</li> <li>• cost-benefit analysis;</li> <li>• assessments; and</li> <li>• signed leases.</li> </ul>	Destroy 7 years after lease expires or is terminated
1833 ■■■■■■■■	Records documenting the on-going management of leases.  <i>[For legal advice received on the leasing of property, use LEGAL SERVICES - Advice.</i>  <i>For repairs and maintenance to leased properties, use PROPERTY MANAGEMENT - Maintenance.</i>  <i>For managing financial transactions associated with leasing activities, use FINANCIAL MANAGEMENT- Accounting and FINANCIAL MANAGEMENT - Payments.]</i>	Destroy 7 years after lease expires or is terminated
20992 ■■■■■■■■	Records relating to the leasing of property which is not proceeded with.	Destroy 2 years after action completed.

## PROPERTY MANAGEMENT

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### Leasing-out

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

*For the leasing of accommodation, premises or real estate from another organisation or individual, use PROPERTY MANAGEMENT – Leasing.*

*For agreements made to support the property management function, use PROPERTY MANAGEMENT – Agreements.*

Class No	Description of records	Disposal action
1834 	Records documenting leasing-out arrangements (ie where the agency is the lessor), including leasing residential accommodation to individual employees. Includes negotiations and signed leases.	Destroy 7 years after lease expires or is terminated
1835 	Working papers documenting the on-going management of leases where the agency is the lessor.	Destroy 7 years after lease expires or is terminated
	<i>[For legal advice received on the leasing-out of property, use LEGAL SERVICES - Advice.</i>	
	<i>For repairs and maintenance to leased properties, use PROPERTY MANAGEMENT - Maintenance.]</i>	
20993 	Records relating to the leasing-out of property which is not proceeded with.	Destroy 2 years after action completed

## PROPERTY MANAGEMENT



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### Lost Property

The activities involved in collecting and managing items of property lost by staff or members of the public on agency premises. Includes maintaining registers of lost property, liaising with owners of lost property and disposing of unclaimed lost property.

*For lost property protocols and procedures, use PROPERTY MANAGEMENT - Procedures.*

Class No	Description of records	Disposal action
20994 	Records documenting the collection and management of items of property lost by staff or members of the public on agency premises. Includes: <ul style="list-style-type: none"><li>• correspondence with owners of lost property;</li><li>• property deposit/claim receipts; and</li><li>• records of disposal arrangements (eg destruction, sale, return of property).</li></ul>	Destroy 2 years after last action
20995 	Lost property register.	Destroy 5 years after last entry

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### Maintenance

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

*For tendering cleaning services and other contracted-out services for the maintenance of property, use PROPERTY MANAGEMENT - Tendering.*

*For the management of contracting-out maintenance services, use PROPERTY MANAGEMENT - Contracting-out.*

*For planning maintenance programs, use PROPERTY MANAGEMENT - Planning.*

Class No	Description of records	Disposal action
1836 	Records documenting repairs made to properties of national significance (see functional scope note) after a disaster (eg fire, floods etc).	Retain as national archives
	<i>[For the implementation of a counter-disaster plan, use PROPERTY MANAGEMENT - Implementation.</i>	
	<i>For construction work carried out after a disaster, use PROPERTY MANAGEMENT - Construction.</i>	
	<i>For fit-outs carried out after a disaster, use PROPERTY MANAGEMENT - Fit-outs.]</i>	
1837 	Records documenting repairs made to properties without national significance (see functional scope note) after a disaster (eg fire, floods etc).	Destroy when property is disposed of or transfer to new owners. (See instruction on the transfer of custody and ownership of Commonwealth records in Introduction)
	<i>[For the implementation of a counter disaster plan, use PROPERTY MANAGEMENT - Implementation.</i>	
	<i>For construction work carried out after a disaster, use PROPERTY MANAGEMENT - Construction.</i>	
	<i>For fit-outs carried out after a disaster, use PROPERTY MANAGEMENT - Fit-outs.]</i>	
1838 	Records documenting major maintenance work carried out during the lifetime of a building (eg sometimes referred to as the maintenance history of a building).	Retain for the life of the property and transfer to new owner of the property

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### Maintenance - Continued

Class No	Description of records	Disposal action
1839 ■■■■■■■■■■	Records documenting the removal and disposal of hazardous materials (including asbestos) from the fabric of the building.  <i>[For inspections carried out to identify the presence of hazardous materials in a building, use PROPERTY MANAGEMENT - Inspections. For the ongoing inspections of the state of asbestos in buildings, use OH&amp;S - Inspections. For plant testing and maintenance to meet OH&amp;S compliance requirements, use OH&amp;S - Compliance.]</i>	Destroy 75 years after removal of hazardous materials
1840 ■■■■■■■■■■	Records documenting removal, storage and disposal of hazardous waste (eg chemicals from laboratories and pesticides).  <i>[For the storage of hazardous materials, use EQUIPMENT &amp; STORES - Arrangements.]</i>	Destroy 30 years after last action
1841 ■■■■■■■■■■	Records documenting the removal of non-toxic waste, including classified waste.	Destroy 2 years after action completed
1842 ■■■■■■■■■■	Records documenting the maintenance of cooling water systems. Includes operating and maintenance manuals, test results and service log sheets for cooling towers.  <i>[For the inspection of water cooling systems, use PROPERTY MANAGEMENT - Inspections.]</i>	Destroy 7 years after action completed





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### Maintenance - Continued

Class No	Description of records	Disposal action
1843 	Records documenting routine upkeep, repair and maintenance activities (eg cleaning, painting, pest control, grounds maintenance and electrical maintenance).	Destroy 2 years after action completed
	<i>[For material safety data sheets, use OH&amp;S - Health Promotion.]</i>	
1844 	Records documenting the monitoring of building management systems or energy management systems.	Destroy 3 years after last action

### Meetings

The activities associated with ad hoc gatherings held to formulate, discuss, update or resolve issues and matters pertaining to the management of the section, department, or organisation as a whole. Includes arrangements, agenda, taking of minutes etc. Excludes committee meetings.

Class No	Description of records	Disposal action
1845 	Final version of minutes and supporting documents tabled at meetings held to support the property management function. Includes meetings with external agencies.	Destroy 7 years after action completed
1846 	Working papers documenting the conduct and administration of meetings held to support the property management function. Includes agenda, notices of meetings and draft minutes.	Destroy when reference ceases


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### Moving

The process of relocation of an agency, business unit, workgroup or individual.

Class No	Description of records	Disposal action
1847 	Records documenting the relocation of an agency's business operations. Includes inventories, costings and records detailing arrangements with removalists.	Destroy 2 years after last action

*[For tendering to select a removalist, use PROPERTY MANAGEMENT - Tendering.*

*For the management of contracting-out arrangements, use PROPERTY MANAGEMENT - Contracting-out.*

*For the relocation of individual employees, use PERSONNEL - Moving.]*

## PROPERTY MANAGEMENT






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### Planning

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

*For diagrams and drawings used to support the property management function, use the appropriate activity.*

Class No	Description of records	Disposal action
1848 	Final version of plans to support the management of properties of national significance (see functional scope note).	Retain as national archives
1849 	Final version of agency-wide property management plans. Includes: <ul style="list-style-type: none"> <li>• counter disaster plan;</li> <li>• annual maintenance plans;</li> <li>• acquisition and disposal plans; and</li> <li>• space usage plans.</li> </ul> <p><i>[For implementation of counter disaster plans, use PROPERTY MANAGEMENT - Implementation.]</i></p>	Destroy 6 years after plan is superseded
1850 	Final version of a section or business unit's property management plans, including state, regional or overseas offices.	Destroy 3 years after plan is superseded
1851 	Working papers used in developing all property management plans. Includes draft plans, reports analysing issues, and comments received from other areas of the agency.	Destroy 1 year after adoption of the final plan
1852 	Copies of all property management plans.	Destroy when reference ceases

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### Policy

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

Class No	Description of records	Disposal action
1853 	Records documenting the development and establishment of the agency's property management policies (eg energy policy). Includes: <ul style="list-style-type: none"><li>• policy proposals;</li><li>• research papers;</li><li>• results of consultations;</li><li>• supporting reports;</li><li>• major drafts; and</li><li>• final policy documents.</li></ul>	Destroy 7 years after policy is superseded
1854 	Records documenting comments made on the development of government-wide property management policies.	Destroy 2 years after promulgation of new policy
1855 	Working papers documenting the development of all property management policies.	Destroy 2 years after promulgation of new policy
1856 	Copies of policy documents and supporting papers.	Destroy when reference ceases




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### Procedures

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

Class No	Description of records	Disposal action
1857 	Master set of agency manuals, handbooks, directives etc detailing procedures supporting the property management function. Includes emergency procedures.	Destroy 5 years after procedures are superseded
1858 	Records documenting the development of agency procedures supporting the property management function.	Destroy 2 years after procedures are superseded
1859 	Copies of manuals, handbooks, directives etc.	Destroy when reference ceases

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### Reporting

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

Class No	Description of records	Disposal action
1860 	Final versions of formal internal reports and reports made to external agencies on properties of national significance (see functional scope note).	Retain as national archives
1861 	Final versions of formal internal reports and reports made to external agencies relating to properties without national significance (see functional scope note). Includes reports based on the Commonwealth Property Principles.	Destroy 10 years after action completed
1862 	Final versions of periodic internal reports on general administrative matters used to monitor and document recurring activities to support the property management function.	Destroy 3 years after action completed
1863 	Records documenting property surveys requested by the central office of an agency (eg fire and security surveys).	Destroy 2 years after action completed
1864 	Working papers documenting the development of reports. Includes drafts and comments received.	Destroy 2 years after action completed
1865 	Copies of property management reports.	Destroy when reference ceases




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### Reviewing

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

Class No	Description of records	Disposal action
1866 	Records documenting the review of programs and operations impacting on the management of properties of national significance (see functional scope note). Includes documents establishing the review, final report and action plan.	Retain as national archives
1867 	Records documenting a review of programs and operations impacting on the management of properties without national significance (see functional scope note). Includes documents establishing the review, final report and action plan. Includes reviews based on the Commonwealth Property Principles.	Destroy 5 years after last action
1868 	Working papers documenting a review of agency programs and operations supporting the property management function.	Destroy 2 years after last action

### 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.

Class No	Description of records	Disposal action
1869 	Records documenting risk management including each stage of the process, risk assessments, treatment schedules and action plans. Includes risk assessment reports for water cooling systems.	Destroy 7 years after next risk assessment
1870 	Property management risk register.	Destroy 7 years after next risk assessment


## PROPERTY MANAGEMENT

The function of managing land and working, storage, or living space within premises, and of acquiring, constructing, fitting-out, managing, maintaining, protecting and disposing of premises. Includes buildings and land allotments owned, rented, or leased by the organisation. Also includes the removal of pollutants and waste. This function also covers properties owned by the Commonwealth or Commonwealth institutions which have national significance including natural, historic and indigenous significance and are listed in the Register of the National Estate, by the World Heritage Commission, classified by the National Trusts or on State heritage listings.

Note: Care should be taken when using this function for records covering the management of specialised premises, ie purpose-built, specialised premises supporting core functions or with unique design features eg army barracks, immigration detention centres, Lucas Heights Nuclear Reactor Building or Mt Stromlo Observatory. While this function should provide sufficient coverage for the majority of property management matters relating to specialised premises, there may be unique business and/or recordkeeping requirements that will necessitate specific coverage for specialized premises within an agency's own Records Authority.

### 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.

Class No	Description of records	Disposal action
1871 	Records documenting major security breaches or incidents (eg which result in the laying of charges, or where sabotage is strongly suspected). Includes: <ul style="list-style-type: none"> <li>• break-ins;</li> <li>• unauthorised access or entry/trespass;</li> <li>• intrusions into restricted areas;</li> <li>• terrorism;</li> <li>• intentional damage;</li> <li>• bomb threats;</li> <li>• fires;</li> <li>• records of investigations; and</li> <li>• liaison with law-enforcement agencies.</li> </ul>	Retain as national archives

*[For disciplinary action resulting from a breach involving APS employees, use PERSONNEL - Discipline.*

*For breaches involving information, use INFORMATION MANAGEMENT - Security.*

*For breaches involving equipment, use EQUIPMENT & STORES - Security.*

*For breaches involving technology, use TECHNOLOGY & TELECOMMUNICATIONS - Security.]*





## PROPERTY MANAGEMENT

The function of managing land and working, storage, or living space within premises, and of acquiring, constructing, fitting-out, managing, maintaining, protecting and disposing of premises. Includes buildings and land allotments owned, rented, or leased by the organisation. Also includes the removal of pollutants and waste. This function also covers properties owned by the Commonwealth or Commonwealth institutions which have national significance including natural, historic and indigenous significance and are listed in the Register of the National Estate, by the World Heritage Commission, classified by the National Trusts or on State heritage listings.

Note: Care should be taken when using this function for records covering the management of specialised premises, ie purpose-built, specialised premises supporting core functions or with unique design features eg army barracks, immigration detention centres, Lucas Heights Nuclear Reactor Building or Mt Stromlo Observatory. While this function should provide sufficient coverage for the majority of property management matters relating to specialised premises, there may be unique business and/or recordkeeping requirements that will necessitate specific coverage for specialized premises within an agency's own Records Authority.

### Security - Continued




Class No	Description of records	Disposal action
1872 	Records documenting minor security breaches or incidents (eg which do not result in the laying of charges, or where sabotage is not suspected).	Destroy 5 years after incident
	<p><i>[For disciplinary action resulting from a breach involving APS employees, use PERSONNEL - Discipline.</i></p> <p><i>For breaches involving information, use INFORMATION MANAGEMENT - Security.</i></p> <p><i>For breaches involving equipment, use EQUIPMENT &amp; STORES - Security.</i></p> <p><i>For breaches involving technology, use TECHNOLOGY &amp; TELECOMMUNICATIONS - Security.]</i></p>	
1873 	Records documenting property guarding, surveillance and patrol operations. Includes rosters and security reports.	Destroy 2 years after last action
	<p><i>[For tendering for the provision of security services, use PROPERTY MANAGEMENT - Tendering.</i></p> <p><i>For managing the performance of contracted-out security activities, use PROPERTY MANAGEMENT - Contracting-out.]</i></p>	

## PROPERTY MANAGEMENT

The function of managing land and working, storage, or living space within premises, and of acquiring, constructing, fitting-out, managing, maintaining, protecting and disposing of premises. Includes buildings and land allotments owned, rented, or leased by the organisation. Also includes the removal of pollutants and waste. This function also covers properties owned by the Commonwealth or Commonwealth institutions which have national significance including natural, historic and indigenous significance and are listed in the Register of the National Estate, by the World Heritage Commission, classified by the National Trusts or on State heritage listings.

Note: Care should be taken when using this function for records covering the management of specialised premises, ie purpose-built, specialised premises supporting core functions or with unique design features eg army barracks, immigration detention centres, Lucas Heights Nuclear Reactor Building or Mt Stromlo Observatory. While this function should provide sufficient coverage for the majority of property management matters relating to specialised premises, there may be unique business and/or recordkeeping requirements that will necessitate specific coverage for specialized premises within an agency's own Records Authority.

### Security - Continued

Class No	Description of records	Disposal action
1874 	Records documenting property access controls to secure areas. Includes: <ul style="list-style-type: none"> <li>• access registers (eg visitor books);</li> <li>• keys register;</li> <li>• security data logs;</li> <li>• issue of security passes to visitors; and</li> <li>• reports on responses to alarm warnings.</li> </ul> <p><i>[For the monitoring of building management systems (including security systems), use PROPERTY MANAGEMENT - Maintenance.</i></p> <p><i>For the issue of passes and identity cards to staff, use PERSONNEL - Security.]</i></p>	Destroy 3 years after action completed
1875 	Records of combinations for building locks.	Destroy when combination changes
1876 	Surveillance camera tapes.	Destroy when no longer required








## PROPERTY MANAGEMENT

The function of managing land and working, storage, or living space within premises, and of acquiring, constructing, fitting-out, managing, maintaining, protecting and disposing of premises. Includes buildings and land allotments either owned, rented, or leased by the organisation. Also includes the removal of pollutants and waste. This function also covers properties owned by the Commonwealth or Commonwealth institutions which have national significance including natural, historic and indigenous significance and are listed in the Register of the National Estate, by the World Heritage Commission, classified by the National Trusts or on State heritage listings.

Note: Care should be taken when using this function for records covering the management of specialised premises, ie purpose-built, specialised premises supporting core functions or with unique design features eg army barracks, immigration detention centres, Lucas Heights Nuclear Reactor Building or Mt Stromlo Observatory. While this function should provide sufficient coverage for the majority of property management matters relating to specialised premises, there may be unique business and/or recordkeeping requirements that will necessitate specific coverage for specialized premises within an agency's own Records Authority.

### 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.

Class No	Description of records	Disposal action
20996 	Records documenting the development and issue of tender documentation. Includes: business plan, Statement of Requirements, Request for Proposals, Expression of Interest, Request for Tender (RFT), draft contract and tender evaluation plan.	Destroy 7 years after tender process completed
1878 	Evaluation of tenders received against selection criteria. Includes records documenting arrangements for carrying out the evaluation process, evaluation report, recommendations, final report and public notices.	Destroy 7 years after tender process completed
1879 	Records documenting post-offer negotiations and due diligence checks.	Destroy 7 years after tender process completed
20997 	Records of unsuccessful tenders or a tender process where there is no suitable bidder, or where the tender process has been discontinued. Includes submissions, notification of outcome and reports on debriefing sessions.	Destroy 3 years after tender process completed or decision made not to continue with the tender
1881 	Tender register.	Destroy 7 years after last entry
20998 	Signed contracts under seal prior to 15 November 2005 resulting from tenders and supporting records: Western Australia. Includes the successful tender documentation.	Destroy 21 years after completion or other termination of contract
20999 	Signed contracts under seal resulting from tenders and supporting records: Victoria and South Australia. Includes the successful tender documentation.	Destroy 15 years after completion or other termination of contract

## PROPERTY MANAGEMENT

The function of managing land and working, storage, or living space within premises, and of acquiring, constructing, fitting-out, managing, maintaining, protecting and disposing of premises. Includes buildings and land allotments owned, rented, or leased by the organisation. Also includes the removal of pollutants and waste. This function also covers properties owned by the Commonwealth or Commonwealth institutions which have national significance including natural, historic and indigenous significance and are listed in the Register of the National Estate, by the World Heritage Commission, classified by the National Trusts or on State heritage listings.

Note: Care should be taken when using this function for records covering the management of specialised premises, ie purpose-built, specialised premises supporting core functions or with unique design features eg army barracks, immigration detention centres, Lucas Heights Nuclear Reactor Building or Mt Stromlo Observatory. While this function should provide sufficient coverage for the majority of property management matters relating to specialised premises, there may be unique business and/or recordkeeping requirements that will necessitate specific coverage for specialized premises within an agency's own Records Authority.

### Tendering - Continued

Class No	Description of records	Disposal action
21000 	Signed contracts under seal resulting from tenders and supporting records: New South Wales, Western Australia (from 15 November 2005), Queensland, Tasmania, Australian Capital Territory, Northern Territory. Includes the successful tender documentation.	Destroy 12 years after completion or other termination of contract
21001 	Signed simple contracts and agreements resulting from tenders and supporting records. Includes the successful tender documentation.	Destroy 7 years after completion or other termination of contract
1886 	Contract register.	Destroy 7 years after last entry

## PUBLICATION

The function of having works, irrespective of format, issued for sale or distribution internally or to the public. Includes drafting, manual or electronic production (design, layout, typesetting, printing etc.), marketing and supply of publications by the organisation. Includes external publications (such as technical papers, issues papers, articles for professional journals and reports) and leaflets which aim to promote the services and public image of the organisation; and internal publications (such as newsletters, circulars, procedure manuals etc.), which are not produced for public relations reasons. Also includes multi media publications, CD-ROM and on-line information services.

### Advice

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

Class No	Description of records	Disposal action
1887 ■■■■■■■■■■	Records documenting the receipt and provision of advice provided on the publication function.	Destroy 3 years after action completed

### Agreements

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

*For contracts and agreements entered into for publishing joint ventures, use PUBLICATION - Joint Venture.*

*For contracts concluded through carrying out a tendering process, use PROCUREMENT - Tendering.*



Class No	Description of records	Disposal action
1888 ■■■■■■■■■■	Final version of agreements made to support the agency's publication function.	Destroy 7 years after expiry or completion or termination of agreement
1889 ■■■■■■■■■■	Records documenting negotiations, establishment, maintenance and review of agreements.	Destroy 7 years after expiry or completion or termination of agreement
1890 ■■■■■■■■■■	Records documenting agreements made when an agency vests Crown copyright in another author or person/organisation.	Destroy 50 years after date of agreement or after the expiry date as specified in the agreement

## PUBLICATION

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### Committees

The activities associated with the managing of committees and task forces. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agenda etc.

Class No	Description of records	Disposal action
1891 	Records of internal and external committees formed to consider matters relating to the publication function. Includes: <ul style="list-style-type: none"><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>	Destroy 3 years after action completed
Includes both internal and external committees.		
1892 	Working papers documenting the conduct and administration of committees which consider matters relating to the publication function. Includes: <ul style="list-style-type: none"><li>agenda;</li><li>notices of minutes; and</li><li>draft minutes.</li></ul>	Destroy when reference ceases


## PUBLICATION

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### Compliance

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

*Other activities within this function may also be relevant to the Compliance activity.*

Class No	Description of records	Disposal action
1893 	Records documenting agency compliance with mandatory or optional standards or with statutory requirements for the publication function. Includes: <ul style="list-style-type: none"> <li>• lodgements of agency publications under the Commonwealth Library Deposit and Free Issues Scheme and Section 201 of the Copyright Act 1968;</li> <li>• allocation of ISBN, ISSN, barcodes and URL addresses;</li> <li>• the attachment of privacy statements to websites to support the Information Privacy Principles (IPP) specified in Section 14 of the Privacy Act 1988;</li> <li>• notification to lead agency (currently AusInfo) of new titles;</li> <li>• use of official symbols; and</li> <li>• Internet domain names.</li> </ul>	Destroy 7 years after action completed

### 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.

*For information on records issues relating to outsourcing and contracting-out see General Disposal Authority 25.*





Class No	Description of Records	Disposal Action
N/A	<i>[For records documenting contract management relating to the publication function, use PROCUREMENT – Contracting-out.]</i>	N/A

## PUBLICATION

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### Corporate Style

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

Class No	Description of records	Disposal action
1895 	Agency style manuals.	Destroy when style manual is superseded
1896 	Records documenting the development and approval of designs for agency logos, letterhead, stationery and publications incorporating the corporate image of the organisation.	Destroy when style superseded
<i>[For records documenting the production process, use PUBLICATION - Production.</i>		
<i>For records documenting forms design, use INFORMATION MANAGEMENT - Control.]</i>		
1897 	Records documenting rejected designs.	Destroy when reference ceases
1898 	Records documenting the implementation and administration of the approved corporate style for agency documents, stationery and publications.	Destroy when style superseded





## PUBLICATION

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### Disposal


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

*For records relating to disposal of non-agency publications, use INFORMATION MANAGEMENT - Disposal.*

Class No	Description of records	Disposal action
1899 	Duplicate agency publications produced before 1968 (ie before the commencement of legal deposit under the Copyright Act 1968). Undertake disposal action in accordance with Purchasing Australia's Guidelines for Surplus Asset Disposal, Canberra, Australian Government Publishing Service, 1996.	Destroy when reference ceases
1900 	Duplicate agency publications produced after 1968.	Destroy when reference ceases

### Distribution


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

Class No	Description of records	Disposal action
1901 	Records documenting the distribution activity for agency publications. Includes address lists.	Destroy when reference ceases

*[For accounting records supporting the sale of publications, use FINANCIAL MANAGEMENT - Accounting.]*

### Drafting

The activities associated with preparing preliminary drafts or outlines of addresses, reports, articles, plans, sketches, etc prior to production.

Class No	Description of records	Disposal action
1902 	Records documenting the drafting process of agency publications (including annual reports).	Destroy when reference ceases

*[For final electronic/paper drafts, use PUBLICATION - Production.]*

*For the drafting of legislation, use STRATEGIC MANAGEMENT - Legislation.]*

## PUBLICATION

The function of having works, irrespective of format, issued for sale or distribution internally or to the public. Includes drafting, manual or electronic production (design, layout, typesetting, printing etc.), marketing and supply of publications by the organisation. Includes external publications (such as technical papers, issues papers, articles for professional journals and reports) and leaflets which aim to promote the services and public image of the organisation; and internal publications (such as newsletters, circulars, procedure manuals etc.), which are not produced for public relations reasons. Also includes multi media publications, CD-ROM and on-line information services.

### Enquiries

The activities associated with handling requests for information about the organisation and its services by the general public, agency employees or another organisation.

Class No	Description of records	Disposal action
1903 ■■■■■■■■■■	Enquiries received from the public or another government agency seeking information about the agency's publications.	Destroy after action completed

### 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.

*For the evaluation of equipment, goods and services being considered for procurement in support of the publication function, use PROCUREMENT – Evaluation.*

Class No	Description of records	Disposal action
1904 ■■■■■■■■■■	Records documenting the evaluation of publication programs and products (eg websites and publications).	Destroy 5 years after evaluation completed
1905 ■■■■■■■■■■	Records documenting the evaluation of manuscripts against the agency's publication plan and selection criteria.	Destroy 2 years after evaluation completed

*[For manuscripts chosen for publication, use PUBLICATION - Production.]*

## PUBLICATION

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### 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 the 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.

*For handling infringements of an organisation's intellectual property, use LEGAL SERVICES - Infringements.*

*For the establishment and general management of intellectual property, use LEGAL SERVICES - Intellectual Property.*

*For the payment and receipt of royalties, use FINANCIAL MANAGEMENT - Accounting and/or FINANCIAL MANAGEMENT - Payments.*

Class No	Description of records	Disposal action
1906 	Requests from the public and other agencies for permission to reproduce either published or unpublished material in which the agency retains copyright. Includes liaison with the lead agency (currently AusInfo).	Destroy 7 years after action completed
1907 	Applications made by the agency to reproduce published material held under copyright by another agency, organisation or individual.	Destroy 7 years after action completed

*[For agreements undertaken to vest Crown copyright in another author or person/organisation, use PUBLICATION - Agreements.]*

## PUBLICATION

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### Joint Ventures

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

Class No	Description of records	Disposal action
1908 	Records documenting the management of publishing joint ventures. Includes records relating to the establishment, maintenance and review of joint venture agreements and contracts.	Destroy 7 years after action completed
21002 	Signed joint venture contracts under seal prior to 15 November 2005 and supporting records: Western Australia.	Destroy 21 years after completion or other termination of contract
1910 	Signed joint venture contracts under seal and supporting records: Victoria and South Australia.	Destroy 15 years after completion or other termination of contract
21003 	Signed joint venture contracts under seal and supporting records: New South Wales, Western Australia (from 15 November 2005), Queensland, Australian Capital Territory and Tasmania.	Destroy 12 years after completion or other termination of contract
1912 	Signed simple joint venture contracts and agreements and supporting records.	Destroy 7 years after completion or other termination of contract

## PUBLICATION

The function of having works, irrespective of format, issued for sale or distribution internally or to the public. Includes drafting, manual or electronic production (design, layout, typesetting, printing etc.), marketing and supply of publications by the organisation. Includes external publications (such as technical papers, issues papers, articles for professional journals and reports) and leaflets which aim to promote the services and public image of the organisation; and internal publications (such as newsletters, circulars, procedure manuals etc.), which are not produced for public relations reasons. Also includes multi media publications, CD-ROM and on-line information services.

### Marketing

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

Class No	Description of records	Disposal action
1913 ■■■■■■■■■■	Records documenting the marketing of publications. Includes research and assessment of products against market trends, sale forecasting, pricing and liaison with retailers.	Destroy 5 years after action completed
	<i>[For the development of a marketing plan, use PUBLICATION - Planning.]</i>	
1914 ■■■■■■■■■■	Records documenting the promotion of agency publications. Includes arranging advertising, product launches, displays at appropriate venues and photographs taken.	Destroy 3 years after action completed
1915 ■■■■■■■■■■	Records documenting the sale of an agency's publications. Includes the receipt and processing of orders.	Destroy 1 year after sale
	<i>[For managing financial transactions supporting the sale of the agency's publications, use FINANCIAL MANAGEMENT - Accounting.]</i>	

### Meetings

The activities associated with ad hoc gatherings held to formulate, discuss, update or resolve issues and matters pertaining to the management of the section, department, or organisation as a whole. Includes arrangements, agenda, taking of minutes etc. Excludes committee meetings.

Class No	Description of records	Disposal action
1916 ■■■■■■■■■■	Final version of minutes and supporting documents tabled at meetings held to support the publication function. Includes meetings with external agencies.	Destroy 3 years after action completed
1917 ■■■■■■■■■■	Working papers documenting the conduct and administration of meetings held to support the publication function. Includes agenda, notices of meetings and draft minutes.	Destroy when reference ceases

## PUBLICATION

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### Planning

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

Class No	Description of records	Disposal action
1918 ■■■■■■■■■■	Final version of agency-wide publication plans.	Destroy 3 years after plan is superseded
1919 ■■■■■■■■■■	Final version of a section or business unit's publication plans, including state, regional or overseas office.	Destroy 3 years after plan is superseded
1920 ■■■■■■■■■■	Final version of publication project plan for the production of a specific product or publication.	Destroy 1 year after production of publication
1921 ■■■■■■■■■■	Final version of marketing plans for a specific product or publication.	Destroy 3 years after action completed
1922 ■■■■■■■■■■	Working papers used to develop all publication plans. Includes draft plans, reports analysing issues, and comments received and input made by other areas of the agency.	Destroy 1 year after adoption of the final plan
1923 ■■■■■■■■■■	Copies of all publication plans.	Destroy when reference ceases

## PUBLICATION

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### Policy

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

Class No	Description of records	Disposal action
1924 ■■■■■■■■■■	Records documenting the development and establishment of the agency's publication policies. Includes: <ul style="list-style-type: none"> <li>• policy proposals;</li> <li>• research papers;</li> <li>• results of consultations;</li> <li>• supporting reports;</li> <li>• major drafts; and</li> <li>• final policy documents.</li> </ul>	Destroy 5 years after policy is superseded
1925 ■■■■■■■■■■	Records documenting comments made on the development of government-wide publication policies.	Destroy 2 years after promulgation of new policy
1926 ■■■■■■■■■■	Working papers documenting the development of all publication policies.	Destroy 2 years after promulgation of new policy
1927 ■■■■■■■■■■	Copies of policy documents and supporting papers.	Destroy when reference ceases

### Procedures

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




Class No	Description of records	Disposal action
1928 ■■■■■■■■■■	Master set of agency manuals, handbooks, directives etc detailing procedures supporting the publication function.	Destroy when procedures are superseded
1929 ■■■■■■■■■■	Records documenting the development of agency procedures supporting the publication function.	Destroy 1 year after production of procedures
1930 ■■■■■■■■■■	Copies of manuals, handbooks, directives etc.	Destroy when reference ceases

## PUBLICATION

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### Production

The process involved in producing material into an end result or output, eg a product or publication. Includes design, layout, typesetting, desktop publishing, printing, binding etc.





Class No	Description of records	Disposal action
1931 	Master set of agency publications produced before 1968 (ie before the commencement of legal deposit under the Copyright Act 1968).  <i>[For the disposal of duplicate agency publications produced before 1968, use PUBLICATIONS - Disposal.]</i>	Retain as national archives
1932 	Agency publications produced after 1968 (ie after commencement of legal deposit with the National Library of Australia under the Copyright Act, 1968 which was extended to include the Commonwealth Library Deposit and Free Issues Scheme in 1970). Includes all publications on CD-ROMs, disks, videos, audio tapes produced for the public using Commonwealth funding and covers: <ul style="list-style-type: none"> <li>• books;</li> <li>• booklets;</li> <li>• brochures;</li> <li>• conference proceedings;</li> <li>• pamphlets;</li> <li>• programs;</li> <li>• newsletters;</li> <li>• published reports (eg annual reports);</li> <li>• published training material;</li> <li>• maps;</li> <li>• plans;</li> <li>• charts;</li> <li>• posters;</li> <li>• greeting cards;</li> <li>• calendars; and</li> <li>• reprints of journal articles.</li> </ul> <i>[For the disposal of duplicate agency publications produced after 1968, use PUBLICATIONS - Disposal.]</i>	(1) Lodge with NLA according to legal deposit requirements and adhere to the Commonwealth Library Deposit and Free Issues Scheme and  (2) place master set with agency's Library and retain according to 4.1 of ALIA Guidelines for Aust. Special Libraries.
21188 	Publications produced only in an electronic format on an agency's public website.	Retain as national archives



## PUBLICATION

The function of having works, irrespective of format, issued for sale or distribution internally or to the public. Includes drafting, manual or electronic production (design, layout, typesetting, printing etc.), marketing and supply of publications by the organisation. Includes external publications (such as technical papers, issues papers, articles for professional journals and reports) and leaflets which aim to promote the services and public image of the organisation; and internal publications (such as newsletters, circulars, procedure manuals etc.), which are not produced for public relations reasons. Also includes multi media publications, CD-ROM and on-line information services.


### Production - Continued

Class No	Description of records	Disposal action
1934 	Master copy of agency-produced films.	Retain as national archives
1935 	Snapshot of agency's public website taken in accordance with National Archives policy on archiving websites.	Retain as national archives
	<p><i>[For carrying out a risk analysis to determine the timing of taking a snapshot of an agency's website, use PUBLICATIONS - Risk Management.</i></p> <p><i>For system logs recording changes to websites and intranet site, use TECHNOLOGY &amp; TELECOMMUNICATIONS - Control.]</i></p>	
1936 	Snapshot of agency's intranet site, extranet sites and websites hosted on behalf of other organisations taken in accordance with National Archives policy on archiving websites.	Destroy when reference ceases
21189 	Agency publications other than those paper publications lodged with the National Library of Australia (NLA) under legal deposit or electronic publications selected for preservation by the NLA's Pandora project (eg procedures, manuals and circulars).	Destroy according to disposal action directed under a relevant function in this Authority or an agency's RDA

## PUBLICATION

The function of having works, irrespective of format, issued for sale or distribution internally or to the public. Includes drafting, manual or electronic production (design, layout, typesetting, printing etc.), marketing and supply of publications by the organisation. Includes external publications (such as technical papers, issues papers, articles for professional journals and reports) and leaflets which aim to promote the services and public image of the organisation; and internal publications (such as newsletters, circulars, procedure manuals etc.), which are not produced for public relations reasons. Also includes multi media publications, CD-ROM and on-line information services.

### Production - Continued

Class No	Description of records	Disposal action
1938	Records documenting the production process.	Destroy 3 years after production
	<p>For paper-based publications includes:</p> <ul style="list-style-type: none"> <li>• graphic design;</li> <li>• indexing;</li> <li>• final drafts of publications (electronic/paper version);</li> <li>• proof-reading; and</li> <li>• printing/binding.</li> </ul> <p>For electronic publications includes:</p> <ul style="list-style-type: none"> <li>• graphic design;</li> <li>• preparation of source files;</li> <li>• marking-up of document, including applying metadata;</li> <li>• quality assurance and testing of final HTML files;</li> <li>• creation of master version;</li> <li>• production of electronic media products (eg CD-ROMs, diskettes); and</li> <li>• updating and maintaining information and websites.</li> </ul> <p>For films and videos:</p> <ul style="list-style-type: none"> <li>• production script;</li> <li>• selection of a production company; and</li> <li>• liaison with production company.</li> </ul> <p><i>[For the activities associated with the preparation of drafts prior to publication, use PUBLICATION - Drafting.</i></p> <p><i>For documenting the assignment of identifiers (eg URL, ISSN and ISBN), use PUBLICATION - Compliance.</i></p> <p><i>For planning the production of a specific product or publication, use PUBLICATION - Planning.]</i></p>	

## PUBLICATION

The function of having works, irrespective of format, issued for sale or distribution internally or to the public. Includes drafting, manual or electronic production (design, layout, typesetting, printing etc.), marketing and supply of publications by the organisation. Includes external publications (such as technical papers, issues papers, articles for professional journals and reports) and leaflets which aim to promote the services and public image of the organisation; and internal publications (such as newsletters, circulars, procedure manuals etc.), which are not produced for public relations reasons. Also includes multi media publications, CD-ROM and on-line information services.

### Reporting

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

Class No	Description of records	Disposal action
1939 ■■■■■■■■■■	Final version of formal internal reports and reports made to external agencies relating to the publication function.	Destroy 5 years after action completed
1940 ■■■■■■■■■■	Final version of periodic internal reports on general administrative matters used to monitor and document recurring activities to support the publication function. Includes work progress reports, production reports, reports against work plans and reports on statistical and other surveys.	Destroy 3 years after action completed
1941 ■■■■■■■■■■	Working papers documenting the development of all reports. Includes drafts and comments received.	Destroy 1 year after action completed
1942 ■■■■■■■■■■	Copies of publication reports.	Destroy when reference ceases

### 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 the business activities of the organisation in general. Includes following up enquiries relating to organisational programs, projects, working papers, literature searches etc.

Class No	Description of records	Disposal action
1943 ■■■■■■■■■■	Records documenting research undertaken to support major publications of the agency.	Destroy 6 years after publication
1944 ■■■■■■■■■■	Records documenting routine research undertaken to support other publications of the agency.	Destroy 1 year after publication

## PUBLICATION

The function of having works, irrespective of format, issued for sale or distribution internally or to the public. Includes drafting, manual or electronic production (design, layout, typesetting, printing etc.), marketing and supply of publications by the organisation. Includes external publications (such as technical papers, issues papers, articles for professional journals and reports) and leaflets which aim to promote the services and public image of the organisation; and internal publications (such as newsletters, circulars, procedure manuals etc.), which are not produced for public relations reasons. Also includes multi media publications, CD-ROM and on-line information services.

### Reviewing

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

Class No	Description of records	Disposal action
1945 ■■■■■■■■■■	Records documenting a review of agency programs and operations supporting the publication function. Includes documents establishing the review, final report and action plan.	Destroy 5 years after action completed
1946 ■■■■■■■■■■	Working papers documenting a review of agency programs and operations supporting the publication function.	Destroy 2 years after action completed

### Risk Management

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


Class No	Description of records	Disposal action
1947 ■■■■■■■■■■	Records documenting risk management relating to the publication function (eg risk analysis to determine timing for a snapshot to be taken of the agency's web/intranet site). Includes records covering each stage of the process.	Destroy 7 years after last snapshot of website was taken
1948 ■■■■■■■■■■	Records documenting other risk management analysis undertaken to support the publication function. Includes records covering each stage of the process, treatment schedules and action plans.	Destroy 7 years after next risk assessment
1949 ■■■■■■■■■■	Publications risk register.	Destroy 7 years after last risk assessment

## PUBLICATION

The function of having works, irrespective of format, issued for sale or distribution internally or to the public. Includes drafting, manual or electronic production (design, layout, typesetting, printing etc.), marketing and supply of publications by the organisation. Includes external publications (such as technical papers, issues papers, articles for professional journals and reports) and leaflets which aim to promote the services and public image of the organisation; and internal publications (such as newsletters, circulars, procedure manuals etc.), which are not produced for public relations reasons. Also includes multi media publications, CD-ROM and on-line information services.

### Stocktake

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

Class No	Description of records	Disposal action
1950 	Records documenting stocktakes of agency's publications (eg stocktake lists). Includes recommendations for the reprint/reproduction of a publication.	Destroy 2 years after action completed

### Tendering

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

Class No	Description of Records	Disposal Action
N/A	<i>[For the acquisition of goods and services required to support the publication function via a tender process, use PROCUREMENT - Tendering.]</i>	N/A

## STAFF DEVELOPMENT

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

### 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.

Class No	Description of Records	Disposal Action
N/A	<i>[For the acquisition of goods and services required to support the staff development function where there is no tender or contracting out process, use PROCUREMENT – Acquisition.]</i>	N/A

### Addresses (presentations)


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

*For the publication of addresses in conference proceedings or training material, use PUBLICATION - Production.*

Class No	Description of records	Disposal action
1962 	Final versions of addresses delivered to conferences and training courses supporting the staff development function.	Destroy when reference ceases
1963 	Records documenting the preparation of addresses. Includes working papers and drafts.	Destroy when reference ceases

### Advice

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


Class No	Description of records	Disposal action
1964 	Records relating to the receipt and provision of advice on the staff development function. Includes the procurement and distribution of advice on training courses.	Destroy 3 years after action completed

## STAFF DEVELOPMENT

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

### 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 (eg travelling allowances).

Class No	Description of records	Disposal action
1965 	Records documenting the payment of allowances to employees to attend training courses.	Destroy 7 years after action completed

*[For the payment of allowances to employees, use FINANCIAL MANAGEMENT - Salaries.]*

### Arrangements

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

Class No	Description of records	Disposal action
1966 	Records relating to travel and accommodation arrangements made for employees to attend training courses and conferences.	Destroy 1 year after action completed

## STAFF DEVELOPMENT

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

### Audit

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

Class No	Description of records	Disposal action
1967 ■■■■■■■■■■	Final versions of internal and external audit reports relating to the staff development function. Includes agency skills audit reports.	Destroy 5 years after report is completed
1968 ■■■■■■■■■■	Records documenting the planning and conduct of internal and external audits relating to the staff development function. Includes: <ul style="list-style-type: none"><li>• liaison with the auditing body;</li><li>• minutes of meetings;</li><li>• notes taken at opening and exit interviews;</li><li>• draft report; and</li><li>• comments.</li></ul>	Destroy 2 years after action completed

*[For the identification of training and development needs of individuals, use PERSONNEL- Performance Management.]*

### Authorisation

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

Class No	Description of records	Disposal action
1969 ■■■■■■■■■■	Delegations of power to agency staff to authorise administrative action relating to the staff development function.	Destroy 7 years after delegation expires
1970 ■■■■■■■■■■	Authorisations for administrative action relating to the staff development function.	Destroy 7 years after action completed



## STAFF DEVELOPMENT

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

### Committees

The activities associated with the managing of committees and task forces. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agenda etc.

Class No	Description of records	Disposal action
1971 ■■■■■■■■■■	Records of internal and external committees formed to consider matters relating to the staff development function. Includes: <ul style="list-style-type: none"><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>	Destroy 3 years after action completed
1972 ■■■■■■■■■■	Working papers documenting the conduct and administration of committees which consider matters relating to the staff development function. Includes: <ul style="list-style-type: none"><li>• agenda;</li><li>• notices of meetings; and</li><li>• draft minutes.</li></ul>	Destroy when reference ceases

### Compliance

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

*Other activities within this function may also be relevant to the Compliance activity.*







Class No	Description of records	Disposal action
1973 ■■■■■■■■■■	Records documenting agency compliance with mandatory or optional standards or with statutory requirements relating to the staff development function.	Destroy 7 years after action completed

## STAFF DEVELOPMENT

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

### Conferences

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

Class No	Description of records	Disposal action
1974 	Records documenting conferences arranged by the agency to support the staff development function. Includes: <ul style="list-style-type: none"> <li>• program development;</li> <li>• invitations to speakers;</li> <li>• promotion activities;</li> <li>• registrations;</li> <li>• venue bookings; and</li> <li>• copies of financial statements.</li> </ul>	Destroy 3 years after action completed
1975 	Reports commenting on and assessing agency-arranged conferences held to support the staff development function.	Destroy 5 years after action completed
1976 	Master copies of unpublished proceedings and reports, speeches and papers from agency arranged conferences to support the staff development function.	Destroy 5 years after last action
<i>[For published agency-arranged conference proceedings, use PUBLICATIONS - Production.]</i>		
1977 	Records documenting the attendance of staff at conferences arranged by other organisations. Includes conference promotion material, programs and conference registration forms.	Destroy when reference ceases
<i>[For travel and accommodation arrangements made for staff to attend conferences, use STAFF DEVELOPMENT - Arrangements.]</i>		
1978 	Copies of published conference proceedings and official reports received at conferences arranged by other organisations.	Place one copy in agency library or information centre. Destroy when reference ceases
1979 	Assessments of conferences arranged by other organisations.	Destroy 3 years from the date of the conference

## STAFF DEVELOPMENT

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

### 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.

*For information on records issues relating to outsourcing and contracting-out see General Disposal Authority 25.*

Class No	Description of Records	Disposal Action
N/A	<i>[For records documenting contract management relating to the staff development function, use PROCUREMENT – Contracting-out]</i>	N/A

### 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.

Class No	Description of records	Disposal action
1981 ■■■■■■■■■■	Records documenting the evaluation of potential or existing activities, programs and events relating to an agencies staff development function.	Destroy 5 years after evaluation

*[For the evaluation of goods and services being considered for procurement in support of the staff development function (eg training packages), use PROCUREMENT – Evaluation.]*

### Meetings

The activities associated with ad hoc gatherings held to formulate, discuss, update or resolve issues and matters pertaining to the management of the section, department, or organisation as a whole. Includes arrangements, agenda, taking of minutes etc. Excludes committee meetings.


Class No	Description of records	Disposal action
1982 ■■■■■■■■■■	Final version of minutes and supporting documents tabled at meetings held to support the staff development function. Includes meetings with external agencies.	Destroy 3 years after action completed
1983 ■■■■■■■■■■	Working papers documenting the conduct and administration of meetings held to support the staff development function. Includes agenda, notices of meetings and draft minutes.	Destroy when reference ceases

## STAFF DEVELOPMENT

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

### Planning

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

Class No	Description of records	Disposal action
1984 	Final version of agency-wide staff development plans. Includes training project management plans.	Destroy 5 years after plan is superseded
1985 	Final version of a section or business unit's staff development plans, including state, regional or overseas office.	Destroy 3 years after plan is superseded
1986 	Working papers used to develop all staff development plans. Includes draft plans, reports analysing issues, and comments received from other areas of the agency.	Destroy 1 year after adoption of the final plan
1987 	Copies of all staff development plans.	Destroy when reference ceases

## STAFF DEVELOPMENT

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

### Policy

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

Class No	Description of records	Disposal action
1988 ██████████	Records documenting the development and establishment of the agency's staff development policies. Includes: <ul style="list-style-type: none"> <li>• policy proposals;</li> <li>• research papers;</li> <li>• results of consultations;</li> <li>• supporting reports;</li> <li>• major drafts; and</li> <li>• final policy documents.</li> </ul>	Destroy 5 years after policy is superseded
1989 ██████████	Records documenting comments made on the development of government-wide staff development policies.	Destroy 1 year after promulgation of the new policy
1990 ██████████	Working papers documenting the development of all staff development policies.	Destroy 1 year after promulgation of the new policy
1991 ██████████	Copies of policy documents and supporting papers.	Destroy when reference ceases

### Procedures

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

Class No	Description of records	Disposal action
1992 ██████████	Master set of agency manuals, handbooks, directives etc detailing procedures supporting the staff development function.	Destroy when procedures are superseded
1993 ██████████	Records documenting the development of agency procedures supporting the staff development function.	Destroy 1 year after production of procedures
1994 ██████████	Copies of manuals, handbooks, directives etc.	Destroy when reference ceases

## STAFF DEVELOPMENT

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

### Reporting

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

Class No	Description of records	Disposal action
1995 ■■■■■■■■■■	Final version of formal reports and reports made to external agencies relating to the staff development function. Includes general staff surveys.	Destroy 5 years after action completed
1996 ■■■■■■■■■■	Final version of periodic reports on general administrative matters used to monitor and document recurring activities to support the staff development function.	Destroy 3 years after action completed
1997 ■■■■■■■■■■	Working papers documenting the development of all reports. Includes drafts and comments received.	Destroy 1 year after action completed
1998 ■■■■■■■■■■	Copies of staff development reports.	Destroy when reference ceases

### Reviewing

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

Class No	Description of records	Disposal action
1999 ■■■■■■■■■■	Records documenting a review of agency programs and operations supporting the staff development function. Includes documents establishing the review, final report and action plan.	Destroy 5 years after action completed
2000 ■■■■■■■■■■	Working papers documenting a review of agency programs and operations supporting the staff development function.	Destroy 2 years after action completed

## STAFF DEVELOPMENT

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

### 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.

Class No	Description of Records	Disposal Action
N/A	<i>[For the acquisition of goods and services required to support the staff development function via a tender process, use PROCUREMENT - Tendering.]</i>	N/A

### Training

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

Class No	Description of records	Disposal action
2011 ■■■■■■■■■■	Records documenting the administration of government-wide initiatives (eg the administration of the Training Guarantee [Administration] Act 1990-1996).	Destroy 5 years after action completed
2012 ■■■■■■■■■■	Records documenting the administration of specific study schemes (eg Studybank, scholarships, agency-supported apprenticeship and other specific trainee schemes).	Destroy 7 years after action completed
2013 ■■■■■■■■■■	Records detailing staff attendance at both internal and external courses.	Destroy 3 years after action completed
2014 ■■■■■■■■■■	Records detailing administrative arrangements supporting the attendance of staff on training courses. Includes confirmation of course attendance and lodgement of application forms.  <i>[For travel and accommodation arrangements made for staff to attend training courses, use STAFF DEVELOPMENT - Arrangements.]</i>	Destroy 2 years after action completed
2015 ■■■■■■■■■■	Notices of examination results of either internal or external courses attended by staff.  <i>[Individual formal assessments and examination results should be kept on the staff member's personnel history file. In such instances, use PERSONNEL - Cases.]</i>	Destroy 7 years after action completed

## STAFF DEVELOPMENT

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

### Training - Continued

Class No	Description of records	Disposal action
2016 ██████████	Records documenting assessments of internally and externally conducted courses. Includes course evaluations made by staff after attending courses.	Destroy 3 years after action completed
2017 ██████████	<p>Master set of training material for courses run internally by the agency (eg induction courses, graduate training and training of volunteers). Includes:</p> <ul style="list-style-type: none"> <li>• programs;</li> <li>• lecture notes;</li> <li>• hand-outs; and</li> <li>• films and videos.</li> </ul> <p><i>[For publishing training material, use PUBLICATION - Production.]</i></p>	Destroy when course is superseded or when training material is no longer relevant
2018 ██████████	Working papers documenting the development of training material for courses run internally by the agency.	Destroy 1 year after training material is produced
2019 ██████████	<p>Records detailing administrative arrangements supporting the conduct of training courses run internally by the agency. Includes:</p> <ul style="list-style-type: none"> <li>• processing applications;</li> <li>• venue bookings;</li> <li>• hire of equipment;</li> <li>• catering; and</li> <li>• copies of financial records.</li> </ul> <p><i>[For the payment of accounts supporting the running of internal courses, use FINANCIAL MANAGEMENT - Accounting and Payments.]</i></p>	Destroy 2 years after action completed
2020 ██████████	Records documenting occupational health and safety (OH&S) training provided to agency staff including managers and OH&S representatives. Includes hazardous substance training and training provided to staff working in confined spaces.	Destroy 50 years after training is completed
2021 ██████████	Occupational health and safety (OH&S) training register.	Destroy 50 years after last entry




## STRATEGIC MANAGEMENT

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

### Advice



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

Class No	Description of records	Disposal action
21004 	Records documenting the receipt and provision of advice relating to the strategic management function.	Destroy 5 years after action completed

*[For the receipt or provision of advice to the portfolio Minister or government agencies, use GOVERNMENT RELATIONS - Advice.]*

### Agreements

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



Class No	Description of records	Disposal action
2022 	Final version of agreements made to support the agency's strategic management function. Includes service level agreements made between various units of the agency.	Destroy 5 years after agreement expires or is superseded
2023 	Records documenting negotiations, establishment, maintenance and review of agreements.	Destroy 5 years after agreement expires or is superseded

## STRATEGIC MANAGEMENT

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

### Audit

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



Class No	Description of records	Disposal action
2024 	Final internal and external audit reports relating to the strategic management function.	Destroy 10 years after action completed
2025 	Records documenting the planning and conduct of internal and external audits relating to the strategic management function. Includes: <ul style="list-style-type: none"><li>• liaison with the auditing body;</li><li>• minutes of meetings;</li><li>• notes taken at opening and exit interviews;</li><li>• draft report; and</li><li>• comments.</li></ul>	Destroy 5 years after action completed

## STRATEGIC MANAGEMENT

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

### Committees

The activities associated with the managing of committees and task forces. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agenda etc.



Class No	Description of records	Disposal action
2026 	Records documenting high-level corporate committees with overall responsibility for making major decisions in the area of agency policy and agency corporate planning (eg executive management boards). Includes: <ul style="list-style-type: none"> <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>	Retain as national archives
2027 	Records of internal committees formed to consider specific matters relating to the strategic management function (eg audit committee, steering committees and ad hoc committees). Includes: <ul style="list-style-type: none"> <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 and discussion papers.</li> </ul>	Destroy 10 years after action completed

*[Other committees that have a strategic management perspective should be linked to more specific functions (eg use PERSONNEL - Committees for personnel committees, and TECHNOLOGY & TELECOMMUNICATIONS - Committees for information technology steering committees).]*

## STRATEGIC MANAGEMENT

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


### Committees - Continued

Class No	Description of records	Disposal action
2028 	Records documenting external or inter-agency committees formed to consider strategic management issues where the agency is a member. Includes: <ul style="list-style-type: none"><li>• documents establishing the committee;</li><li>• appointment of members;</li><li>• minutes; and</li><li>• supporting documents such as briefing and discussion papers.</li></ul>	Destroy 5 years after action completed
2029 	Working papers documenting the conduct and administration of all committees which consider matters relating to the strategic management function. Includes: <ul style="list-style-type: none"><li>• agenda;</li><li>• notices of minutes; and</li><li>• draft minutes.</li></ul>	Destroy when reference ceases

### Compliance

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

*Other activities within this function may also be relevant to the Compliance activity.*

Class No	Description of records	Disposal action
2030 	Records documenting agency compliance with broad legislative and regulatory requirements.	Destroy 7 years after action completed

## STRATEGIC MANAGEMENT

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

### 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.

*For information on records issues relating to outsourcing and contracting-out see General Disposal Authority 25.*

Class No	Description of Records	Disposal Action
N/A	<i>[For records documenting contract management relating to the strategic management function, use PROCUREMENT – Contracting-out.]</i>	N/A

### Customer Service

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

*For specific plans supporting customer service strategies, use STRATEGIC MANAGEMENT - Planning.*

*For an agency's customer service policy, use STRATEGIC MANAGEMENT - Policy.*

Class No	Description of records	Disposal action
2032 ■■■■■■■■■■	Records documenting the development of agency-wide strategies to deliver quality customer services.	Destroy 5 years after strategies are superseded
2033 ■■■■■■■■■■	Records documenting development of an agency-wide service charter.	Destroy 5 years after Service Charter is superseded

*[For the development of specific service charters, use the activity Customer Service under COMMUNITY RELATIONS and INFORMATION MANAGEMENT.*

*For the development and production of the publication of the service charter, use PUBLICATION - Planning and PUBLICATION - Production.]*

## STRATEGIC MANAGEMENT

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

### 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.

Class No	Description of records	Disposal action
2034 ■■■■■■■■■■	Records documenting the evaluation of an agency's strategic programs and services.	Destroy 5 years after action completed

*[For the evaluation of goods and services being considered for procurement in support of the strategic management function, use PROCUREMENT – Evaluation.*

*For the evaluation of performance management programs, use STRATEGIC MANAGEMENT – Performance Management.]*

### Fraud

The processes which allow the disclosure of fraud, and strategies for the prevention of fraud. Includes involvement in fraud prevention projects and the education of staff about fraud disclosures.

*This function/activity set should not be used by agencies who undertake fraud surveillance and associated action to support a core function. In such cases specific coverage should be included in the agency's own Records Authority.*

*For agency fraud control plan supporting Government policy, use STRATEGIC MANAGEMENT - Planning.*

*For financial management arrangements supporting the agency's fraud control plan, use FINANCIAL MANAGEMENT - Fraud.*

*For investigations into fraud allegations made against an employee, use PERSONNEL - Discipline.*

Class No	Description of records	Disposal action
2035 ■■■■■■■■■■	Records documenting the management of broad strategies to prevent fraud within the agency.	Destroy 7 years after strategies are superseded
2036 ■■■■■■■■■■	Records documenting the disclosure and investigation of fraud allegations made by or about an agency.	Destroy 7 years after action completed

## STRATEGIC MANAGEMENT

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

### Grant Funding

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

Class No	Description of records	Disposal action
2037 ■■■■■■■■■■	Records documenting the development of strategies for managing processes associated with the agency applying for grants.	Destroy 7 years after strategies are superseded

*[For specific plans supporting strategies for the receipt of grant funding, use STRATEGIC MANAGEMENT - Planning.*

*For an agency's grant funding policy, use STRATEGIC MANAGEMENT - Policy.*

*For the application and management of grant funding from a public source, use COMMUNITY RELATIONS - Grant Funding.*

*For the administration of grant funds received by an agency, use FINANCIAL MANAGEMENT - Grant Funding.]*

### 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 the installation of equipment. Also includes monitoring to ensure that the implementation goes according to schedule and that standards are met and includes first aid treatment.


Class No	Description of records	Disposal action
2038 ■■■■■■■■■■	Records documenting the implementation of plans, policies, strategies, procedures and instructions formulated to support the strategic management function. Includes monitoring the implementation activities.	Destroy 3 years after action completed

## STRATEGIC MANAGEMENT

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

### Legislation

The process of making laws. Includes Local, State, Commonwealth and overseas Acts, Bills and subsections of Acts, and amendments to each.

Class No	Description of records	Disposal action
2039 	Records documenting the development of proposals for new legislation and amendments to existing legislation administered by the agency. Includes submissions prepared for the agency's executive or corporate management board.	Retain as national archives

*[For submissions to the portfolio Minister and to Cabinet relating to legislative proposals, use GOVERNMENT RELATIONS - Submissions.*

*For records supporting the preparation and passage of agency legislation through Parliament, use GOVERNMENT RELATIONS - Legislation.*

*For advice provided to Cabinet, the portfolio Minister and other government agencies on the proposed legislation for the agency and for comments made on other agencies' proposed legislation, use GOVERNMENT RELATIONS - Advice.*

*For legal advice received on the interpretation of legislation, use LEGAL SERVICES - Advice.]*



## STRATEGIC MANAGEMENT

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

### Meetings

The activities associated with ad hoc gatherings held to formulate, discuss, update or resolve issues and matters pertaining to the management of the section, department, or organisation as a whole. Includes arrangements, agenda, taking of minutes etc. Excludes committee meetings.



Class No	Description of records	Disposal action
2040 ■■■■■■■■	Final version of minutes and supporting documents tabled at meetings held to support the strategic management function. Includes meetings with external agencies and internal management conferences held to discuss strategic issues.	Destroy 7 years after action completed
<i>[For records of meetings of governing bodies, use GOVERNING BODIES.</i>		
<i>For records of meetings of advisory bodies, use ADVISORY BODIES.]</i>		
2041 ■■■■■■■■	Copies of minutes and supporting documents tabled at meetings held to support the strategic management function convened by another agency or organisation.	Destroy 5 years after action completed
2042 ■■■■■■■■	Working papers documenting the conduct and administration of all meetings to support the strategic management function. Includes agenda, notices of meetings and draft minutes.	Destroy 1 year after action completed

## STRATEGIC MANAGEMENT

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

### Performance Management

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

Class No	Description of records	Disposal action
21005 	Records documenting the setting of performance expectations for the agency. Includes: <ul style="list-style-type: none"> <li>• statement of expectations;</li> <li>• statement of intent;</li> <li>• final versions of formal performance agreements (where appropriate); and</li> <li>• documentation of negotiations involved in setting performance expectations, including notes from meetings.</li> </ul> <p><i>[For the establishment of performance management agreements for governing bodies or members of governing bodies, use GOVERNING BODIES.]</i></p> <p><i>For individual employee performance agreements, use PERSONNEL – Performance Management.]</i></p>	Retain as national archives
21006 	Records documenting the corporate performance management evaluation and assessment process. Covers internally and externally conducted performance assessment processes. Includes: <ul style="list-style-type: none"> <li>• determination and evaluation of performance indicators;</li> <li>• assessment, evaluation and monitoring of activities as part of the performance improvement cycle of the agency against broader Commonwealth goals; and</li> <li>• preparation of performance reports.</li> </ul> <p><i>[For formal reporting of the outcomes of corporate performance management processes, use STRATEGIC MANAGEMENT – Reporting.]</i></p> <p><i>For identifying, evaluating and developing performance programs for agency staff, use PERSONNEL – Performance Management.]</i></p>	Destroy 5 years after action completed

## STRATEGIC MANAGEMENT

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

### Planning

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





Class No	Description of records	Disposal action
2044 ■■■■■■■■■■	Final version of agency-wide strategic or corporate plans.	Retain as national archives
2045 ■■■■■■■■■■	Final versions of national business plans and unit level work plans.	Destroy 5 years after plan is superseded
2046 ■■■■■■■■■■	Final versions of other plans formulated to support the management of specific strategic management activities (eg fraud control plan and human resource management plan).	Destroy 7 years after plan is superseded
2047 ■■■■■■■■■■	Working papers documenting the development of all strategic management plans. Includes input into plans, comments received and drafts.	Destroy 3 years after action completed
2048 ■■■■■■■■■■	Copies of all strategic management plans.	Destroy when reference ceases

## STRATEGIC MANAGEMENT

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

### Policy

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




Class No	Description of records	Disposal action
2049 	Records documenting the development and establishment of the agency's strategic management policies. Includes: <ul style="list-style-type: none"> <li>• policy proposals;</li> <li>• research papers;</li> <li>• results of consultations;</li> <li>• supporting reports;</li> <li>• major drafts;</li> <li>• final policy documents; and</li> <li>• national policy statements.</li> </ul> <p><i>[For the development of the Chief Executive instructions, use FINANCIAL MANAGEMENT - Policy.]</i></p>	Retain as national archives
2050 	Records documenting comments made on the development of government-wide strategic management policies.	Destroy 3 years after promulgation of the new policy
2051 	Working papers documenting the development of all strategic management policies.	Destroy 3 years after promulgation of the new policy
2052 	Copies of policy documents and supporting papers.	Destroy when reference ceases

## STRATEGIC MANAGEMENT

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

### Procedures

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

Class No	Description of records	Disposal action
2053 	Master set of agency manuals, handbooks, directives etc detailing procedures supporting the strategic management function.	Destroy when procedures are superseded
2054 	Records documenting the development of agency procedures supporting the strategic management function.	Destroy 1 year after production of procedures
2055 	Copies of manuals, handbooks, directives etc.	Destroy when reference ceases

## STRATEGIC MANAGEMENT

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

### Reporting

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

Class No	Description of records	Disposal action
2056 ■■■■■■■■■■	Final versions of formal internal reports and reports made to external agencies relating to the strategic management function.  <i>[For the Annual Report drafting process, use PUBLICATION - Drafting.</i>  <i>For the design, printing and retention of the final copy of an agency's Annual Report, use PUBLICATION - Production.</i>  <i>For the submission of the agency's Annual Report to the portfolio Minister, use GOVERNMENT RELATIONS - Compliance.]</i>	Retain as national archives
2057 ■■■■■■■■■■	Final versions of periodic internal reports on general administrative matters used to monitor and document recurring activities to support the strategic management function. Includes work progress reports against business and work plans and unit level performance reporting.	Destroy 7 years after action completed
2058 ■■■■■■■■■■	Working papers documenting the development of all reports. Includes drafts and comments received.	Destroy 2 years after action completed
2059 ■■■■■■■■■■	Copies of strategic management reports.	Destroy when reference ceases
2060 ■■■■■■■■■■	Responses to surveys by other agencies or by the central office of an agency.	Destroy 3 years after action completed

## STRATEGIC MANAGEMENT

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

### 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 the business activities of the organisation in general. Includes following up enquiries relating to organisational programs, projects, working papers, literature searches etc.

Class No	Description of records	Disposal action
2061 ■■■■■■■■	Records documenting major research carried out to support the strategic management function.	Destroy 5 years after action completed
2062 ■■■■■■■■	Records documenting minor research carried out to support the strategic management function.	Destroy when reference ceases

### Reviewing

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

*For reviews of an agency structure to meet organisational goals, use ESTABLISHMENT - Restructuring.*

Class No	Description of records	Disposal action
2063 ■■■■■■■■	Records documenting a review of agency programs and operations supporting the strategic management function. Includes documents establishing the review, final report and action plan.	Destroy 10 years after action completed
2064 ■■■■■■■■	Working papers documenting a review of agency programs and operations supporting the strategic management function.	Destroy 3 years after action completed

## STRATEGIC MANAGEMENT

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

### 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.

Class No	Description of records	Disposal action
2065 ■■■■■■■■■■	Records documenting risk management including each stage of the process, risk assessments, treatment schedules and action plans.	Destroy 7 years after next risk assessment
2066 ■■■■■■■■■■	Strategic management risk register.	Destroy 7 years after next risk assessment

### Standards

The process of implementing industry or organisational benchmarks for services and processes to enhance the quality and efficiency of the organisation.

*For compliance with standards (except where other activities apply), use STRATEGIC MANAGEMENT - Compliance.*

Class No	Description of records	Disposal action
2067 ■■■■■■■■■■	Records documenting the implementation of industry and agency standards to support the strategic management function.	Destroy 7 years after action completed

### Tendering

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

Class No	Description of Records	Disposal Action
N/A	<i>[For the acquisition of goods and services required to support the strategic management function via a tender process, use PROCUREMENT - Tendering.]</i>	N/A



## TECHNOLOGY & TELECOMMUNICATIONS

The function of developing or acquiring, testing and implementing applications, systems and databases to support the business needs of the organisation, to capture, store, retrieve, transfer, communicate and disseminate information through automated systems. Includes the evaluation of software and hardware and the acquisition, tendering, leasing, licensing and disposal of systems. Also includes communication network systems 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.

*For the assessment of suitability of technology and telecommunications equipment, goods and services and the development of specifications, use TECHNOLOGY & TELECOMMUNICATIONS - Evaluation.*

Class No	Description of Records	Disposal Action
N/A	<i>[For the acquisition of technology and telecommunications equipment, goods and services where there is no tender or contract process, use PROCUREMENT – Acquisition.</i>	N/A
	<i>For the purchase of technology and telecommunications equipment, goods and services by tender, use PROCUREMENT - Tendering.]</i>	

### Advice

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

Class No	Description of records	Disposal action
2081 	Records documenting the receipt and provision of external advice on technology and telecommunications issues. Includes advice provided by consultants.	Destroy 5 years after action completed
	<i>[For the management of contracts with consultants, use PROCUREMENT – Contracting-out.]</i>	
2082 	Records documenting the receipt and provision of internal advice on technology and telecommunications issues.	Destroy 1 year after action completed

## TECHNOLOGY & TELECOMMUNICATIONS

The function of developing or acquiring, testing and implementing applications, systems and databases to support the business needs of the organisation, to capture, store, retrieve, transfer, communicate and disseminate information through automated systems. Includes the evaluation of software and hardware and the acquisition, tendering, leasing, licensing and disposal of systems. Also includes communication network systems such as video conferencing, voice mail and electronic mail and the technical aspects of the Internet, Intranet and Web Sites.

### Agreements

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

*For agreements relating to the acquisition of technology and telecommunications equipment, goods and services, use PROCUREMENT.*

*For lease agreements, use PROCUREMENT - Leasing or TECHNOLOGY & TELECOMMUNICATIONS - Leasing-out.*

Class No	Description of records	Disposal action
21007 ██████████	Final version of agreements made relating to the technology and telecommunications function (eg Memoranda of Understanding).	Destroy 7 years after completion or other termination of agreement
2084 ██████████	Records documenting negotiations, establishment, maintenance and review of agreements made.	Destroy 7 years after completion or other termination of agreement

### Allocation

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


Class No	Description of records	Disposal action
2085 ██████████	Records documenting the allocation of equipment, services, facilities or software to individuals or organisational units. Includes the allocation of international subscriber dialling, subscriber trunk dialling, voicemail facilities and mobile phones.	Destroy 3 years after last action

## TECHNOLOGY & TELECOMMUNICATIONS

The function of developing or acquiring, testing and implementing applications, systems and databases to support the business needs of the organisation, to capture, store, retrieve, transfer, communicate and disseminate information through automated systems. Includes the evaluation of software and hardware and the acquisition, tendering, leasing, licensing and disposal of systems. Also includes communication network systems 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.

Class No	Description of records	Disposal action
2086 	Records documenting the development, modification and maintenance of specific applications to meet business needs which go into production. Includes: <ul style="list-style-type: none"> <li>• feasibility studies;</li> <li>• pilot studies;</li> <li>• final version of all system documentation, user and technical manuals;</li> <li>• application specific data dictionaries;</li> <li>• final version of business rules;</li> <li>• final version of user requirements;</li> <li>• final version of system specifications;</li> <li>• rectification of problems (includes Year 2000 remediation);</li> <li>• requests for system changes; and</li> <li>• final sign-off by all parties.</li> </ul>	Destroy 5 years after (sub)system is defunct and any data supported is either migrated or destroyed

*[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.]*

## TECHNOLOGY & TELECOMMUNICATIONS

The function of developing or acquiring, testing and implementing applications, systems and databases to support the business needs of the organisation, to capture, store, retrieve, transfer, communicate and disseminate information through automated systems. Includes the evaluation of software and hardware and the acquisition, tendering, leasing, licensing and disposal of systems. Also includes communication network systems such as video conferencing, voice mail and electronic mail and the technical aspects of the Internet, Intranet and Web Sites.

### Application Development - Continued


Class No	Description of records	Disposal action
2087 	Records documenting the development and modification of specific applications to meet business needs which do not go into production or are otherwise abandoned.  Includes: <ul style="list-style-type: none"><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>	Destroy 2 years after last action
2088 	Records documenting testing activities where unexpected results are found. Includes: <ul style="list-style-type: none"><li>• testing strategies;</li><li>• result forms; and</li><li>• test report.</li></ul>	Destroy when problem has been rectified
2089 	Records documenting testing activities where expected results are found. Includes: <ul style="list-style-type: none"><li>• testing strategies;</li><li>• result forms; and</li><li>• test report.</li></ul>	Destroy 7 years after action completed

## TECHNOLOGY & TELECOMMUNICATIONS


The function of developing or acquiring, testing and implementing applications, systems and databases to support the business needs of the organisation, to capture, store, retrieve, transfer, communicate and disseminate information through automated systems. Includes the evaluation of software and hardware and the acquisition, tendering, leasing, licensing and disposal of systems. Also includes communication network systems such as video conferencing, voice mail and electronic mail and the technical aspects of the Internet, Intranet and Web Sites.

### Audit

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


Class No	Description of records	Disposal action
2090 	Final internal and external audit reports relating to the technology and telecommunications function.	Destroy 5 years after action completed


*[For audit logs, use TECHNOLOGY & TELECOMMUNICATIONS - Control.]*

2091 	Records documenting the planning and conduct of internal and external audits relating to the technology and telecommunications function. Includes: <ul style="list-style-type: none"><li>• liaison with the auditing body;</li><li>• minutes of meetings;</li><li>• notes taken at opening and exit interviews;</li><li>• draft report; and</li><li>• comments.</li></ul>	Destroy 3 years after action completed
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### Authorisation

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

Class No	Description of records	Disposal action
2092 	Delegations of power to agency staff to authorise administrative action relating to the technology and telecommunications function.	Destroy 7 years after delegation expires



2093 	Authorisations for administrative action supporting the technology and telecommunications function.	Destroy 7 years after action completed
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## TECHNOLOGY & TELECOMMUNICATIONS

The function of developing or acquiring, testing and implementing applications, systems and databases to support the business needs of the organisation, to capture, store, retrieve, transfer, communicate and disseminate information through automated systems. Includes the evaluation of software and hardware and the acquisition, tendering, leasing, licensing and disposal of systems. Also includes communication network systems such as video conferencing, voice mail and electronic mail and the technical aspects of the Internet, Intranet and Web Sites.

### Committees

The activities associated with the managing of committees and task forces. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agenda etc.

Class No	Description of records	Disposal action
2094 	Records of committees and/or subcommittees formed to consider specific matters relating to the technology and telecommunications function (eg configuration control board). Includes: <ul style="list-style-type: none"><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>	Destroy 5 years after action completed
2095 	Working papers documenting the conduct and administration of committees which consider matters relating to the technology and telecommunications function. Includes: <ul style="list-style-type: none"><li>• agenda;</li><li>• notices of minutes; and</li><li>• draft minutes.</li></ul>	Destroy when reference ceases

## TECHNOLOGY & TELECOMMUNICATIONS


The function of developing or acquiring, testing and implementing applications, systems and databases to support the business needs of the organisation, to capture, store, retrieve, transfer, communicate and disseminate information through automated systems. Includes the evaluation of software and hardware and the acquisition, tendering, leasing, licensing and disposal of systems. Also includes communication network systems such as video conferencing, voice mail and electronic mail and the technical aspects of the Internet, Intranet and Web Sites.

### Compliance

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

*For Year 2000 compliance, use general classes under:*

- \* TECHNOLOGY & TELECOMMUNICATIONS - Implementation
- \* TECHNOLOGY & TELECOMMUNICATIONS - Planning
- \* TECHNOLOGY & TELECOMMUNICATIONS - Reviewing (including testing)
- \* TECHNOLOGY & TELECOMMUNICATIONS - Reporting
- \* TECHNOLOGY & TELECOMMUNICATIONS - Application Development
- \* TECHNOLOGY & TELECOMMUNICATIONS - Risk Management

Class No	Description of records	Disposal action
2096 	Records documenting agency compliance with mandatory or optional standards or with statutory requirements relating to the technology and telecommunications function.	Destroy 5 years after action completed

### 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.

*For information on records issues relating to outsourcing and contracting-out see General Disposal Authority 25.*

Class No	Description of Records	Disposal Action
N/A	<i>[For records documenting contract management relating to the technology &amp; telecommunications function, use PROCUREMENT – Contracting-out.</i>	N/A

## TECHNOLOGY & TELECOMMUNICATIONS

The function of developing or acquiring, testing and implementing applications, systems and databases to support the business needs of the organisation, to capture, store, retrieve, transfer, communicate and disseminate information through automated systems. Includes the evaluation of software and hardware and the acquisition, tendering, leasing, licensing and disposal of systems. Also includes communication network systems such as video conferencing, voice mail and electronic mail and the technical aspects of the Internet, Intranet and Web Sites.

### 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.

Class No	Description of records	Disposal action
2098 ■■■■■■■■■■	Records documenting the development of control mechanisms (eg authenticity and version control).  <i>[For development of business rules etc for recordkeeping metadata mechanisms, use INFORMATION MANAGEMENT - Control.]</i>	Destroy 5 years after mechanism is superseded
2099 ■■■■■■■■■■	System logs which are used to show a history of access or change to data (eg system access logs, internet access logs, system change logs and audit trails etc).	Destroy 7 years after action completed
2100 ■■■■■■■■■■	System logs which are not used to show a history of access or change to data (eg backup logs).	Destroy when reference ceases
2101 ■■■■■■■■■■	Records documenting the allocation and maintenance of metadata in electronic systems.  <i>[For the allocation of recordkeeping metadata, use INFORMATION MANAGEMENT - Control.]</i>	Destroy when reference ceases
2102 ■■■■■■■■■■	Records documenting the maintenance of e-mail address lists (internal and external) and/or telephone lists, telephone call pick up groups etc.	Destroy when reference ceases



## TECHNOLOGY & TELECOMMUNICATIONS

The function of developing or acquiring, testing and implementing applications, systems and databases to support the business needs of the organisation, to capture, store, retrieve, transfer, communicate and disseminate information through automated systems. Includes the evaluation of software and hardware and the acquisition, tendering, leasing, licensing and disposal of systems. Also includes communication network systems such as video conferencing, voice mail and electronic mail and the technical aspects of the Internet, Intranet and Web Sites.

### Customer Service

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

*For Help Desk services, use TECHNOLOGY & TELECOMMUNICATIONS - Operations.*

Class No	Description of records	Disposal action
2103 ■■■■■■■■■■	Records documenting the planning, monitoring and evaluation of customer services. Includes market research, feedback mechanisms and performance and response time monitoring.	Destroy 3 years after action completed
2104 ■■■■■■■■■■	Records documenting the development of internal service charters for the provision of technology and telecommunications services in an agency.	Destroy 3 years after superseded

### Data Administration

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

*For the allocation and maintenance of metadata in electronic systems, use TECHNOLOGY & TELECOMMUNICATIONS - Control.*

Class No	Description of records	Disposal action
2105 ■■■■■■■■■■	Records documenting the migration of records between electronic systems and from one electronic medium to another. Includes strategies for the migration and quality assurance checks to confirm accuracy of the migration process.	Destroy 1 year after data is either migrated again or destroyed

*[For the copying of records from one medium to another (eg paper to electronic), use INFORMATION MANAGEMENT - Data Administration.*

*For arranging the transfer or integration of systems following an administrative change, use TECHNOLOGY & TELECOMMUNICATIONS - Restructuring.]*

2106 ■■■■■■■■■■	Records documenting the maintenance of agency-wide data dictionaries.	Destroy when superseded
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*[For the maintenance of application specific data dictionaries, use TECHNOLOGY & TELECOMMUNICATIONS - Application Development.]*

## TECHNOLOGY & TELECOMMUNICATIONS

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### Database Management

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

*For the development and maintenance of database applications, use TECHNOLOGY & TELECOMMUNICATIONS - Application Development*

*For requests for password changes, use TECHNOLOGY & TELECOMMUNICATIONS - Operations.*

*For backup related issues, use TECHNOLOGY & TELECOMMUNICATIONS - Implementation.*

Class No	Description of records	Disposal action
2107 ■■■■■■■■■■	Records documenting database management. Includes requests for changes to schemas, views and configuration management.	Destroy 7 years after action completed
2108 ■■■■■■■■■■	Ad hoc requests for information from agency databases.	Destroy 1 year after action completed

### Disposal

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

*For the disposal of records in electronic systems in accordance with Records Disposal Authorities, use INFORMATION MANAGEMENT - Disposal.*

Class No	Description of records	Disposal action
2109 ■■■■■■■■■■	Records documenting the disposal of leased assets. Includes written notices and correspondence to and from leasing companies in relation to return of assets, handover report and notification that agency or their nominee wishes to purchase assets.	Destroy 3 years after disposal of asset
2110 ■■■■■■■■■■	Records documenting the disposal of Commonwealth owned assets. Includes independent valuation, certificate 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.	Destroy 7 years after disposal of asset

*[For the disposal of equipment and goods by tender, use PROCUREMENT - Tendering.]*

## TECHNOLOGY & TELECOMMUNICATIONS

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### 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.

Class No	Description of records	Disposal action
2111 ■■■■■■■■■■	Records documenting analysis of business processes. Includes systems analysis and business process analysis.	Destroy 7 years after action completed
2112 ■■■■■■■■■■	Records documenting the evaluation of potential or existing technology and telecommunications services and systems.	Destroy 7 years after action completed
2113 ■■■■■■■■■■	Records documenting the development and issue of specifications for technology and telecommunications equipment, goods and services. Includes statement of requirements, request for proposals, expression of interest and business case.	Destroy 7 years after last action
<i>[For Requests for Tender (RFT) and draft contract, use PROCUREMENT - Tendering.</i>		
<i>For the acquisition of equipment, goods and services by means other than tender, use PROCUREMENT - Acquisition.]</i>		
2114 ■■■■■■■■■■	Initial evaluation of 'commercial-off-the-shelf' (COTS) products and services and whole-of-government solutions 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.	Destroy 7 years after action completed
<i>[For the process of acquiring technology and telecommunications equipment, goods and services, use PROCUREMENT - Acquisition.</i>		
<i>For the management of technology and telecommunication contracts, use PROCUREMENT - Contracting-Out.</i>		
<i>For reevaluation of existing products and services, use TECHNOLOGY AND TELECOMMUNICATIONS - Reviewing.</i>		
<i>For the evaluation of the non-technological aspects of an evaluation, use appropriate function (eg FINANCIAL MANAGEMENT for the evaluation of a finance system and PERSONNEL for the evaluation of a personnel system).]</i>		

## TECHNOLOGY & TELECOMMUNICATIONS

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### Evaluation - Continued

Class No	Description of records	Disposal action
2115 	Records documenting investigations into the feasibility of contracting out technology and telecommunication activities.	Destroy 7 years after action completed
2116 	Records documenting assessments of, and input into, whole-of-government outsourcing solutions. Includes justification of decision not to proceed with such solutions.	Destroy 7 years after action completed

## TECHNOLOGY & TELECOMMUNICATIONS

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### 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 the installation of equipment. Also includes monitoring to ensure that the implementation goes according to schedule and that standards are met and includes first aid treatment.


Class No	Description of records	Disposal action
2117 ■■■■■■■■■■	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.  <i>[For the development of a counter-disaster plan covering the technology and telecommunications function, use TECHNOLOGY &amp; TELECOMMUNICATIONS - Planning.</i>  <i>For the recovery of information on an ad hoc basis, use TECHNOLOGY &amp; TELECOMMUNICATIONS - Operations.</i>  <i>For the implementation of the counter-disaster plan, vital records plan and emergency destruction plan within the organisation's information resources, use INFORMATION MANAGEMENT - Implementation.]</i>	Retain as national archives
2118 ■■■■■■■■■■	Records documenting the implementation of plans, policies, strategies, procedures and instructions formulated to support the technology and telecommunications function. Includes monitoring implementation activities (eg regular backups) and the introduction of new equipment and software to a wide audience.  <i>[For post implementation reviews, use TECHNOLOGY &amp; TELECOMMUNICATIONS - Reviewing.</i>  <i>For the non-technological aspects of an implementation, use the appropriate function (eg FINANCIAL MANAGEMENT for the implementation of a finance system and PERSONNEL for the implementation of a personnel system).]</i>	Destroy 5 years after action completed
2119 ■■■■■■■■■■	Records documenting project management of all technology and telecommunications projects.	Destroy 5 years after action completed

## TECHNOLOGY & TELECOMMUNICATIONS

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### Inspections


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

Class No	Description of records	Disposal action
2120 	Records documenting the routine inspection of technology and telecommunications assets and facilities (eg to ensure that unauthorised software or equipment is not being used).	Destroy 3 years after action completed


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

### Installation

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

Class No	Description of records	Disposal action
2121 	Records documenting installation, configuration and relocation of technology and telecommunications equipment and facilities. Includes cabling from wall socket to a device and configuration of network hubs.	Destroy 2 years after action completed

*[For the installation of cabling for communications networks from a network hub or PABX etc to a user wall socket or to the telecommunications provider point of entry, use PROPERTY MANAGEMENT- Installation.]*

2122 	Records documenting configuration of corporate software.	Destroy 5 years after software is defunct and any data supported is either migrated or destroyed
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## TECHNOLOGY & TELECOMMUNICATIONS

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### 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 the 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.

*For the establishment and general management of intellectual property, use LEGAL SERVICES - Intellectual Property.*

*For handling infringements of intellectual property, use LEGAL SERVICES - Infringements.*

*For the payment and receipt of royalties, use FINANCIAL MANAGEMENT - Accounting and/or FINANCIAL MANAGEMENT - Payments.*

Class No	Description of records	Disposal action
2123 ■■■■■■■■■■	Applications made by the agency to use portions of software developed by another agency, organisation or individual.	Destroy 7 years after action completed
	<i>[For the purchase of licences to use commercial-off-the-shelf (COTS) solutions, use PROCUREMENT - Acquisition.]</i>	
2124 ■■■■■■■■■■	Requests from the public and other agencies for permission to reproduce portions of agency-developed software.	Destroy 7 years after action completed

### Leasing

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


Class No	Description of Records	Disposal Action
N/A	<i>[For the leasing of technology and telecommunications equipment, use PROCUREMENT – Leasing.]</i>	N/A

## TECHNOLOGY & TELECOMMUNICATIONS

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### Leasing-out


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

Class No	Description of records	Disposal action
2126 	Records documenting arrangements for the leasing out of agency equipment and facilities to other bodies.	Destroy 7 years after lease expires or is terminated

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

### Maintenance

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

Class No	Description of records	Disposal action
2127 	Records documenting the maintenance and modification of technology and telecommunications assets.	Destroy 3 years after action completed

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

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

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



## TECHNOLOGY & TELECOMMUNICATIONS

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### Meetings

The activities associated with ad hoc gatherings held to formulate, discuss, update or resolve issues and matters pertaining to the management of the section, department, or organisation as a whole. Includes arrangements, agenda, taking of minutes etc. Excludes committee meetings.

Class No	Description of records	Disposal action
2128 ■■■■■■■■	Final version of minutes and supporting documents tabled at meetings held to support the technology and telecommunications function. Includes meetings with external agencies.	Destroy 3 years after action completed
2129 ■■■■■■■■	Working papers documenting the conduct and administration of meetings held to support the technology and telecommunications function. Includes agenda, notices of meetings and draft minutes.	Destroy when reference ceases

### Modelling

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


Class No	Description of records	Disposal action
2130 ■■■■■■■■	Development of business or technical models or prototypes used to support the technology and telecommunication function.  <i>[For systems analysis, use TECHNOLOGY &amp; TELECOMMUNICATIONS - Evaluation.</i>  <i>For models which support the application development activity, use TECHNOLOGY &amp; TELECOMMUNICATIONS - Application Development.]</i>	Destroy 7 years after action completed

## TECHNOLOGY & TELECOMMUNICATIONS

The function of developing or acquiring, testing and implementing applications, systems and databases to support the business needs of the organisation, to capture, store, retrieve, transfer, communicate and disseminate information through automated systems. Includes the evaluation of software and hardware and the acquisition, tendering, leasing, licensing and disposal of systems. Also includes communication network systems such as video conferencing, voice mail and electronic mail and the technical aspects of the Internet, Intranet and Web Sites.

### Operations

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

Class No	Description of records	Disposal action
2131 	Records relating to help desk operations. Includes: <ul style="list-style-type: none"><li>• minor maintenance and advice;</li><li>• technical assistance to an individual;</li><li>• requests to reset passwords; and</li><li>• requests to recover data from backup tapes, etc.</li></ul>	Destroy 1 year after action completed

*[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 (ie after a disaster), use TECHNOLOGY & TELECOMMUNICATIONS - Data Administration.]*

## TECHNOLOGY & TELECOMMUNICATIONS

The function of developing or acquiring, testing and implementing applications, systems and databases to support the business needs of the organisation, to capture, store, retrieve, transfer, communicate and disseminate information through automated systems. Includes the evaluation of software and hardware and the acquisition, tendering, leasing, licensing and disposal of systems. Also includes communication network systems such as video conferencing, voice mail and electronic mail and the technical aspects of the Internet, Intranet and Web Sites.

### Planning

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

*For project management/implementation plans (including Year 2000 implementation plans), use TECHNOLOGY & TELECOMMUNICATIONS - Implementation.*



Class No	Description of records	Disposal action
2132 ■■■■■■■■■■	Final version of agency-wide technology and telecommunications plans. Includes: <ul style="list-style-type: none"> <li>• System security plan;</li> <li>• Information system security plan;</li> <li>• Business continuity plan;</li> <li>• Forensic plan;</li> <li>• Information technology strategic management plan;</li> <li>• Access control plans;</li> <li>• Counter-disaster plans relating to technology and telecommunications; and</li> <li>• Telecommunications plan.</li> </ul> <p><i>[For the implementation of counter disaster plans and business continuity plans, use TECHNOLOGY &amp; TELECOMMUNICATIONS - Implementation.]</i></p>	Destroy 5 years after plan is superseded
2133 ■■■■■■■■■■	Final version of agency Year 2000 Compliance plan.	Destroy 7 years after all action contained in the plan is completed
2134 ■■■■■■■■■■	Final version of a section or business unit's technology and telecommunications plans, including state, regional or overseas office.	Destroy 3 years after plan is superseded
2135 ■■■■■■■■■■	Working papers used in developing all technology and telecommunications plans. Includes draft plans, reports analysing issues, and comments received from other areas of the agency.	Destroy 1 year after adoption of the final plan
2136 ■■■■■■■■■■	Copies of all technology and telecommunications plans.	Destroy when reference ceases

## TECHNOLOGY & TELECOMMUNICATIONS

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### Policy

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

Class No	Description of records	Disposal action
2137 	Records documenting the development and establishment of the agency's technology and telecommunications policies. Includes policy proposals, research papers, results of consultations, supporting reports and major drafts and final policy documents. Includes: <ul style="list-style-type: none"><li>• information system security policy;</li><li>• IT security policy ;</li><li>• small system security scheme policy; and</li><li>• mobile phone policy</li></ul> <p><i>[For an agency's overall information security policy, use INFORMATION MANAGEMENT - Policy.]</i></p>	Destroy 5 years after policy is superseded
2138 	Records documenting comments made on the development of government-wide policies.	Destroy 1 year after promulgation of the new policy
2139 	Working papers documenting the development of all technology and telecommunication policies.	Destroy 1 year after promulgation of the new policy
2140 	Copies of policy documents and supporting papers.	Destroy when reference ceases

## TECHNOLOGY & TELECOMMUNICATIONS

The function of developing or acquiring, testing and implementing applications, systems and databases to support the business needs of the organisation, to capture, store, retrieve, transfer, communicate and disseminate information through automated systems. Includes the evaluation of software and hardware and the acquisition, tendering, leasing, licensing and disposal of systems. Also includes communication network systems such as video conferencing, voice mail and electronic mail and the technical aspects of the Internet, Intranet and Web Sites.



### 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.

*For direction on the disposal of records relating to data matching, use General Disposal Authority 24.*

*For the mechanisms to protect privacy, use TECHNOLOGY AND TELECOMMUNICATIONS - Security.*

*For audit and access logs, use TECHNOLOGY & TELECOMMUNICATIONS - Control.*

Class No	Description of records	Disposal action
2141 	Records documenting the application of Information Privacy Principles and guidelines to agency technology and telecommunication applications and systems.	Destroy 7 years after action completed
2142 	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.	Destroy 5 years after action completed





*[For disciplinary action against staff for privacy related breaches, use PERSONNEL - Discipline.]*

## TECHNOLOGY & TELECOMMUNICATIONS

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### Procedures

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

Class No	Description of records	Disposal action
2143 	Master set of agency manuals, handbooks, directives etc detailing procedures supporting the technology and telecommunications function.	Destroy 5 years after procedures are superseded
	<i>[For user and technical manuals for agency developed applications, use TECHNOLOGY &amp; TELECOMMUNICATIONS - Application Development.]</i>	
2144 	Records documenting the development of agency procedures supporting the technology and telecommunications function.	Destroy 1 year after action completed
2145 	Copies of manuals, handbooks, directives etc.	Destroy when reference ceases
2146 	Operating manuals for technology and telecommunications equipment, facilities or software not developed by the agency.	Destroy when reference ceases or transfer to new owner on disposal of equipment, facilities or software
	<i>[For user and technical manuals developed for agency-developed applications, use TECHNOLOGY &amp; TELECOMMUNICATIONS - Application Development.</i>	
	<i>For distribution and implementation of procedures, use TECHNOLOGY &amp; TELECOMMUNICATIONS - Implementation.]</i>	

## TECHNOLOGY & TELECOMMUNICATIONS

The function of developing or acquiring, testing and implementing applications, systems and databases to support the business needs of the organisation, to capture, store, retrieve, transfer, communicate and disseminate information through automated systems. Includes the evaluation of software and hardware and the acquisition, tendering, leasing, licensing and disposal of systems. Also includes communication network systems such as video conferencing, voice mail and electronic mail and the technical aspects of the Internet, Intranet and Web Sites.

### Reporting

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

Class No	Description of records	Disposal action
2147 ■■■■■■■■	Final copies of formal internal reports and reports made to external agencies relating to the technology and telecommunications function.	Destroy 7 years after action completed
2148 ■■■■■■■■	Periodic internal reports on general administrative matters used to monitor and document recurring activities to support the technology and telecommunications function. Includes summary reports, work progress reports and production reports.	Destroy 3 years after action completed
2149 ■■■■■■■■	Responses to surveys by other agencies or by the central office of an agency.	Destroy 3 years after action completed
2150 ■■■■■■■■	Working papers documenting the development of all reports. Includes drafts and comments received.	Destroy 1 year after action completed
2151 ■■■■■■■■	Copies of technology and telecommunications reports.	Destroy when reference ceases

## TECHNOLOGY & TELECOMMUNICATIONS

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### 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 the business activities of the organisation in general. Includes following up enquiries relating to organisational programs, projects, working papers, literature searches etc.

Class No	Description of records	Disposal action
2152 ■■■■■■■■■■	Records documenting detailed research carried out to support the technology and telecommunications function.  <i>[For systems analysis, use TECHNOLOGY &amp; TELECOMMUNICATIONS - Application Development, TECHNOLOGY &amp; TELECOMMUNICATIONS - Evaluation or TECHNOLOGY &amp; TELECOMMUNICATIONS - Modelling.]</i>	Destroy 3 years after action completed
2153 ■■■■■■■■■■	Records documenting routine research carried out to support the technology and telecommunications function.	Destroy when reference ceases

### Restructuring

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

Class No	Description of records	Disposal action
2154 ■■■■■■■■■■	Arrangements for the transfer or integration of technology and telecommunications systems/assets etc to or from other agencies (ie after administrative change).  <i>[For migration of information, use TECHNOLOGY &amp; TELECOMMUNICATIONS - Data Administration.]</i>	Destroy 7 years after last action









## TECHNOLOGY & TELECOMMUNICATIONS

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### Reviewing


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

Class No	Description of records	Disposal action
2155 	Records documenting a review of agency programs and operations supporting the technology and telecommunications function. Includes documents establishing the review, final report, action plan and identification of problems needing rectification.  <i>[For the rectification of identified problems, use TECHNOLOGY &amp; TELECOMMUNICATIONS - Application Development.]</i>	Destroy 7 years after action completed
2156 	Working papers documenting the conduct of an agency review into programs and operations supporting the technology and telecommunications function.	Destroy 2 years after action completed
2157 	Records documenting the development of methodologies for conducting reviews.	Destroy 7 years after action completed
2158 	Records documenting post implementation reviews.	Destroy 7 years after action completed
2159 	Records documenting testing activities where unexpected results are found. Includes: <ul style="list-style-type: none"> <li>• testing strategy;</li> <li>• testing plan;</li> <li>• result forms; and</li> <li>• test report.</li> </ul>	Destroy when problem has been rectified
2160 	Records documenting testing activities where expected results are found. Includes: <ul style="list-style-type: none"> <li>• testing strategy;</li> <li>• testing plan;</li> <li>• result forms; and</li> <li>• test report.</li> </ul>	Destroy 7 years after action completed

## TECHNOLOGY & TELECOMMUNICATIONS



The function of developing or acquiring, testing and implementing applications, systems and databases to support the business needs of the organisation, to capture, store, retrieve, transfer, communicate and disseminate information through automated systems. Includes the evaluation of software and hardware and the acquisition, tendering, leasing, licensing and disposal of systems. Also includes communication network systems such as video conferencing, voice mail and electronic mail and the technical aspects of the Internet, Intranet and Web Sites.

### Reviewing - Continued

Class No	Description of records	Disposal action
2161 	Certificates of compliance/completion.	Destroy 7 years after action completed

### Risk Management

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

Class No	Description of records	Disposal action
2162 	Records documenting risk management relating to the technology and telecommunication function. Includes documentation covering each stage of the process, risk assessments, treatment schedules and action plans.	Destroy 7 years after next risk assessment
2163 	Technology and telecommunications risk register.	Destroy 7 years after next risk assessment

## TECHNOLOGY & TELECOMMUNICATIONS

The function of developing or acquiring, testing and implementing applications, systems and databases to support the business needs of the organisation, to capture, store, retrieve, transfer, communicate and disseminate information through automated systems. Includes the evaluation of software and hardware and the acquisition, tendering, leasing, licensing and disposal of systems. Also includes communication network systems such as video conferencing, voice mail and electronic mail and the technical aspects of the Internet, Intranet and Web Sites.






### 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.

*For the security classification and appropriate protection of data, use INFORMATION MANAGEMENT - Security.*

*For physical security (including control of access to computer rooms etc), use PROPERTY MANAGEMENT - Security.*


*For the protection of personal information in technology and telecommunication systems, use TECHNOLOGY & TELECOMMUNICATIONS - Privacy.*

Class No	Description of records	Disposal action
2164 	Records documenting the implementation of security arrangements for technology and telecommunications systems. Includes authentication, encryption, reports on security leaks, investigation into alleged security breaches and referral of those breaches to law enforcement authorities.	Destroy 7 years after action completed
	<p><i>[For requests for changes to passwords etc, use TECHNOLOGY &amp; TELECOMMUNICATIONS - Operations.</i></p> <p><i>For disciplinary action against staff for security related breaches, use PERSONNEL - Discipline.]</i></p>	
2165 	Requests for advice and approval from other organisations (eg Defence Signals Directorate) about technology and telecommunication security issues. Includes requests for the issue of crypto variables etc.	Destroy 7 years after approval ceases
2166 	Records documenting arrangements for the sanitisation of technology equipment prior to disposal.	Destroy 1 year after action completed
2167 	Requests for approval to connect equipment to agency networks, either on agency premises or via dial-up communications links.	Destroy 3 years after action completed
2168 	Records documenting the control of removable media in secure systems. Includes inventory of removable items, media musters and register of media import and export (eg floppy disks and the removal of hard disks).	Destroy 7 years after action completed

## TECHNOLOGY & TELECOMMUNICATIONS

The function of developing or acquiring, testing and implementing applications, systems and databases to support the business needs of the organisation, to capture, store, retrieve, transfer, communicate and disseminate information through automated systems. Includes the evaluation of software and hardware and the acquisition, tendering, leasing, licensing and disposal of systems. Also includes communication network systems such as video conferencing, voice mail and electronic mail and the technical aspects of the Internet, Intranet and Web Sites.


### Security - Continued

Class No	Description of records	Disposal action
2169 	Records documenting the oversight of projects by a 'security accreditation authority' and appropriate certifying authorities. Includes appointment of members to the authorities.	Destroy 7 years after action completed

### Standards

The process of implementing industry or organisational benchmarks for services and processes to enhance the quality and efficiency of the organisation.

*For compliance with standards (except where other activities apply), use TECHNOLOGY & TELECOMMUNICATIONS - Compliance.*

Class No	Description of records	Disposal action
2170 	Records documenting the implementation of industry and agency standards to support the technology and telecommunications function.	Destroy 7 years after action completed

### Tendering

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

Class No	Description of Records	Disposal Action
N/A	<i>[For the acquisition of goods and services required to support the technology &amp; telecommunications function via a tender process, use PROCUREMENT - Tendering.]</i>	N/A

## INDEX

This index lists the functions, activities, transactions and related key terms in the Administrative Functions Disposal Authority in single alphabetical sequence. Page numbers are allocated after each reference followed by the class number in square brackets. Functions are shown in upper case.

Where an activity terms is also a transaction or a key term within another activity this relationship is noted under the one general activity descriptor eg **allowances** is an activity under FLEET MANAGEMENT, but also appears as a term under FINANCIAL MANAGEMENT – Accounting. Both entries are listed under **allowances**.

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