



DA 2014-004/1

**General Retention and Disposal Authority for the
Administrative Records of National Bodies**

DA Type: Functional

NATIONAL BODIES GENERAL RETENTION AND DISPOSAL AUTHORITY

Background and Purpose

This General Retention and Disposal Authority has been developed in accordance with CAARA Policy 11 - Guidelines for the Treatment of Records of Inter-Governmental Agencies.

The Authority has been developed by the CAARA National Bodies Working Group representing all the Australian State and Territory members of CAARA. Its purpose is to provide an agreed set of function based disposal classes with corresponding disposal actions and retention periods for adoption by the State and Territory members of CAARA; facilitating consistent retention and disposal requirements for administrative records across all States and Territories.

The Authority is based on the Queensland State Archives General Disposal Schedule, varied to accommodate specific jurisdictional requirements.

Formal disposal instruments issued under the authority of each jurisdiction's archives and records legislation are to follow CAARA endorsement to provide the legal basis for records disposal by national bodies in each State and Territory.

Scope

The General Retention and Disposal Authority for Administrative Records of National Bodies covers records of common administrative functions that may be performed by national bodies.

National bodies are established under national schemes where Constitutional powers rest with States and Territories, and not the Commonwealth, and where the bodies concerned are not otherwise Commonwealth bodies. National bodies may be subject to the records and archives laws of multiple State and Territory jurisdictions.

It does not authorise the disposal of records of functions that are unique to a body (s). Records of functions that are unique should be covered separately by a function or sector specific authority.

Records created by the national bodies' predecessor agencies are not covered by this authority. Records created by predecessor agencies must be sentenced in accordance with instruments issued by the relevant State or Territory archival authority for the predecessor agency for the corresponding time period.

Record Formats

This Authority applies to records created in all formats, unless otherwise specified in the class description. This includes, but is not limited to

records in business systems, maps, plans, photographs, motion picture and records created using web 2.0 media.

Retention of records

All of the retention periods in this Authority are the minimum period for which the sentenced records must be maintained. Public records cannot be disposed of prior to the expiration of the appropriate retention period. However, there is no requirement for public records to be destroyed at the expiration of a minimum retention period. Public records must be retained for longer if there is any other law or policy requiring that the public record be retained.

Authority layout

The *General Retention and Disposal Authority for Administrative Records* is aligned with *Keyword AAA*, a functional classification scheme developed by the State Records Authority of New South Wales.

However, the record classes in this authority may not have a one-to-one relationship with the Business Classification Scheme in place within each national body. Therefore, national bodies may need to map the record classes contained in this authority, along with record classes in their own function specific authority, to their Business Classification Scheme.

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1. BOARDS AND COMMITTEES

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

Reference	Description of Records	Status	Disposal Action
1.0.1	<p><i>Boards or major committees</i></p> <p>Records of boards or major internal, external or inter-agency committees, or similar groups which the agency manages and / or which determine strategic and core policy and / or which implement major programs or initiatives. For example, an internal committee formed to oversee the development and management of a core function or major program or an external committee managed by the agency and / or where the agency provides key input due to their expertise. Includes agendas, minutes and related papers, excluding working papers.</p>	Permanent	Retain permanently.
1.0.2	<p><i>Committees – minor</i></p> <p>Records of internal, external or inter-agency committees which are of minor significance or where the agency has only minor input. For example, an internal committee formed for operational purposes or an inter-agency committee where the agency does not provide the secretariat and only provides limited input because it is not a core function or area of expertise. Includes agendas, minutes and related papers, excluding working papers..</p>	Temporary	Retain for 5 years after committee has ceased, then destroy.
1.0.3	<p><i>Boards or committees – appointment of members for boards or major committees</i></p> <p>Correspondence relating to the appointment of external and internal board or committee members, including conditions of appointments and entitlements.</p>	Permanent	Retain permanently.
1.0.4	<p><i>Committees – appointment of members for minor committee</i></p> <p>Correspondence relating to the appointment of external and internal board or committee members, including conditions of appointments and entitlements.</p>	Temporary	Retain for 5 years after action completed, then destroy.

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Reference	Description of Records	Status	Disposal Action
1.0.5	Boards or committees – administrative arrangements Records of administrative arrangements for external and internal board or committee meetings..	Temporary	Retain for 2 years after action completed, then destroy.
1.0.6	Boards or committees – working papers Working papers for external and internal committees.	Temporary	Retain for 6 months after action completed, then destroy.

2. 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.

Reference	Description of Records	Status	Disposal Action
2.1	<p>ADDRESSES (PRESENTATIONS)</p> <p><i>The activity of giving addresses for community relations purposes.</i></p>		
2.1.1	<p>Addresses (presentations) - major</p> <p>Records of addresses and presentations given at major state occasions, on matters of substantial public interest and debate or by agency representatives at significant events such as conferences or professional association seminars. Excludes presentations at staff training seminars, workshops, etc, for which see STAFF DEVELOPMENT – Addresses (presentations).</p>	Permanent	Retain permanently.
2.1.2	<p>Addresses (presentations) - minor</p> <p>Records relating to other addresses and presentations, e.g. for routine promotion of agency services or marketing products.</p>	Temporary	Retain for 2 years after action completed, then destroy.
2.2	<p>ARRANGEMENTS</p> <p><i>The activities involved in arranging for a journey or trip. Includes preparing travel itineraries, authorisations, entitlements etc. Also includes arrangements made for the delivery of equipment or goods and the usage made of facilities, vehicles, equipment and space.</i></p>		

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Reference	Description of Records	Status	Disposal Action
2.2.1	Arrangements for supporting community relations activities Records relating to arrangements made to support community relations activities. Includes arrangements for catering, invitations, venue and entertainment or speakers organised or paid by the agency. Excludes financial or procurement records for which see FINANCIAL MANAGEMENT	Temporary	Retain for 2 years after action completed, then destroy.
2.3	CELEBRATIONS, CEREMONIES AND FUNCTIONS <i>The activities associated with arranging and managing festivities such as launches, closures. Also includes attendance at non-agency functions</i>		
2.3.1	Agency celebrations, ceremonies and functions - major Records relating to celebrations, ceremonies and functions which are organised by the agency and are of significance to it. For example, those organised to mark major events, anniversaries, opening of landmark structures or major client facilities or other major buildings, launch of innovative or new programs, etc.	Permanent	Retain permanently.
2.3.2	Agency celebrations, ceremonies and functions – minor Records relating to celebrations, ceremonies or functions which are organised by the agency but are of minor significance to it. For example, routine functions (such as end of year celebrations) which are organised to strengthen relationships with particular community or interest groups.	Temporary	Retain for 5 years after action completed, then destroy.
2.3.3	Non agency celebrations, ceremonies and functions Invitations to, arrangements for attendance at, and general information relating to functions organised by another agency or organisation. Excludes financial records for which see FINANCIAL MANAGEMENT.	Temporary	Retain for 3 months after action completed, then destroy.

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Reference	Description of Records	Status	Disposal Action
2.4	<p>COMPLIANCE</p> <p>For compliance in relation to Information Management, such as Right to Information, Freedom of Information or Privacy legislation – see INFORMATION MANAGEMENT - Compliance</p> <p>For compliance in relation to Financial Management – see FINANCIAL MANAGEMENT - Compliance</p> <p>For compliance with other mandatory or optional accountability, legal, regulatory or quality standards - See STRATEGIC MANAGEMENT – Compliance</p> <p>For compliance in relation to Workplace Health and Safety – see WORKPLACE HEALTH AND SAFETY – Compliance</p>		
2.5	<p>CONFERENCES</p> <p><i>The activities involved in arranging conferences or seminars. Includes management of registrations for participants, publicity and evaluations by participants.</i></p>		
2.5.1	<p><i>Agency conferences – major</i></p> <p>Master sets of transcripts of proceedings and reports of <i>major</i> conferences organised by the agency.</p>	Permanent	Retain permanently.
2.5.2	<p><i>External conferences – agency presentations</i></p> <p>Records relating to speeches, presentations, etc., made by agency representatives at external conferences..</p>	Temporary	Retain for 5 years after action completed, then destroy.
2.5.3	<p><i>Agency conferences – minor</i></p> <p>Master sets of transcripts of proceedings and reports of conferences organised by the agency not covered under reference number 2.5.1.</p>	Temporary	Retain for 2 years after action completed, then destroy.

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Reference	Description of Records	Status	Disposal Action
2.5.4	Agency and external conferences – arrangements Records of proceedings of conferences and arrangements to attend conferences..	Temporary	Retain for 2 years after action completed, then destroy.
2.6	CUSTOMER SERVICE <i>The activities associated with the planning, monitoring and evaluation of customer services provided to clients by the agency.</i>		
2.6.1	Records relating to the development, management and monitoring of specialised customer services, e.g. help/information desks, websites, interpreters, facilities for disabled customers, changes to opening hours, outreach services, etc. Includes records relating to the development and implementation of quality management practices relating to customer needs.	Temporary	Retain for 5 years after action completed, then destroy.
2.7	DONATIONS <i>The activities associated with managing money, items, artefacts or property donated or bequeathed to the agency, or by the agency to charities, etc. Includes managing unsolicited donations.</i>		
2.7.1	Gifts and bequests – major Records of gifts, donations or bequests made to or by the agency which are of: <ul style="list-style-type: none"> • State or Territory significance • long-term value, or • significant public interest. <p>See FINANCIAL MANAGEMENT reference number 6.14.1 for records relating to financial transactions involving gifts and benefits..</p>	Permanent	Retain permanently.

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Reference	Description of Records	Status	Disposal Action
2.7.2	<p>Gifts and bequests – other and refused</p> <p>Records relating to gifts, donations or bequests made to or by the agency, which are not covered under reference number 2.6.1 or which were refused.</p> <p>See FINANCIAL MANAGEMENT reference number 6.14.1 for records relating to financial transactions involving gifts and benefits.</p>	Temporary	Retain for 7 years after action completed or until terms of the donation or gift have been fulfilled, then destroy.
2.8	<p>ENQUIRIES AND PUBLIC REACTION</p> <p><i>The process of handling enquiries and public reaction to an organisation's core functions, policies or services. Includes correspondence of congratulations or appreciation, complaints and suggestions from members of the public or clients of the agency. Includes anonymous letters.</i></p>		
2.8.1	<p>Enquiries, complaints and suggestions – policy significance</p> <p>Records relating to the management of enquiries, client complaints or suggestions resulting in a reversal of a government decision or changes to government or agency policy, procedures or direction.</p>	Permanent	Retain permanently.
2.8.2	<p>Registers</p> <p>Enquiries, complaint, compliment or suggestion registers.</p>	Temporary	Retain for 8 years after action completed, then destroy.
2.8.3	<p>Enquiries – legal significance</p> <p>Records relating to provision of detailed information or advice to clients which may have legal significance.</p>	Temporary	Retain for 8 years after action completed, then destroy.
2.8.4	<p>Enquiries, complaints and suggestions – not of policy or legal significance</p> <p>Records relating to client enquiries, complaints or suggestions which do not have a major impact on the direction, policy or procedures of the agency and the provision of other information to clients, including the provision of information about routine and general matters; hours of operation, change of address, etc.</p>	Temporary	Retain for 2 years after action completed, then destroy.

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Reference	Description of Records	Status	Disposal Action
2.9	<p>EXHIBITIONS</p> <p><i>The activities associated with using agency material in mounting displays for the purpose of informing or educating the viewer, or promoting the activities, services, projects or programs of the agency. Includes displays produced for open days and trade fairs.</i></p>		
2.9.1	<p><i>Exhibitions organised by agency or with input from agency – major</i></p> <p>Film, video or photographic record of displays and exhibitions of major significance to the State, including associated paper-based material such as catalogues, brochures, posters. For example, exhibition documenting changes over time to major government policies and directions..</p>	Permanent	Retain master copy and one reference copy permanently.
2.9.2	<p><i>Exhibitions organised by agency or with input from agency – minor</i></p> <p>Film, video or photographic record of displays and exhibitions <i>not</i> of major significance to the State, including associated paper-based material. For example, exhibitions in agency foyer promoting routine agency programs.</p>	Temporary	Retain for 5 years after action completed, then destroy.
2.9.3	<p><i>Exhibitions with no input from agency</i></p> <p>Invitations and publicity material relating to displays and exhibitions organised by other agencies.</p>	Temporary	Retain for 3 months after action completed, then destroy.
2.10	<p>GREETINGS</p> <p><i>The activities associated with preparing, sending and receiving letters of appreciation or condolence.</i></p>		
2.10.1	<p><i>Greetings – preparation and sending</i></p> <p>Records relating to the preparation and sending of greetings. Also includes greetings received by the agency.</p>	Temporary	Retain for 2 years after action completed, then destroy.

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Reference	Description of Records	Status	Disposal Action
2.10.2	Greetings – address lists Address lists kept for sending of greetings.	Temporary	Retain for 3 months after action completed, then destroy.
2.11	HONOURS, AWARDS AND PRIZES <i>The activities associated with receiving and giving honours, awards and prizes.</i>		
2.11.1	Honours, awards and prizes – sponsored by agency Records relating to an award, prize or reward sponsored by the agency, including sponsorships administered by the agency.	Temporary	Retain for 7 years after action completed, then destroy.
2.11.2	Invitations to sponsor, judge or nominate honours, awards or prizes not sponsored by agency Records relating to invitations to sponsor, judge or nominate for awards or prizes.	Temporary	Retain until 6 months after action completed, then destroy.
2.12	LIAISON <i>The activities associated with maintaining regular general contact between the agency and professional associations, professionals in related fields, private sector organisations and community groups. Includes sharing informal advice and discussions, membership of professional associations and collaborating on projects.</i>		

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Reference	Description of Records	Status	Disposal Action
2.12.1	<p>Contact with lobbyists</p> <p>Records documenting contact between the public authority and registered lobbyists. Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • records of telephone, email or written contact • meeting reports • entries in a contact register (including name of lobbyist, date of contact, issue discussed, actions or outcomes, contact person in public authority). 	Temporary	Retain for 10 years after action completed, then destroy.
2.12.2	<p>Liaison and collaboration with groups and associations</p> <p>Records relating to liaison with community groups and professional associations, including collaboration on projects.</p>	Temporary	Retain for 7 years after action completed, then destroy.
2.12.3	<p>Memberships – arrangements for joining</p> <p>Records relating to arrangements for memberships in business, professional, social or sporting clubs and associations.</p>	Temporary	Retain for 5 years after action completed, then destroy.
2.12.4	<p>Memberships – invitations and promotional material</p> <p>Invitations to join, brochures and similar promotional material..</p>	Temporary	Retain for 6 months after action completed, then destroy.
2.13	<p>MARKETING</p> <p><i>The process of analysing, creating and selling products and services. Includes market research, sales forecasting, advertising, media releases, promotion, pricing and product evaluation.</i></p>		
2.13.1	<p>Marketing plans and strategies</p> <p>Marketing plans and strategies developed to promote the agency's image or activities.</p>	Permanent	Retain permanently

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Reference	Description of Records	Status	Disposal Action
2.13.2	Marketing materials – major Master set of materials, including brochures, posters, images, videos and film, developed to promote significant agency achievements or activities, where they have not been deposited with a National or State Library.	Permanent	Retain permanently
2.13.3	Marketing materials – minor Materials, including brochures, posters, images, videos and film, developed to promote routine services, operations or activities of the agency.	Temporary	Retain for 5 years after action completed, then destroy.
2.13.4	Publicity Records relating to achieving publicity for events or services organised by the agency.	Temporary	Retain for 2 years after action completed, then destroy.
2.13.5	Advertisements Records of advertisements not forming part of other classes of records (e.g. copies of advertisements not on a relevant recruitment, tender and contract or program promotion file).	Temporary	Retain for 2 years after action completed, then destroy.
2.14	MEDIA RELATIONS <i>The activities associated with establishing a relationship between the media and an agency. Includes cultivating media contacts, coordinating access to the media, authorising and issuing press releases and briefings, and organising media interviews.</i>		
2.14.1	Media releases Master set of agency media releases.	Permanent	Retain permanently
2.14.2	Media articles Master set of media articles relating to agency and / or its activities - if created or collected. For example, includes press cutting book. Excludes media monitors.	Permanent	Retain permanently.

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Reference	Description of Records	Status	Disposal Action
2.15	MEETINGS See STRATEGIC MANAGEMENT - Meetings		
2.16	PUBLIC REACTION See COMMUNITY RELATIONS –Enquiries and Public Reaction		
2.17	REPORTING <i>The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and to provide formal statements or findings of the results of their examination or investigation. Includes agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.</i>		
2.17.1	Reporting – major Major non-routine reports on the agencies community relations strategies, directions, policies and programs.	Permanent	Retain permanently
2.17.2	Reporting – minor Minor or routine reports on the agencies community relations activities.	Temporary	Retain for 2 years after action completed, then destroy.
2.18	REPRESENTATIVES <i>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.</i>		
2.18.1	Agency representatives Records relating to the nominations, appointment and resignation of agency representatives.	Temporary	Retain for 2 years after resignation or term of office expires, then destroy.

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Reference	Description of Records	Status	Disposal Action
2.19	<p>RESEARCH</p> <p><i>The activities involved in investigating or enquiring into a subject or area of interest in order to discover facts, principles etc. Used to support the development of projects, standards, guidelines etc., and the business activities of the organisation in general. Includes following up enquiries relating to organisational programs, projects, working papers, literature searches etc.</i></p>		
2.19.1	<p>Agency research reports and surveys</p> <p>Records documenting research into all aspects of community relations – needs, satisfactions and dissatisfactions, agency progress in delivering desired outcomes. For example, surveys conducted by the agency of client satisfaction and needs, including arrangements for the collection, collation and distribution of relevant information.</p>	Temporary	Retain for 5 years after action completed, then destroy.
2.19.2	<p>External research reports and surveys</p> <p>Records relating to the provision of information for research conducted by other organisations. For example, through responding to a survey.</p>	Temporary	Retain for 2 years after action completed, then destroy.
2.20	<p>VISITS</p> <p><i>The activities involved in arranging visits by other organisations, the public and students to the agency, with a view to inform, educate or promote the services, operation and role of the organisation. Includes arranging visits by staff to other organisations.</i></p>		
2.20.1	<p>Visits to agency by dignitaries or official major delegations</p> <p>Records documenting visits to the agency by dignitaries or official major delegations from non-government organisations. For example, the head of a multinational company or international aid organisation visiting to view agency programs.</p>	Permanent	Retain permanently.

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Reference	Description of Records	Status	Disposal Action
2.20.2	Visits to agency by others or by agency representatives Records relating to visits to the agency by the members of the public and people from non-government organisations and by agency staff to community and non-government organisations.	Temporary	Retain for 2 years after action completed, then destroy.

3. COMPENSATION

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

Reference	Description of Records	Status	Disposal Action
3.1	<p>ACCIDENTS</p> <p><i>See WORKPLACE HEALTH AND SAFETY reference number 17.1. for records relating to Accidents and Incidents</i></p>		
3.2	<p>ADVICE</p> <p><i>The activities associated with offering opinions by or to the organisation as to an action or judgement. Includes the process of advising.</i></p>		
3.2.1	Records relating to the provision of high level advice, e.g. to Minister or Chief Executive, relating to substantive aspects of agency compensation policies, procedures, functions, obligations and liabilities.	Permanent	Retain permanently
3.2.2	Records relating to the provision of routine advice dealing with compensation issues.	Temporary	Retain for 8 years after action completed, then destroy.
3.3	<p>AGREEMENTS</p> <p><i>The processes associated with the establishment, maintenance, review and negotiation of agreements.</i></p>		
3.3.1	Records relating to compensation agreements under seal	Temporary	Retain for 21 years after action completed, then destroy.

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Reference	Description of Records	Status	Disposal Action
3.3.2	Records relating to compensation agreements not under seal	Temporary	Retain for 8 years after action completed, then destroy.
3.4	<p>CLAIMS</p> <p><i>The process of administering and managing payments in accordance with an insurance policy as compensation for injury, death, or denial of rights of a person or damage or destruction of property. Includes disputes over rights and ownership, and recompense sought for stolen or lost property.</i></p>		
3.4.1	Register of claims relating to insurance and compensation.	Temporary	Retain for 75 years after last entry, then destroy.
3.4.2	<p>Workers compensation claims</p> <p>Case files containing reports, correspondence and other information relating to incidents reported to the appropriate workers compensation authority for the jurisdiction in which the claim occurred, that may or may not result in a claim for compensation..</p>	Temporary	Retain for 75 years from date of birth or 7 years from date of separation, or resignation, whichever is later, then destroy.
3.4.3	Records relating to the management of compensation claims for personal injury made by or on behalf of visitors to agencies. Includes volunteers and work experience students.	Temporary	Retain until person turns 25 years, or 7 years after action completed, whichever is later, then destroy.
3.4.4	Records relating to the management of compensation claims for loss or damage to property made by agency staff, volunteers or visitors.	Temporary	Retain for 7 years after action completed, then destroy.

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Reference	Description of Records	Status	Disposal Action
3.5	COMMITTEES See BOARDS AND COMMITTEES		
3.6	COMPLIANCE For compliance in relation to Information Management, such as Right to Information, Freedom of Information or Privacy legislation – see INFORMATION MANAGEMENT - Compliance For compliance in relation to Financial Management – see FINANCIAL MANAGEMENT - Compliance For compliance with other mandatory or optional accountability, legal, regulatory or quality standards - See STRATEGIC MANAGEMENT – Compliance For compliance in relation to Workplace Health and Safety – see WORKPLACE HEALTH AND SAFETY - Compliance		
3.7	INSURANCE <i>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.</i>		
3.7.1	Insurance policy register.	Temporary	Retain for 7 years after expiry or cancellation of last policy, then destroy.
3.7.2	Insurance policy documents (including renewals and associated correspondence) covering loss or damage to property.	Temporary	Retain for 7 years after expiry or cancellation of policy, then destroy.
3.7.3	Insurance policy documents (including renewals and associated correspondence) covering agency staff, volunteers, clients or visitors against injury or death resulting from accidents or incidents on the agency's premises.	Temporary	Retain for 30 years after term of insurance policy expires, then destroy.

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Reference	Description of Records	Status	Disposal Action
3.8	MEETINGS See STRATEGIC MANAGEMENT - Meetings		
3.9	PAYMENTS <i>The activities involved in the preparation and payment of money, except in cases of payment of membership fees and subscriptions to journals etc. Includes payment of staff expenses in attending public service interviews etc.</i>		
3.9.1	Records relating to payments of money including claims, approvals and other supporting documentation. Includes ex-gratia payments.	Temporary	Retain for 7 years after action completed, then destroy.
3.10	POLICY See STRATEGIC MANAGEMENT - Policy		
3.11	REHABILITATION <i>The process of managing programs designed to restore the injured worker to the fullest physical, psychological, social, vocational and economic usefulness of which they are capable - consistent with pre-injury status. Includes early intervention with appropriate, adequate and timely services through the use of a Rehabilitation Co-ordinator.</i>		
3.11.1	Rehabilitation case management files/records maintained in the agency.	Temporary	Retain for 75 years from date of birth or 7 years from date of separation, or resignation, whichever is later, then destroy.

4. EQUIPMENT AND STORES

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

See section 6 – FINANCIAL MANAGEMENT for all financial records relating to the acquisition, maintenance, evaluation and disposal of equipment and stores.

See section 6.12 for contracts and section 6.30 for tendering records relating to the procurement of equipment and stores.

Reference	Description of records	Status	Disposal Action
4.1	<p>ACQUISITION AND DISPOSAL</p> <p><i>The process of gaining ownership or use of equipment and stores as well as the process of disposing of equipment and stores no longer required by the agency, by sale, transfer, termination of lease, auction, donation or destruction.</i></p> <p><i>See FINANCIAL MANAGEMENT, class 6.6.1 for the register of equipment acquired/Asset Register.</i></p>		
4.1.1	<p>Non-financial records relating to the acquisition, lease and installation of equipment that contains hazardous materials, such as asbestos. Also includes non-financial records relating to the disposal of equipment and stores, including records of exchange, sale or loan.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • proof of ownership records • warranty documents. 	Temporary	Retain for 100 years after action completed, then destroy.

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Reference	Description of records	Status	Disposal Action
4.1.2	<p>Non-financial records relating to the acquisition, lease and installation of equipment that does not contain hazardous materials, such as asbestos. Also includes non-financial records relating to the disposal of equipment and stores, including records of exchange, sale or loan.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • proof of ownership records • warranty documents. 	Temporary	Retain for 7 years after disposal of equipment, then destroy.
4.1.3	Non-financial records relating to the acquisition of stores.	Temporary	Retain for 2 years after action completed, then destroy.
4.1.4	<p>Operating manuals or instructions developed by the agency for operation of all forms of equipment.</p> <p>See <i>EPHEMERAL DOCUMENTS AND RECORDS</i> for manuals supplied to the agency.</p>	Temporary	Retain for 1 year after equipment is disposed of, then destroy.
4.2	<p>AUDIT</p> <p>See STRATEGIC MANAGEMENT - Audit</p>		

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Reference	Description of records	Status	Disposal Action
4.3	<p>COMPLIANCE</p> <p>For compliance in relation to Information Management, such as Right to Information, Freedom of Information or Privacy legislation – see INFORMATION MANAGEMENT - Compliance</p> <p>For compliance in relation to Financial Management – see FINANCIAL MANAGEMENT - Compliance</p> <p>For compliance with other mandatory or optional accountability, legal, regulatory or quality standards - See STRATEGIC MANAGEMENT – Compliance</p> <p>For compliance in relation to Workplace Health and Safety – see WORKPLACE HEALTH AND SAFETY - Compliance</p>		
4.4	<p>CONTRACTING-OUT</p> <p>See FINANCIAL MANAGEMENT – Contracting-Out</p>		
4.5	<p>DELIVERY AND DISTRIBUTION</p> <p><i>The activities involved in the delivery and distribution of equipment and stores.</i></p>		
4.5.1	Records relating to the installation and use of items of equipment, including log books, booking forms, etc that contain hazardous material, such as asbestos.	Temporary	Retain for 100 years after action completed, then destroy.
4.5.2	Records relating to the installation and use of items of equipment, including log books, booking forms, etc. that do not contain hazardous material, such as asbestos.	Temporary	Retain for 7 years after action completed, then destroy.
4.5.3	Records relating to the delivery, allocation and distribution of equipment and stores.	Temporary	Retain for 2 years after action completed, then destroy.

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Reference	Description of records	Status	Disposal Action
4.6	DESIGN The activities involved in the design of agency-specific equipment and stores.		
4.6.1	Uniforms Records relating to the design of uniforms or corporate wardrobe developed specifically for the agency and/or reflecting agency functions.	Temporary	Retain for 5 years after action completed, then destroy.
4.7	DISPOSAL <i>See EQUIPMENT AND STORES reference number 4.1 for records relating to the acquisition and disposal of equipment and stores.</i>		
4.8	INSTALLATION AND USE See PROPERTY MANAGEMENT - Installation		
4.9	INVENTORY <i>See EQUIPMENT AND STORES reference number 4.17.1 for records relating to stocktake.</i>		
4.10	LEASING <i>The activities involved in leasing items, equipment, accommodation, premises or real estate from another organisation.</i>		
4.10.1	Records relating to equipment leasing documents, including special leases, sub-leases, licences and other registered documents where agreements are under seal.	Temporary	Retain for 21 years after action completed, then destroy.
4.10.2	Records relating to equipment leasing documents, including special leases, sub-leases, licences and other registered documents where agreements are not under seal.	Temporary	Retain for 8 years after action completed, then destroy.

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Reference	Description of records	Status	Disposal Action
4.11	<p>LEASING-OUT</p> <p><i>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.</i></p>		
4.11.1	Records relating to loan, lease or hire of equipment to other agencies.	Temporary	Retain for 1 year after return of equipment or, in cases where equipment is not returned, 5 years after action completed, then destroy.
4.12	<p>MAINTENANCE</p> <p><i>The activities associated with the upkeep, repair, servicing, modification and preservation of internal/external condition of equipment.</i></p> <p><i>See EQUIPMENT AND STORES 4.1 for records relating to the acquisition of equipment and stores..</i></p>		
4.12.1	Records relating to the maintenance of equipment that contains hazardous material, such as asbestos.	Temporary	Retain for 100 years, after equipment installed, then destroy.
4.12.2	Records relating to the maintenance of equipment that does not contain hazardous material, such as asbestos.	Temporary	Retain for 7 years after action completed, then destroy.

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Reference	Description of records	Status	Disposal Action
4.12.3	Records relating to programming and forward planning proposals for equipment maintenance.	Temporary	Retain for 5 years after action completed, then destroy.
4.12.4	Records relating to the selection of storage areas for agency equipment and stores.	Temporary	Retain for 2 years after action completed, then destroy.
4.13	MEETINGS See STRATEGIC MANAGEMENT - Meetings		
4.14	POLICY See STRATEGIC MANAGEMENT - Policy		
4.15	PROCEDURES See STRATEGIC MANAGEMENT - Procedures		
4.16	REVIEWING See STRATEGIC MANAGEMENT - Reviewing		
4.17	STOCKTAKE <i>The activities associated with the examination, counting and valuing goods in the agency with the view to reassessing the need for replacing those goods, and to identify missing items and determine the condition of the existing items.</i>		
4.17.1	Records relating to the inventory and stocktake of equipment and stores.	Temporary	Retain for 3 years after action completed, then destroy.

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Reference	Description of records	Status	Disposal Action
4.18	TENDERING See FINANCIAL MANAGEMENT - Tendering		

5. ESTABLISHMENT

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

Reference	Description of Records	Status	Disposal Action
5.1	<p>COMMITTEES</p> <p>See BOARDS AND COMMITTEES</p>		
5.2	<p>COMPLIANCE</p> <p>For compliance in relation to Information Management, such as Right to Information, Freedom of Information or Privacy legislation – see INFORMATION MANAGEMENT - Compliance</p> <p>For compliance in relation to Financial Management – see FINANCIAL MANAGEMENT - Compliance</p> <p>For compliance with other mandatory or optional accountability, legal, regulatory or quality standards - See STRATEGIC MANAGEMENT – Compliance</p> <p>For compliance in relation to Workplace Health and Safety – see WORKPLACE HEALTH AND SAFETY - Compliance</p>		
5.3	<p>ESTABLISHMENT OR RESTRUCTURING OF AGENCY</p> <p><i>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.</i></p>		
5.3.1	Records relating to the establishment and development of a new agency structure, including copies of instruments giving effect to machinery of government changes and information provided to facilitate administrative rearrangements relating to the transfer of functions and employees to/or from other agencies. Includes records of forward staffing estimates.	Permanent	Retain permanently
5.3.2	Key records documenting the initial establishment of the agency, including its purpose and legislative basis.	Permanent	Retain permanently

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Reference	Description of Records	Status	Disposal Action
5.3.3	Restructures – major Records relating to reviews and restructures affecting major functional sections of an agency or the agency as a whole. Examples could include an amalgamation of agencies or the transfer of major functions from one agency to another agency/agencies. Includes organisational charts resulting from major restructures of the agency and records of forward staffing estimates. .	Permanent	Retain permanently
5.3.4	Restructures – minor Records relating to reviews and restructures affecting only particular sections of an agency and having little effect on the overall functioning of the agency. Includes records of forward staffing estimates.	Temporary	Retain for 7 years after action completed, then destroy.
5.3.5	Transfer of assets - agreements Formal agreements documenting the transfer of responsibilities and assets such as premises, information, records, etc.	Permanent	Retain permanently
5.3.6	Transfer of assets –development and implementation of agreements Administrative records relating to agreements regarding transfer of responsibilities, assets, etc.	Temporary	Retain for 10 years after action completed, then destroy.

5.4	EVALUATION <i>The process of determining the suitability of potential or existing programs, items of equipment, systems or services in relation to meeting the needs of the given situation. Includes ongoing monitoring.</i>
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5.4.1	Job evaluation documentation.	Temporary	Retain for 7 years after position has been abolished or reclassified, then destroy.
5.5	MEETINGS See STRATEGIC MANAGEMENT - Meetings		
5.6	PLANNING See STRATEGIC MANAGEMENT - Planning		
5.7	POLICY See STRATEGIC MANAGEMENT - Policy		
5.8	REPORTING See STRATEGIC MANAGEMENT - Reporting		

6. FINANCIAL MANAGEMENT

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

See section 10 – INFORMATION MANAGEMENT for records relating to the disposal of financial information

Reference	Description of records	Status	Disposal Action
6.1	<p>ACCOUNTING</p> <p><i>The activity of collecting, recording, classifying, summarising and analysing information on financial transactions, and subsequently on the financial position and operating results of the public authority. Includes financial statements, and the implementation, maintenance, monitoring and auditing of the public authority's accounting systems and internal controls.</i></p> <p>Credit cardholder details must be managed in accordance with the PCI DSS.(Payment Card Industry Data Security Standards)</p>		

General Retention and Disposal Authority for Administrative Records of National Bodies

Reference	Description of records	Status	Disposal Action
6.1.1	Register of unclaimed moneys required to be maintained under Treasurer's Instructions.	Temporary	Retain for 7 years after monies claimed, then destroy.
6.1.2	<p>Accounting records and associated supporting records</p> <p>Records relating to the payment or receipt of money. Includes records which document the public authority's financial transactions including revenue, expenditure, expenses, assets, liabilities and equity.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • General ledger • journals • subsidiary ledgers • reconciliation records • cash books • cheque records • payment records • salary processing payment records, including substantive salaries, allowances, overtime, penalties, deductions, superannuation contributions, leave, adjustments, variations, etc. • petty cash records • cash by post registers 	Temporary	Retain for 7 years after the financial year to which the records relate, then destroy.

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Reference	Description of records	Status	Disposal Action
	<ul style="list-style-type: none"> • requisition or purchase orders • delivery dockets. • sales and purchase invoices • receipt and revenue records • other prime entry records. <p>See FINANCIAL MANAGEMENT reference number 6.1.11 for special payments.</p> <p>See FINANCIAL MANAGEMENT reference number 6.1.12 for taxation records.</p> <p>See FINANCIAL MANAGEMENT reference number 6.30 for tendering records.</p> <p>See FINANCIAL MANAGEMENT reference numbers 6.1.19 and 6.1.20 for records relating to the storage of client payment card details.</p> <p>See Acquisition under the relevant function for other records relating to the procurement of goods and services.</p> <p>See PERSONNEL AND STAFF DEVELOPMENT reference number 12.26 for salary payment documentation.</p>		

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Reference	Description of records	Status	Disposal Action
6.1.3	<p>Bank accounts – establishment</p> <p>Records relating to the establishment and ongoing management of bank accounts including records documenting the closure of the bank account.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • applications • approvals. <p>See FINANCIAL MANAGEMENT reference number 6.1.4 for records relating to account transactions.</p> <p>See FINANCIAL MANAGEMENT reference number 6.8.1 for records relating to financial delegations.</p>	Temporary	Retain for 7 years after account closed, then destroy.

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Reference	Description of records	Status	Disposal Action
6.1.4	<p>Bank accounts – banking activities</p> <p>Records relating to the management of banking activities and transactions.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • deposit/withdrawal records • cheque records • bank statements • Electronic Funds Transfer (EFT) and International Money Transfers (IMT) transaction records • certificates • receipts/electronic confirmations • reconciliation records • investment and dividend statements. 	Temporary	Retain for 7 years after the financial year to which the records relate, then destroy.
6.1.5	<p>Bank accounts register</p> <p>Entries in the register of bank accounts of the public authority.</p>	Temporary	Retain entries for 7 years after account closed, then destroy.
6.1.6	<p>Chart of Accounts</p> <p>Records documenting the public authority's Chart of Accounts.</p>	Temporary	Retain for 7 years after the financial year to which the records relate, then destroy.

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Reference	Description of records	Status	Disposal Action
6.1.7	<p><i>Contingent assets and contingent liabilities</i></p> <p>Records relating to the management of the public authority's contingent assets and contingent liabilities.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • quarterly reports. 	Temporary	Retain for 7 years after action completed, then destroy.
6.1.8	<p><i>Contingencies register</i></p> <p>Register of contingency assets and contingency liabilities.</p>	Temporary	Retain for 7 years after action completed or after disposal of asset, then destroy.

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Reference	Description of records	Status	Disposal Action
6.1.9	<p>Credit card facilities</p> <p>Records relating to the use of public authority credit card facilities including special purpose facilities, e.g. fuel cards, reward cards, purchase cards.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • applications • arrangements including charges, card limits and security • amendments (e.g. changes to credit limits, payment terms, benefits, etc.) • statements. <p>See FINANCIAL MANAGEMENT reference number 6.1.2 for records relating to the payment or receipt of money.</p> <p>See FINANCIAL MANAGEMENT reference number 6.1.17 for records relating to accountable forms and vouchers.</p> <p>Credit cardholder details must be managed in accordance with the PCI DSS (Payment Card Industry Data Security Standards)</p> <p>See FINANCIAL MANAGEMENT reference numbers 6.1.19 and 6.1.20 for records relating to the storage of client payment card details.</p>	Temporary	Retain for 7 years after the financial year to which the records relate, then destroy.

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Reference	Description of records	Status	Disposal Action
6.1.10	<p><i>Debts, overpayments and material losses</i></p> <p>Records relating to the management and settlement of debts, overpayments and material losses. Includes debt recovery and write-offs.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • approvals • debtor invoices • records of negotiations with debtors • notices • write-offs • register of material losses.. <p>See FINANCIAL MANAGEMENT reference number 6.6.2 for records relating to asset write-offs and losses.</p> <p>See FINANCIAL MANAGEMENT reference number 6.13 for records relating to corruption investigations.</p> <p>See FINANCIAL MANAGEMENT reference number 6.25.1 for reporting losses.</p>	Temporary	Retain for 7 years after the financial year to which the records relate, then destroy.

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Reference	Description of records	Status	Disposal Action
6.1.11	<p>Special payments</p> <p>Financial records documenting special payments made by the public authority including ex-gratia payments, extra-contractual payments, out of court settlements and court ordered damages. Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • date and value of payments • recipient details • reasons for payments. <p><i>Note: This class covers financial transaction records only. Records documenting the payment approval process should be sentenced according to the relevant class in this Authority or a Retention and Disposal Authority covering the core business records of the agency, depending on the purpose of the payment.</i></p>	Temporary	Retain for 7 years after the financial year to which the records relate, then destroy.

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Reference	Description of records	Status	Disposal Action
6.1.12	<p>Taxation</p> <p>Records relating to taxation matters of the public authority excluding Government Owned Corporations.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • Fringe Benefits Tax (FBT) records • Business Activity Statements (BAS) • certificates (includes electronic interface certificates) • tax payment records (including Pay As You Go PAYG withholding tax) • Goods and Services Tax (GST) records • Pay-roll Tax records • exemptions • external tax advice • correspondence with Australian Tax Office and Treasury.. <p>See FINANCIAL MANAGEMENT reference number 6.1.2 for financial records relating to the payment of salaries</p> <p>See PERSONNEL AND STAFF DEVELOPMENT reference number 12.26 for records relating to employee taxation records.</p>	Temporary	Retain for 7 years after action completed, then destroy.
6.1.13	<p>Records relating to the management of deficiencies and losses. Includes records relating to suspected fraud, theft, misappropriation or negligence, write-offs, overpayments and recovery of debts.</p> <p>See LEGAL SERVICES reference number 11.8 for records that result in legal action</p>	Temporary	Retain for 7 years after action completed, then destroy.

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Reference	Description of records	Status	Disposal Action
6.1.14	Records relating to the collection of fines and expiation notices.	Temporary	Retain for 7 years after action completed, then destroy.
6.1.15	Records relating to the management of unclaimed moneys, including all background information.	Temporary	Retain for 5 years after action completed, then destroy.
6.1.16	<i>Accountable forms register</i> Entries in the accountable forms register that document the receipt, issue, transfer, return and destruction of accountable forms.	Temporary	Retain entries for 3 years after action completed, then destroy.

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Reference	Description of records	Status	Disposal Action
6.1.17	<p>Accountable forms</p> <p>Records relating to the management of accountable forms including vouchers, , cheques, , money forms, etc.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • acquisition orders • Cabcharge vouchers • requests • issue receipts • approvals. <p>Note: <i>Surplus accountable forms including blank and obsolete forms can be destroyed in accordance with section 18 - EPHEMERAL DOCUMENTS AND RECORDS once they have been recorded in the accountable forms register.</i></p> <p>See FINANCIAL MANAGEMENT reference number 6.1.2 for records relating to the processing of financial forms.</p>	Temporary	Retain for 3 years after the financial year to which the records relate, then destroy.
6.1.18	Regular or periodic system reports on financial transactions used for routine administrative purposes. Includes consolidated monthly and quarterly financial statements, monthly accrual statements.	Temporary	Retain for 2 years after action completed, then destroy.

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Reference	Description of records	Status	Disposal Action
6.1.19	<p>Cardholder data</p> <p>Records containing cardholder data captured as part of an electronic financial transaction including information printed, processed, transmitted or stored in any form on a payment card.</p> <p>Information may include, but is not limited to:</p> <ul style="list-style-type: none"> • Primary Account Number (PAN) • cardholder name • expiry date • service code. <p><i>Management of these records should be in accordance with the Payment Card Industry – Data Security Standard (PCI – DSS).</i></p>	Temporary	Destroy 3 months after last business, legal and/or regulatory action.
6.1.20	<p>Sensitive authentication data</p> <p>Records containing sensitive cardholder authentication data captured as part of an electronic financial transaction.</p> <p>Information may include, but is not limited to:</p> <ul style="list-style-type: none"> • card verification value (CAV2, CID, CVC2 or CVV2) • full magnetic stripe data • Personal Identification Number (PIN)/PIN Block. <p><i>Management of these records should be in accordance with the Payment Card Industry – Data Security Standard (PCI – DSS).</i></p>	Temporary	Destroy after transaction completed.

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Reference	Description of records	Status	Disposal Action
6.2	ACQUISITION <i>The process of gaining ownership or use of property, services and other items required in the conduct of business.</i>		
6.2.1	Acquisition records, including quotations, requisitions, orders, invoices, etc.	Temporary	Retain for 7 years after action completed, then destroy.
6.2.2	Duplicate copies of acquisition records (including purchase order book butts) retained in business units or regional offices.	Temporary	Retain for 2 years after action completed, then destroy.
6.3	ADVICE <i>The activity of offering opinions by or to the public authority as to an action or judgement. Includes the process of advising.</i>		
6.3.1	Financial management advice Records relating to advice provided to or received by the public authority on financial management matters. <i>See FINANCIAL MANAGEMENT reference number 6.12 for advice relating to contracts</i> <i>For high level advice – see 6.9.1</i> <i>See FINANCIAL MANAGEMENT reference number 6.9.1 for high level advice</i>	Temporary	Retain for 8 years after action completed, then destroy.
6.4	AGREEMENTS <i>The activity of establishing, maintaining, reviewing and negotiating agreements.</i>		

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Reference	Description of records	Status	Disposal Action
6.4.1	Financial agreements not under seal Records relating to the negotiation, establishment, maintenance and review of agreements not under seal relating to financial management.	Temporary	Retain for 8 years after agreement expires or action completed whichever is later, then destroy.
6.4.2	Financial agreement under seal Records relating to the negotiation, establishment, maintenance and review of agreements under seal relating to financial management.	Temporary	Retain for 21 years after agreement expires or action completed whichever is later, then destroy.
6.5	ALLOCATION <i>The activity of assigning money, items or equipment to employees or organisational units.</i>		
6.5.1	Fund allocation Records relating to the allocation of funds to individual units within the public authority following budget requests.	Temporary	Retain for 6 years after the financial year to which the records relate, then destroy.

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Reference	Description of records	Status	Disposal Action
6.6	<p>ASSET REGISTER</p> <p><i>The activity of recording all assets owned or controlled by the public authority. Includes the date of purchase, depreciation expense, written down value as well as stocktaking and auditing notations.</i></p> <p>Note: <i>Assets include property, plant/infrastructure, equipment and intangibles (such as software) from which the agency is able to derive future economic benefits.</i></p> <p>See EQUIPMENT AND STORES for non-financial records relating to equipment and consumable items.</p> <p>See FLEET MANAGEMENT for non-financial records relating to vehicles used by the agency.</p> <p>See PROPERTY MANAGEMENT for non-financial records relating to capital assets.</p> <p>See TECHNOLOGY AND TELECOMMUNICATIONS for non-financial records relating to technology and telecommunications.</p>		
6.6.1	<p>Asset registers</p> <p>Entries in asset registers that provide a summary of the assets owned or controlled by the public authority.</p> <p>Includes registers of portable and attractive items, losses and assets written off.</p>	Temporary	Retain entries for 7 years after disposal of the asset, then destroy.

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Reference	Description of records	Status	Disposal Action
6.6.2	<p>Asset management records</p> <p>Records relating to the asset management process including:</p> <ul style="list-style-type: none"> • approvals • authorisations • asset identification • valuations • revaluations • verifications • transfers • depreciation • evaluation • losses and write offs. <p><i>See FINANCIAL MANAGEMENT reference number 6.25 for reports on asset reviews prepared for Treasury.</i></p> <p><i>See Acquisition under the relevant function for non-financial records relating to the procurement of assets.</i></p> <p><i>See Disposal under the relevant function for non-financial records relating to the disposal of assets.</i></p>	Temporary	Retain for 7 years after the financial year to which the records relate, then destroy.

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Reference	Description of records	Status	Disposal Action
6.7	<p>AUDIT</p> <p><i>The activity of officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of the public authority in a specified period.</i></p> <p><i>See INFORMATION MANAGEMENT – Inspections for records of audit or inspections by an archival authority or the management of records in response to a discovery order</i></p>		
6.7.1	<p>Financial audits - Internal/external</p> <p>Records relating to internal or external audits resulting in substantial changes to agency financial management policy, precedents or procedures. Includes significant audit outcomes such as failure and reparation, police investigations and prosecutions.</p>	Permanent	Retain permanently.
6.7.2	<p>Records relating to internal or external financial audits of the public authority not resulting in substantial changes to agency financial management policy, precedents or procedures.. Includes financial and compliance audits performed to improve operating efficiency and accountability.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • interim and final audit reports • responses to audit findings from relevant business areas • recommendations • audit plans and strategies for specific audits • implementation plans • reports of corrective action taken • working papers. <p>See BOARDS AND COMMITTEES for records of Internal Audit Committees.</p>	Temporary	Retain for 7 years after the financial year to which the records relate, then destroy.

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Reference	Description of records	Status	Disposal Action
	See FINANCIAL MANAGEMENT reference number 6.8.2 for Head of Internal Audit delegations.		
6.7.3	<p>Financial audits - audit program/plan</p> <p>Records relating to the internal financial audit program/plan.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • internal financial audit charter • financial audit program/plan. <p>See FINANCIAL MANAGEMENT reference number 6.7.2 for records relating to internal and external audits.</p>	Temporary	Retain for 7 years after action completed, then destroy.
6.7.4	<p>Register of audit findings</p> <p>Entries in the register of issues arising from financial audits recorded for internal use.</p>	Temporary	Retain entries for 7 years after the financial year to which the audit relates, then destroy.
6.8	<p>AUTHORISATION</p> <p><i>The activity of seeking and granting permission to undertake a requested action.</i></p>		
6.8.1	Delegations of financial authority to Chief Executives and officers occupying statutory positions.	Permanent	Retain permanently.
6.8.2	<p>Delegations of power</p> <p>Records relating to delegations of power to public authority staff to authorise financial activities and transactions e.g. delegation to approve expenditure or authorisation to countersign cheques. Includes delegation reviews.</p> <p>See PERSONNEL AND STAFF MANAGEMENT reference number 12.5 for other records relating to delegations of authority.</p>	Temporary	Retain for 7 years after delegation is cancelled or superseded, then destroy.

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Reference	Description of records	Status	Disposal Action
6.8.3	<p>Register of delegations</p> <p>Entries in the register of financial delegations to authorise financial transactions.</p>	Temporary	Retain entries for 7 years after delegation is cancelled or superseded, then destroy.
6.8.4	<p>Client authorisations</p> <p>Authorisations to conduct financial transactions on behalf of clients e.g. credit card/direct debit authorisations. Includes amendments to authorisations.</p> <p>Credit cardholder details must be managed in accordance with the PCI DSS (Payment Card Industry Data Security Standards).</p>	Temporary	Retain for 7 years after action completed, then destroy.
6.8.5	<p>Statutory body financial approvals</p> <p>Records relating to applications submitted by statutory bodies, including local governments, to the Treasurer for approval to exercise a power (if applicable). .</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • applications • approvals • supporting documentation. <p>See FINANCIAL MANAGEMENT reference number 6.9.2 for records relating to budget-related approvals.</p> <p>See FINANCIAL MANAGEMENT reference number 6.1.11 for payments requiring special approval.</p>	Temporary	Retain for 7 years after action completed, then destroy.
6.8.6	<p>Statutory body approvals register</p> <p>Entries in the register of approvals given by the Treasurer to statutory bodies, including local governments, for the exercise of a power (if applicable).</p>	Temporary	Retain entries for 7 years after repeal of the approval, then destroy.

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Reference	Description of records	Status	Disposal Action
6.9	<p>BUDGETING</p> <p><i>The activity of planning the use of expected income and expenditure over a specified period.</i></p>		
6.9.1	<p>Records relating to the Agency annual budget estimates submitted by the Chief Executive to the Minister for approval and records relating to the budgeting of substantial new policy proposals or programs including details justification and substantive background information. Includes revised estimates.</p>	Permanent	Retain permanently.
6.9.2	<p><i>Budget records</i></p> <p>Records relating to the development and approval of the agency's operating budget. Includes estimates, requests and allocations prepared for external approval by the relevant Minister, governing department, Council or committee.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • budget statements • submissions • approvals • briefings • calculations • forecasts • costings • working papers • progress reports.. 	Temporary	Retain for 7 years after the financial year to which the records relate, then destroy.
6.10	<p>COMMITTEES</p> <p><i>See BOARDS AND COMMITTEES</i></p>		

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Reference	Description of records	Status	Disposal Action
6.11	<p>COMPLIANCE</p> <p><i>The activity of complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements to which the public authority is subject. Includes compliance with legislation and national and international standards.</i></p>		
6.11.1	Records relating to serious breaches of financial management compliance requirements that may result significant outcomes such as failure and reparation, police investigations and prosecutions.	Permanent	Retain permanently.
6.11.2	<p>Registration</p> <p>Records relating to the public authority's financial registration requirements. Includes records relating to changes to registration and de-registration.</p> <p>Records may include, but are not limited to, registration of:</p> <ul style="list-style-type: none"> • Australian Business Number (ABN) • Australian Company Number (ACN) • Data Universal Numbering System Number (DUNS) • Tax File Number (TFN) • AUSTRAC. 	Temporary	Retain for 7 years after registration lapses or is superseded, then destroy.

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Reference	Description of records	Status	Disposal Action
6.11.3	<p>Exemptions – Financial Management and Legislation</p> <p>Records relating to the agency’s exemption from compliance with provisions of financial and management standards and legislation. .</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • applications to and correspondence with the Treasurer. • legal advice received by the agency relating to grounds for exemption • application for exemption • decision notice from AUSTRAC. <p>See FINANCIAL MANAGEMENT reference number 6.13 for records relating to cases of fraud or corruption.</p> <p>See FINANCIAL MANAGEMENT reference number 6.24 for records relating to procedural controls to prevent fraud.</p> <p>See FINANCIAL MANAGEMENT reference number 6.25 for records relating to the agency’s reporting requirements.</p> <p>See FINANCIAL MANAGEMENT reference number 6.27 for records relating to risk management and the prevention of fraud.</p> <p>See FINANCIAL MANAGEMENT reference number 6.1.12 for taxation-related exemptions.</p>	Temporary	Retain for 7 years after expiry or refusal of exemption, then destroy.
6.11.4	Records relating to minor breaches of financial management compliance requirements.	Temporary	Retain for 6 years after action completed, then destroy.

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Reference	Description of records	Status	Disposal Action
6.12	<p>CONTRACTING-OUT</p> <p><i>The activity of arranging, procuring and managing the performance of work or the provision of services by an external contractor or consultant, or by using external bureau services. Includes outsourcing.</i></p> <p>Note: <i>This section should not be used for contracts relating to services provided by the agency to another organisation as part of the agency's core business functions. Refer to the public authority's core business or sector authority .</i></p> <p>See FINANCIAL MANAGEMENT reference number 6.24 for records relating to acquisition/procurement procedures.</p> <p>See FINANCIAL MANAGEMENT reference number 6.30 for records relating to tendering.</p>		
6.12.1	Records relating to the hiring and use of consultants, contractors and suppliers for outsourcing that is the subject of major public interest and debate.	Permanent	Retain permanently.
6.12.2	<p>Highly Significant (landmark) contracts</p> <p>Records relating to contracts that are highly significant and/or have created major public interest and controversy</p>	Permanent	Retain permanently

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Reference	Description of records	Status	Disposal Action
6.12.3	<p>Contracts – under seal</p> <p>Records relating to the management of approved contracts under seal.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • contracts • agreements • terms and conditions • guarantees and undertakings • contract performance • related correspondence • contract variations. <p>See LEGAL SERVICES reference number 11.8 for litigation arising from contractual disputes.</p> <p>See TECHNOLOGY AND TELECOMMUNICATION reference number 16.30 for records documenting the procurement process prior to the awarding of the contract.</p>	Temporary	Retain for 21 years after the expiry or termination of the contract, then destroy.
6.12.4	<p>Contract register</p> <p>Entries in the register of contracts.</p> <p>See FINANCIAL MANAGEMENT reference number 6.1.7 and 6.1.8 for financial commitments for future expenditure which are not yet formalised in a contract.</p>	Temporary	Retain for 21 years after last entry, then destroy.

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Reference	Description of records	Status	Disposal Action
6.12.5	<p>Contracts – not under seal</p> <p>Records relating to the management of approved contracts not under seal.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • contracts • agreements • terms and conditions • guarantees and undertakings • contract performance • related correspondence • contract variations. <p>See LEGAL SERVICES reference number 11.8 for litigation arising from contractual disputes.</p> <p>See TECHNOLOGY AND TELECOMMUNICATION reference number 16.30 for records documenting the procurement process prior to the awarding of the contract.</p>	Temporary	Retain for 8 years after the expiry or termination of the contract, then destroy.
6.12.6	Regular or periodic system reports on the contractual and financial obligations of the agency.	Temporary	Retain for 2 years after action completed, then destroy.

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Reference	Description of records	Status	Disposal Action
6.13	<p>CORRUPTION</p> <p><i>The processes which allow the disclosure of corruption and strategies for the prevention of corruption. Includes involvement in corruption prevention projects undertaken by the Crime and Misconduct Commission and the education of staff about corruption prevention disclosures.</i></p> <p>See STRATEGIC MANAGEMENT reference number 15.7 for records relating to corruption</p> <p>See STRATEGIC MANAGEMENT reference number 15.22 for records relating to agency-wide risk management strategies.</p> <p>See PERSONNEL AND STAFF DEVELOPMENT for records relating to investigations into individual employees and the resulting disciplinary action.</p>		
6.14	<p>DONATIONS</p> <p><i>The activity of managing money, items, artefacts or property donated to the public authority, or by the public authority and/or its staff to charities, etc. Includes managing unsolicited donations.</i></p>		
6.14.1	<p>Gifts and benefits – financial records and gift register</p> <p>Records relating to financial transactions involving gifts, benefits and other reportable items received or donated by the public authority and/or its officers.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • gift register • approvals • notifications • terms and conditions. <p>See COMMUNITY RELATIONS reference number 2.7 for other records relating to the management of gifts.</p> <p>See PERSONNEL AND STAFF MANAGEMENT for pecuniary interest declarations.</p>	Temporary	Retain for 7 years after action completed, then destroy.

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Reference	Description of records	Status	Disposal Action
6.15	<p>FINANCIAL STATEMENTS</p> <p><i>The activity of compiling annual financial statements of the public authority in accordance with accounting standards.</i></p> <p><i>See FINANCIAL MANAGEMENT reference number 6.25 for other financial reporting requirements.</i></p>		
6.15.1	<p>Annual and periodic financial statements</p> <p>Records relating to annual and periodic financial statements prepared by the public authority.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • certified financial statements prepared for abolished public authorities • certified financial statements prepared for newly formed public authorities • agency copies of Auditor-General's reports, comments and agency response • working papers relating to the preparation of financial statements. <p><i>See FINANCIAL MANAGEMENT reference number 6.25 for other financial reports.</i></p> <p><i>See PUBLICATION reference number 14.13 for records relating to the preparation and publication of Annual Reports and legal deposit requirements.</i></p>	Temporary	Retain for 7 years after the financial year to which the records relate, then destroy.
6.16	<p>FUNDS MANAGEMENT</p> <p><i>The activity of managing the funds of a public authority in an efficient and economical manner by ensuring an effective system of internal controls is in operation. Includes investments and loans.</i></p>		

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Reference	Description of records	Status	Disposal Action
6.16.1	<p>Trusts – establishment</p> <p>Records relating to the establishment of trusts.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • instrument/deed of trust • valuations • general correspondence relating to the establishment of the trust. <p><i>Note: Trusts established for the purpose of the agency’s core business functions (e.g. community trusts, river improvement trusts, client management trusts, etc.) should be covered in the public authority’s core business or sector schedule.</i></p>	Temporary	Retain for 7 years after the disbursement of all assets/funds, then destroy.
6.16.2	<p>Trusts - management</p> <p>Records relating to the routine management of trust funds.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • periodic reports • batching records • incorrect calculations reports • processing/reporting request forms • processing/updates or file maintenance run lists • trial balances • stores and materials daily/trial/current balances and balance comparison. 	Temporary	Retain for 7 years after the financial year to which the records relate, then destroy.

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Reference	Description of records	Status	Disposal Action
6.16.3	<p>Loans and investments</p> <p>Records relating to the establishment and ongoing management of loan and investment accounts.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • approvals • statements • reports • reconciliations • guarantees and undertakings • balances. <p>See FINANCIAL MANAGEMENT reference number 6.8.5 for approvals required by statutory bodies (if applicable).</p> <p>See FINANCIAL MANAGEMENT reference number 6.1.11 for records relating to special payments.</p>	Temporary	Retain for 7 years after loan finalised, then destroy.
6.17	<p>GRANT FUNDING</p> <p><i>The activity of managing the grants funding process where the agency either receives or administers grants.</i></p> <p>See FINANCIAL MANAGEMENT reference number 6.1 for financial records relating to the receipt or payment of money.</p>		

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Reference	Description of records	Status	Disposal Action
6.17.1	<p><i>Funding received by the agency - successful</i></p> <p>Records relating to the receipt and administration of grant funds and subsidies received by the public authority including successful applications.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • successful applications • approvals • agreements • notifications • progress reports. 	Temporary	Retain for 8 years after grant has been acquitted, then destroy.
6.17.2	<p><i>Administered grants - successful applications for funding</i></p> <p>Records relating to grants and subsidies distributed by the public authority. Includes successful applications.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • applications • approvals • agreements • notifications • progress reports. 	Temporary	Retain for 8 years after grant has been acquitted, then destroy.

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Reference	Description of records	Status	Disposal Action
6.17.3	<p>Administered grants - unsuccessful applications for funding</p> <p>Records relating to applications for grant funding or subsidies administered by the public authority which are unsuccessful. Includes records of appeals or reviews where the decision to refuse the application is confirmed.</p> <p><i>See FINANCIAL MANAGEMENT reference number 6.17.2 for records relating to applications which are successful on appeal or review.</i></p>	Temporary	Retain for 2 years after closing date for funding round, then destroy.
6.17.4	<p>Funding applications by the agency - unsuccessful</p> <p>Records relating to unsuccessful applications submitted by the public authority for grant funding or subsidies. Includes records of appeals or reviews where the decision to refuse the application is confirmed.</p> <p><i>See FINANCIAL MANAGEMENT reference number 6.17.1 for records relating to applications which are successful on appeal or review.</i></p>	Temporary	Retain for 2 years after action completed, then destroy.
6.18	<p>LEASING</p> <p><i>The activities involved in leasing items or equipment from another organisation.</i></p>		
6.18.1	Records relating to leasing of items or equipment under seal.	Temporary	Retain for 21 years after action completed, then destroy.
6.18.2	Records relating to leasing items or equipment not under seal.	Temporary	Retain for 8 years after action completed, then destroy.

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Reference	Description of records	Status	Disposal Action
6.19	<p>LEASING-OUT</p> <p><i>The activities involved in leasing-out items or equipment to another organisation or person for a specified period and agreed price. Includes the formal documentation setting out conditions, rights, responsibilities etc of both parties. Also includes subleasing.</i></p>		
6.19.1	Records relating to leasing-out of items or equipment under seal.	Temporary	Retain for 21 years after action completed, then destroy.
6.19.2	Records relating to leasing-out of items or equipment not under seal.	Temporary	Retain for 7 years after action completed, then destroy.
6.20	<p>MEETINGS</p> <p>See STRATEGIC MANAGEMENT - Meetings</p>		
6.21	<p>PAYMENTS</p> <p>See FINANCIAL MANAGEMENT reference number 6.1 for accounting records relating to the receipt or payment of money.</p>		
6.22	<p>PLANNING</p> <p><i>The activity of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.</i></p> <p>See FINANCIAL MANAGEMENT reference number 6.25 for progress reports on financial management plans.</p> <p>See STRATEGIC MANAGEMENT reference number 15.16 for other strategic and corporate plans.</p>		

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Reference	Description of records	Status	Disposal Action
6.22.1	<p>Operational finance plans - final</p> <p>Final version of approved operational, business, regional financial management plans.</p> <p>See STRATEGIC MANAGEMENT reference number 15.16 for plans relating to the business model of the public authority, e.g. plans for commercialisation.</p>	Temporary	Retain for 7 years after action completed, then destroy.
6.22.2	<p>Operational finance plans - development</p> <p>Records relating to the development of financial management plans.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • approvals • draft plans • reports • submissions • amendments • calculations • consultation records • working papers. 	Temporary	Retain for 3 years after action completed, then destroy.
6.23	<p>POLICY</p> <p><i>The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the public authority's operating procedures are determined.</i></p> <p>See STRATEGIC MANAGEMENT reference number 15.17 for records relating to financial policy</p>		

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Reference	Description of records	Status	Disposal Action
6.24	<p>PROCEDURES</p> <p><i>Standard methods of operating laid down by a public authority according to formulated policy.</i></p> <p><i>See STRATEGIC MANAGEMENT reference number 15.18 for records relating to financial procedures</i></p>		
6.25	<p>REPORTING</p> <p><i>The activities associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies) and to provide formal statements or findings of the results of the examination or investigation. Includes agendas, briefings, discussion papers, proposals, reports, reviews and returns.</i></p> <p><i>See PUBLICATION reference number 14.13 for records relating to the production and publication of Annual Reports.</i></p> <p><i>See FINANCIAL MANAGEMENT reference number 6.7 for audit records and reports.</i></p>		
6.25.1	<p>Finance reports</p> <p>Financial management reports prepared in response to a statutory requirement by a public authority and by organisations during the course of their regular duties, excluding Government Owned Corporations.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • periodic reports • notifications of losses and defalcations • Chief Finance Officer statements and supporting documentation • performance reports. • reports generated for internal use <p><i>See FINANCIAL MANAGEMENT reference number 6.15.1 for records relating to the agency's annual financial statements.</i></p>	Temporary	Retain for 7 years after the financial year to which the records relate, then destroy.

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Reference	Description of records	Status	Disposal Action
6.25.2	<p>Finance reports – development</p> <p>Records relating to the development of financial reports.</p>	Temporary	Retain for 3 years after action completed, then destroy.
6.26	<p>REVIEWING</p> <p><i>The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.</i></p> <p>See FINANCIAL MANAGEMENT reference number 6.7 for audit records and reports.</p>		
6.26.1	<p>Financial performance reviews</p> <p>Records relating to reviews or appraisals of financial management programs, operations and systems for compliance with financial legislation and standards. Includes ad-hoc reviews of reported system weaknesses and long-term sustainability reviews.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • establishment records • reports • recommendations • action plans. <p>See FINANCIAL MANAGEMENT reference number 6.7.2 for records of audits which lead to a review.</p> <p>See STRATEGIC MANAGEMENT reference number 15.16 for records relating to business development plans.</p>	Temporary	Retain for 7 years after action completed, then destroy.

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Reference	Description of records	Status	Disposal Action
6.27	<p>RISK MANAGEMENT</p> <p><i>The activities associated with implementing and maintaining appropriate management controls including policies, procedures and practices to reduce the effects of risk to an acceptable level. The process involves identifying, analysing, assessing, treating and monitoring risk in all areas of a public authority's operations and business.</i></p> <p>See STRATEGIC MANAGEMENT reference number 15.22 for records relating to financial risk management</p> <p>See COMPENSATION reference number 3.7 for records relating to insurance against identified risks.</p> <p>See BOARDS AND COMMITTEES for records of internal risk management committees.</p> <p>See STRATEGIC MANAGEMENT reference number 15.22 for records relating to other corporate risks.</p>		
6.28	<p>SALARIES</p> <p><i>The process of managing the payment of salaries to personnel.</i></p> <p>See FINANCIAL MANAGEMENT reference number 6.1.2 for financial records relating to the payment of salaries.</p> <p>See PERSONNEL AND STAFF DEVELOPMENT for employee related records.</p>		
6.29	<p>STANDARDS</p> <p>See STRATEGIC MANAGEMENT - Standards</p>		
6.30	<p>TENDERING</p> <p><i>The activity of receiving and assessing tenders. Includes offers made in writing by one party to another to carry out at an inclusive price or uniform rate, an order for the supply or purchase of goods, or for the production of work.</i></p> <p>Note: <i>This authority should not be used for tenders submitted by the agency to provide services to another organisation. Refer to the public authority's core business or sector schedule.</i></p> <p>See FINANCIAL MANAGEMENT reference number 6.12 for records relating to approved contracts.</p>		
6.30.1	Approval and granting of official seals of agencies, Ministers or organisations (e.g seals used by authorities, boards of committees, etc).	Permanent	Retain permanently.

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Reference	Description of records	Status	Disposal Action
6.30.2	<p>Highly significant (landmark) tenders</p> <p>Records relating to the receipt and assessment of tenders and letting of landmark contracts that have created major public interest or controversy. Includes successful and non successful tenders as well as contract documents and contract renewals</p>	Permanent	Retain permanently.
6.30.3	<p>Tenders not of high (landmark) significance – under seal</p> <p>Records relating to the receipt, assessment development, issue and evaluation of successful and unsuccessful tenders that have not created major public interest or controversy, that are under seal.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • statement of requirements • request for proposals • expressions of interest • invitations to offer/invitations to quote • specifications • evaluation arrangements • evaluation reports • recommendations • final reports • public notices. • submissions • notifications • evaluation reports. 	Temporary	Retain for 21 years after action completed, then destroy.

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Reference	Description of records	Status	Disposal Action
6.30.4	Successful tenders not of high (landmark) significance – not under seal Records relating to the receipt and assessment of tenders and letting of contracts that have not created major public interest or controversy. Includes successful tenders as well as contract documents and contract renewals	Temporary	Retain for 8 years after action completed, then destroy.
6.30.5	Unsuccessful tenders not of high (landmark) significance – not under seal Records relating to the receipt and assessment of unsuccessful tenders that have not created major public interest or controversy and that are not under seal.	Temporary	Retain for 3 years after action completed, then destroy.
6.30.6	Tender register Entries in the tender register.	Temporary	Retain for 21 years after tender process completed, then destroy.
6.31	USER CHARGING <i>The activity of setting fees and charges for services and goods provided by a public authority.</i> See FINANCIAL MANAGEMENT reference number 6.9.2 for records relating to budget planning.		
6.31.1	Fee schedule and setting fees Records relating to the scheduling of fees and charges set by the public authority and records relating to charging for goods and services provided by the public authority including identifying goods and services which may be charged for and examining levels of charges. Includes approvals. See PUBLICATION for records relating to the publication of approved fees and changes.	Temporary	Retain for 7 years after the financial year to which the records relate, then destroy.

7. FLEET MANAGEMENT

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

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

See section 6.1 for records relating to fuel cards.

Reference	Description of Records	Status	Disposal Action
7.1	<p>ACCIDENTS</p> <p><i>The activities involved in dealing with mishaps causing damage to vehicles..</i></p>		
7.1.1	<p>Records relating to mishaps causing damage to agency vehicles.</p> <p><i>See WORKPLACE HEALTH AND SAFETY reference number 17.1 for accidents involving agency vehicles that result in death</i></p>	Temporary	Retain for 7 years after action completed, then destroy.
7.2	<p>ACQUISITION</p> <p><i>The process of gaining ownership or use of property, services and other items required in the conduct of business where there is no tendering or contracting-out process, i.e. where the cost of the acquisition is below the threshold for tendering.</i></p> <p><i>See FINANCIAL MANAGEMENT for financial records relating to the procurement process.</i></p> <p><i>See FLEET MANAGEMENT reference number 7.9.1 for records relating to the disposal of vehicles.</i></p>		
7.2.1	<p>Non-financial records relating to the acquisition of vehicles by purchase or lease.</p>	Temporary	Retain for 7 years after action completed, then destroy.

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Reference	Description of Records	Status	Disposal Action
7.3	<p>ALLOWANCES</p> <p><i>Payments to individuals relating to the use of vehicles.</i></p> <p><i>See PERSONNEL AND STAFF DEVELOPMENT reference number 12.2 for records relating to how fleet vehicles are to be used by staff</i></p>		
7.4	<p>ARRANGEMENTS</p> <p><i>The activities involved in arranging for a journey or trip. Includes preparing travel itineraries, authorisations, entitlements, etc. Also includes arrangements made for the delivery of equipment or goods and the usage made of facilities, facilities vehicles, equipment and space.</i></p>		
7.4.1	Vehicle running sheets or logbooks.	Temporary	Retain for 7 years after action completed, then destroy.
7.4.2	Vehicle booking records.	Temporary	Retain for 2 years after action completed, then destroy.
7.5	<p>AUTHORISATION</p> <p><i>See PERSONNEL AND STAFF DEVELOPMENT reference number 12.5 for records relating to authorisation of staff to use fleet vehicles</i></p>		
7.6	<p>COMMITTEES</p> <p>See BOARDS AND COMMITTEES</p>		

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Reference	Description of Records	Status	Disposal Action
7.7	<p>COMPLIANCE</p> <p>For compliance in relation to Information Management, such as Right to Information, Freedom of Information or Privacy legislation – see INFORMATION MANAGEMENT - Compliance</p> <p>For compliance in relation to Financial Management – see FINANCIAL MANAGEMENT - Compliance</p> <p>For compliance with other mandatory or optional accountability, legal, regulatory or quality standards - See STRATEGIC MANAGEMENT – Compliance</p> <p>For compliance in relation to Workplace Health and Safety – see WORKPLACE HEALTH AND SAFETY - Compliance</p>		
7.8	<p>CONTRACTING-OUT</p> <p>See FINANCIAL MANAGEMENT – Contracting-Out</p>		
7.9	<p>DISPOSAL</p> <p><i>The process of disposing of vehicles no longer required by the organisation, by sale, transfer, termination of lease, auction, donation or destruction.</i></p> <p>See FLEET MANAGEMENT reference number 7.2 for records relating to the acquisition of vehicles.</p>		
7.9.1	Records relating to the disposal of vehicles through any means, including destruction, sale and replacement.	Temporary	Retain for 7 years after action completed, then destroy.
7.10	<p>INFRINGEMENTS</p> <p><i>The activities associated with handling breaches of rules. Includes driving or traffic infringements.</i></p>		
7.10.1	Records relating to infringements of traffic regulations by agency staff.	Temporary	Retain for 1 year after action completed, then destroy.

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Reference	Description of Records	Status	Disposal Action
7.11	INSURANCE <i>The process of taking out insurance policies to cover loss or damage to vehicles and to cover the agency against damage to another organisation's property.</i>		
7.11.1	Vehicle insurance policies. Includes records relating to the renewal of insurance policies.	Temporary	Retain for 7 years after expiry or cancellation of policy, then destroy.
7.11.2	Records documenting insurance claims regarding damage to vehicles <i>See COMPENSATION reference number 3.4 for insurance claims relating to individuals</i>	Temporary	Retain for 7 years after action completed, then destroy.
7.12	MAINTENANCE <i>The activities associated with the upkeep, repair and preservation of internal/external conditions of premises, equipment, vehicles, etc.</i>		
7.12.1	Records relating to vehicle maintenance including service history (log books). Excludes maintenance contracts. <i>See FINANCIAL MANAGEMENT for the procurement of maintenance contracts.</i>	Temporary	Transfer log book to new owner when no longer required or retain for 1 year after disposal of vehicle, then destroy.
7.12.2	Registration records Records relating to vehicle registration and renewal	Temporary	Retain for 1 year after renewal, then destroy.
7.13	MEETINGS See STRATEGIC MANAGEMENT - Meetings		

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Reference	Description of Records	Status	Disposal Action
7.14	POLICY See STRATEGIC MANAGEMENT - Policy		
7.15	PROCEDURES See STRATEGIC MANAGEMENT - Procedures		
7.16	REPORTING See STRATEGIC MANAGEMENT - Reporting		
7.17	TENDERING See FINANCIAL MANAGEMENT - Tendering		

8. GOVERNMENT RELATIONS

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

Reference	Description of Records	Status	Disposal Action
8.1	ADDRESSES <i>The activity of giving addresses and presentations at government occasions.</i>		
8.1.1	Records relating to addresses and presentations given at major occasions, or on matters of substantial public interest and debate.	Permanent	Retain permanently.
8.1.2	Records relating to addresses and presentation given by agency representatives at conferences or events arranged by other parts of government or other local, state, commonwealth or overseas governments. Excludes presentations at staff training seminars, workshops, etc, for which see PERSONNEL AND STAFF DEVELOPMENT – Addresses (presentations).	Temporary	Retain for 7 years after action completed, then destroy.
8.1.3	Records relating to other addresses and presentations, e.g. for routine promotion of agency services or marketing products.	Temporary	Retain for 2 years after action completed, then destroy.
8.2	ADVICE <i>The activities associated with the offering of opinions by or to the agency as to an action or judgement.</i>		
8.2.1	Records relating to the provision of high level advice, e.g. to the relevant Minister or Ministerial Council, government agencies or the Chief Executive, relating to controversial public issues shown to have far-reaching social, economic and/or national implications. Includes records documenting the development of advice.	Permanent	Retain permanently.

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Reference	Description of Records	Status	Disposal Action
8.2.2	Records relating to advice provided to agencies that does not contain controversial public issues shown have far reaching social, economic and national implications.	Temporary	Retain for 8 years after action completed, then destroy.
8.3	<p>AGREEMENTS <i>The processes associated with the establishment, maintenance, review and negotiation of agreements.</i></p>		
8.3.1	<p><i>Highly significant (landmark) agreements</i> Records relating to agreements, including joint ventures and public-private partnerships, in which the agency has been involved that has created major public interest or controversy. Includes agreements and proposed agreements</p>	Permanent	Retain permanently.
8.3.2	<p><i>Agreements not of high (landmark) significance – under seal</i> Records relating to the agreements in which the agency has been involved that has not created major public interest or controversy.</p>	Temporary	Retain for 21 years after action completed, then destroy.
8.3.3	<p><i>Agreements not of high (landmark) significance – not under seal</i> Records relating to the agreements in which the agency has been involved that has not created major public interest or controversy.</p>	Temporary	Retain for 8 years after action completed, then destroy.

General Retention and Disposal Authority for Administrative Records of National Bodies

Reference	Description of Records	Status	Disposal Action
8.4	<p>COMMITTEES</p> <p>See BOARDS AND COMMITTEES</p>		
8.5	<p>COMPLIANCE</p> <p>For compliance in relation to Information Management, such as Right to Information, Freedom of Information or Privacy legislation – see INFORMATION MANAGEMENT - Compliance</p> <p>For compliance in relation to Financial Management – see FINANCIAL MANAGEMENT - Compliance</p> <p>For compliance with other mandatory or optional accountability, legal, regulatory or quality standards - See STRATEGIC MANAGEMENT – Compliance</p> <p>For compliance in relation to Workplace Health and Safety – see WORKPLACE HEALTH AND SAFETY - Compliance</p>		
8.6	<p>GREETINGS</p> <p><i>The activities associated with preparing and sending letters of appreciation or condolences. Includes mailing lists for Christmas cards.</i></p>		
8.6.1	<p>Records relating to the preparation and sending of greetings. Also includes greetings received by the agency. Includes address lists.</p>	Temporary	Retain for 2 years after action completed, then destroy.
8.7	<p>INQUIRIES</p> <p><i>The activities associated with liaising with bodies carrying out inquiries, and participating in them. Inquiries are investigations carried out by persons or bodies that have been empowered to inquire and report on a subject. These include inquiries carried out by Royal Commissions, Parliament and the Ombudsman. Includes the agency's participation in the inquiry by providing evidence in the form of records, submissions or staff.</i></p> <p><i>NOTE: This retention and disposal authority does not authorise the disposal of records of the formal inquiry body. Contact the relevant archival authority for further advice regarding these records.</i></p>		

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Reference	Description of Records	Status	Disposal Action
8.7.1	Formal Inquiries into the Functions of the Agency Records of formal inquiries, such as Royal Commissions, Parliamentary Commissioner for Administrative Investigations (Ombudsman) and Judicial Reviews into functions of the agency (including transcripts of proceedings, minutes, submissions, exhibits, registers, interim and final reports, research papers). Includes records relating to implementation of the findings and recommendations of an inquiry.	Permanent	Retain permanently.
8.7.2	Agency submissions or contributions to inquiries which are not related to their functions.	Temporary	Retain for 7 years after action completed, then destroy.
8.8	JOINT VENTURES <i>The activities involved in managing joint operations between departments, either within the agency or with other agencies, or with the interstate governments where there is a contract, joint contribution to funds and/or time. Includes ventures with the private sector and co-research or collaboration between departments or agencies. Includes the development of Memorandums of Understanding.</i> See GOVERNMENT RELATIONS reference number 8.3 for records relating to joint ventures.		
8.9	LEGISLATION See STRATEGIC MANAGEMENT - Legislation		
8.10	MEETINGS See STRATEGIC MANAGEMENT - Meetings		
8.11	POLICY See STRATEGIC MANAGEMENT - Policy		
8.12	PROCEDURES See STRATEGIC MANAGEMENT - Procedures		

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Reference	Description of Records	Status	Disposal Action
8.13	<p>REPORTING</p> <p><i>The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and to provide formal statements or findings of the results of their examination or investigation. Includes agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.</i></p>		
8.13.1	Major reports prepared by the agency about core business activities.	Permanent	Retain permanently.
8.13.2	Minor reports prepared by the agency about core business activities Excludes reports prepared by the agency about administrative activities.	Temporary	Retain for 7 years after action completed, then destroy.
8.13.3	Reports prepared by the agency about administrative activities.	Temporary	Retain for 5 years after action completed, then destroy.
8.13.4	Records relating to surveys completed for external government agencies.	Temporary	Retain for 2 years after action completed, then destroy.
8.14	<p>REPRESENTATIONS</p> <p><i>The activities involved in preparing responses to questions raised in Parliament by Members of Parliament on behalf of their constituents. Also includes community-based representations and representations directed to the agency seeking a formal response.</i></p>		
8.14.1	Records relating to the management of representations that result in changes in policy.	Permanent	Retain permanently.
8.14.2	Records relating to the management of representations that do not result in changes in policy.	Temporary	Retain for 8 years after action completed, then destroy.

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Reference	Description of Records	Status	Disposal Action
8.14.3	Parliamentary matters Records relating to Parliamentary questions, possible questions or questions without notice.	Temporary	Retain for 2 years after action completed, then destroy.
8.15	REPRESENTATIVES <i>The activities associated with the nomination, appointment or resignation of individuals or groups of personnel appointed by the agency or their co-workers as official representatives to organisations, offices, unions, workers participation committees, councils or groups. Includes the agency's legal representatives.</i>		
8.15.1	Nomination, appointment and resignation of agency representatives.	Temporary	Retain for 2 years after resignation or term of office expires, then destroy.
8.16	RESEARCH See STRATEGIC MANAGEMENT - Research		
8.17	REVIEWING See STRATEGIC MANAGEMENT - Reviewing		
8.18	SUBMISSIONS <i>The preparation and submission of a formal statement (e.g. reports, statistics, etc.) supporting a case or opinion held by an agency to an internal or external body.</i>		
8.18.1	Ministerial submissions - major Submissions made to the Minister about significant functional issues, contentious issues or issues of major significance to the agency and/or the community at large. Includes Ministerial briefs; reports to the Minister; responses to ministerial enquiries and ministerial speech notes prepared by the agency.	Permanent	Retain permanently.

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Reference	Description of Records	Status	Disposal Action
8.18.2	Ministerial submissions – minor Submissions made to the minister of a minor or administrative nature. Includes Ministerial briefs; reports to the Minister; responses to ministerial enquiries and ministerial speech notes prepared by the agency.	Temporary	Retain for 7 years after action completed, then destroy.
8.18.3	Records relating to routine Ministerial correspondence..	Temporary	Retain for 2 years after action completed, then destroy.
8.19	VISITS <i>The activities involved in arranging visits by the Premier, Ministers and agency representatives within the state, interstate and overseas.</i>		
8.19.1	Records documenting official visits to the agency by dignitaries or delegations from other governments and visits by agency delegates to other governments and overseas	Permanent	Retain permanently.
8.19.2	Arrangements relating to visits by dignitaries to commemorations, exhibitions, etc., organised by the agency. Includes security arrangements and visit reports..	Temporary	Retain for 7 years after action completed, then destroy.

9. INDUSTRIAL RELATIONS

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

Reference	Description of Records	Status	Disposal Action
9.1	<p>ADVICE</p> <p><i>The activities associated with the offering of opinions by or to the agency as to an action or judgement.</i></p>		
9.1.1	Records relating to the provision of high level advice, e.g. to Chief Executive, relating to substantive aspects of agency industrial relations policies, procedures, functions, obligations and liabilities.	Permanent	Retain permanently
9.1.2	Records relating to the provision of other advice dealing with industrial relations issues.	Temporary	Retain for 8 years after action completed, then destroy.
9.2	<p>AGREEMENTS AND AWARDS (INDUSTRIAL)</p> <p><i>The processes associated with the establishment, maintenance, review and negotiation of workplace agreements and awards.</i></p>		
9.2.1	Reviews of industrial awards with significant input by the agency..	Permanent	Retain permanently.
9.2.2	Copies of awards and agreements.	Temporary	Retain copies for 1 year after award/ agreement has been superseded, then destroy.

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Reference	Description of Records	Status	Disposal Action
9.2.3	Copies of decisions and determinations of the Industrial Commission.	Temporary	Retain for 10 years after action completed, then destroy.
9.3	APPEALS <i>The activities involved in the process of appeals against industrial relations decisions by application to a higher authority.</i>		
9.3.1	Records relating to promotion/demotion, grievance and disciplinary appeals resolved within the agency or by an external tribunal or other authority.	Temporary	Retain for 7 years after action completed, then destroy.
9.4	CLAIMS <i>The process of administering and managing payments in accordance with an insurance policy as compensation for injury, death, or denial of rights of a person or damage or destruction of property. Includes disputes over rights and ownership, and recompense sought for stolen or lost property.</i>		
9.4.1	Claims relating to pay and working conditions lodged under legislation on, or specific to, the department or agency.	Temporary	Retain for 7 years after action completed, then destroy.
9.5	COMMITTEES See BOARDS AND COMMITTEES		

General Retention and Disposal Authority for Administrative Records of National Bodies

Reference	Description of Records	Status	Disposal Action
9.6	<p>COMPLIANCE</p> <p>For compliance in relation to Information Management, such as Right to Information, Freedom of Information or Privacy legislation – see INFORMATION MANAGEMENT - Compliance</p> <p>For compliance in relation to Financial Management – see FINANCIAL MANAGEMENT - Compliance</p> <p>For compliance with other mandatory or optional accountability, legal, regulatory or quality standards - See STRATEGIC MANAGEMENT – Compliance</p> <p>For compliance in relation to Workplace Health and Safety – see WORKPLACE HEALTH AND SAFETY - Compliance</p>		
9.7	<p>DISPUTES</p> <p><i>The activities associated with the resolution of disputes relating to dissatisfaction about a work situation.</i></p>		
9.7.1	Records relating to industrial disputes which have a <i>major</i> impact on the agency's operations..	Permanent	Retain permanently.
9.7.2	Records relating to <i>major</i> disputes involving the agency's staff.	Permanent	Retain permanently.
9.7.3	Records relating to <i>minor</i> disputes involving the agency's staff.	Temporary	Retain for 7 years after action completed, then destroy.
9.8	<p>ENTERPRISE BARGAINING</p> <p><i>The process where employees negotiate increased pay or other benefits with their employers in exchange for the implementation of working arrangements that improve the performance of the agency. Includes the activities associated with establishing and implementing an enterprise agreement.</i></p> <p>See STRATEGIC MANAGEMENT for records of workplace consultative committees.</p>		
9.8.1	Records relating to successful enterprise bargaining, including policy, case/examples of implementation, negotiations and enterprise agreements..	Permanent	Retain permanently.

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Reference	Description of Records	Status	Disposal Action
9.8.2	Records relating to the development of an enterprise agreement. Includes records of cases that did not result in an agreement	Temporary	Retain for 9 years after action completed, then destroy.
9.8.3	Enterprise bargaining working papers.	Temporary	Retain for 2 years after action completed, then destroy.
9.9	INDUSTRIAL ACTION <i>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.</i>		
9.9.1	Records relating to industrial action that had a major impact on agency operations, e.g. strikes involving a substantial number of agency staff and having a major impact on agency operations. Includes conciliation and dispute resolution processes.	Permanent	Retain permanently.
9.9.2	Records relating to industrial action resolved with minimal impact on agency operations.	Temporary	Retain for 9 years after action completed, then destroy.
9.10	MEETINGS See STRATEGIC MANAGEMENT - Meetings		
9.11	PLANNING See STRATEGIC MANAGEMENT - Planning		
9.12	POLICY See STRATEGIC MANAGEMENT - Policy		

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Reference	Description of Records	Status	Disposal Action
9.13	PROCEDURES See STRATEGIC MANAGEMENT - Procedures		
9.14	REPORTING See STRATEGIC MANAGEMENT - Reporting		
9.15	RESEARCH See STRATEGIC MANAGEMENT - Research		

10. INFORMATION MANAGEMENT

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

Reference	Description of Records	Status	Disposal Action
10.1	<p>ACQUISITION</p> <p><i>The process of gaining ownership or use of information resources or the provision of information services through purchases.</i></p>		
10.1.1	Records relating to the acquisition of external publications and library materials, including subscriptions to journals, orders, approvals, etc.	Temporary	Retain for 7 years after action completed, then destroy.
10.2	<p>AUDIT</p> <p><i>The activities associated with officially checking records to ensure they have been kept and maintained in accordance with agreed or legislated standards.</i></p>		
10.2.1	Records relating to official audits of information systems, facilities and processes. Includes working papers, audit trail records, and system reports.	Temporary	Retain for 7 years after action completed, then destroy.
10.3	<p>COMMITTEES</p> <p>See BOARDS AND COMMITTEES</p>		
10.4	<p>COMPLIANCE</p> <p><i>The activity associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements to which the organisation is subject. Includes compliance with legislation and with national and international standards, such as ISO 9000 series.</i></p> <p><i>Includes compliance with the Right to Information or Freedom of Information legislation.</i></p> <p><i>See COMMUNITY RELATIONS reference number 2.8 for general enquiries and requests for information received by the agency.</i></p>		

General Retention and Disposal Authority for Administrative Records of National Bodies

Reference	Description of Records	Status	Disposal Action
10.4.1	Records relating to the management of serious breaches of compliance requirements.	Permanent	Retain permanently.
10.4.2	Records relating to agency compliance with mandatory standards or statutory requirements. Includes proof of compliance.	Temporary	Retain for 7 years after action completed, then destroy.
10.4.3	Records relating to the management of minor breaches of compliance requirements.	Temporary	Retain for 5 years after action completed, then destroy.
10.4.4	Right to Information applications – precedent-setting Application files relating to the management of precedent-setting cases or cases generating substantial public interest.	Permanent	Retain permanently
10.4.5	Right to Information applications Application files relating to the management of cases that are not precedent-setting or cases that do not generate substantial public interest. Includes application files for access/amendment to records requested under Right to Information or Freedom of Information which may or may not have been subject to internal or external review Includes copies of documents provided to applicant.	Temporary	Retain for 8 years after action completed, then destroy.
10.4.6	Right to Information – routine correspondence Routine correspondence dealing with <i>minor</i> matters related to Right to Information or Freedom of Information.	Temporary	Retain for 2 years after action completed, then destroy.
10.4.7	Right to Information applications – withdrawn or referred Application files relating to the management of withdrawn applications or applications referred to other agencies.	Temporary	Retain for 2 years after action completed, then destroy.

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Reference	Description of Records	Status	Disposal Action
10.4.8	Privacy – precedent-setting cases Records relating to individual privacy cases that are of a contentious or precedent-setting nature.	Permanent	Retain permanently
10.4.9	Privacy – confidentiality agreements Confidentiality agreements between the agency and external bodies, and related records.	Temporary	Retain for 7 years after lapsing of agreement, or action completed, whichever is later, then destroy.
10.4.10	Privacy - plans Plans for the implementation of privacy controls/principles for the collection, use, storage and disclosure of personal information.	Temporary	Retain for 5 years after superseded, then destroy.
10.4.11	Privacy - investigations Investigations into alleged privacy breaches, including unauthorised disposal of records containing personal information.	Temporary	Retain for 5 years after action completed, then destroy.
10.4.12	Privacy – other cases Records relating to individual privacy cases privacy cases that are not of a contentious or precedent-setting nature.	Temporary	Retain for 2 years after action completed, then destroy.
10.4.13	General information management - guidelines and procedures Guidelines and procedures developed by the agency for Right to Information or Freedom of Information. Includes the right to information privacy.	Temporary	Retain for 1 year after superseded, then destroy.
10.5	CONSERVATION <i>The activities involved in the preservation, protection, maintenance, restoration and enhancement of information resources and artefacts.</i>		

General Retention and Disposal Authority for Administrative Records of National Bodies

Reference	Description of Records	Status	Disposal Action
10.5.1	Records documenting specialised preservation treatment undertaken on permanent records, (e.g. for specific formats such as photographs).	Permanent	Retain permanently.
10.5.2	Records relating to agency conservation plans for the preservation of records and other information resources. Also includes disaster plans and identification of vital records.	Temporary	Retain for 2 years after plan superseded, then destroy.
10.5.3	Records relating to routine preservation activities undertaken on agency records, including bookbinding and repairs..	Temporary	Retain for 2 years after action completed, then destroy.
10.6	CONTRACTING-OUT See FINANCIAL MANAGEMENT – Contracting-Out		
10.7	CONTROL <i>The activity associated with creating, maintaining and evaluating control mechanisms, Includes classification, indexing, registration, forms design, etc. to ensure maximum control over records and recordkeeping systems. Also includes control mechanisms for other information resources and systems.</i> <i>For records relating to the management of a collection operated for the benefit of the public, please refer to the agency's core business Retention and Disposal Authority.</i>		
10.7.1	Primary control records Primary control records for records required as State Archives which are required to facilitate access and give meaning and context to the records over time. Records include: indexes, correspondence file registers or registration systems and mandatory recordkeeping metadata standard data elements. <i>See INFORMATION MANAGEMENT reference number 10.10.1 for records relating to the disposal of public records.</i>	Permanent	Retain permanently.

General Retention and Disposal Authority for Administrative Records of National Bodies

Reference	Description of Records	Status	Disposal Action
10.7.2	Primary control records for records which are required as State archives but which are not required to facilitate access and give meaning and context to the records over time	Temporary	Retain minimum of 20 years after records to which they relate are finally disposed of, then destroy.
10.7.3	Primary control records for records not required as State archives.	Temporary	Retain minimum of 20 years after records to which they relate are destroyed or finally disposed of, then destroy.
10.7.4	Secondary control records. Records include: <ul style="list-style-type: none"> • file or container movement records (if secondary to the main registers and indexes) • reference sets of control records (e.g. within branches/regions of organisation where master control records are retained centrally) • resubmit, barcode and location lists • superseded sets of control records where information has been fully transferred to a new system • workflow tracking systems facilitating the tracking and monitoring of cases where the systems are not acting as records management systems, e.g. Ministerial tracking systems, minor case management tracking systems. 	Temporary	Retain until administrative or reference use ceases, then destroy.

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Reference	Description of Records	Status	Disposal Action
10.7.5	Control records documenting library collections e.g. library catalogue	Temporary	Retain for 1 year after collection is disposed of, then destroy.
10.7.6	Secure document handling Registers of, and receipts for, classified or confidential files, correspondence or safe-hand material, including access registers and destruction certificates for classified material..	Temporary	Retain for 5 years after action completed, then destroy.
10.7.7	File retrieval Documentation relating to the withdrawal or return of records from Archives or other records storage providers..	Temporary	Retain for 2 years after action completed, then destroy.
10.7.8	Secondary control records Secondary control, processing and reference records maintained in either electronic or hard copy format. Records may include, but are not limited to: <ul style="list-style-type: none"> • file transit and requisition advice • resubmit books, cards and diaries • file movement cards or metadata (not showing the ultimate disposal of files) • file census sheets • reference or duplicate control records maintained at sub-registries or other elements of the agency (e.g. branches, sections, outposted staff) • reports generated from master control records. 	Temporary	Retain for 1 year after action completed, then destroy.
10.7.9	Loans and control records Loan records and reference material, including accession lists, lists of holdings of other libraries, inter-library loans, publishers' catalogues and price lists, etc.	Temporary	Retain for 1 year after action completed, then destroy.

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Reference	Description of Records	Status	Disposal Action
10.8	<p>CUSTOMER SERVICE</p> <p><i>The activities associated with the planning, monitoring and evaluation of services provided to customers by the agency.</i></p>		
10.8.1	Records relating to the management of specialised customer services, e.g. help/information desks, websites, interpreters, facilities for disabled customers, changes to opening hours, outreach services, etc.	Temporary	Retain for 5 years after action completed, then destroy.
10.8.2	Records relating to the development and implementation of quality management practices relating to meeting customer needs.	Temporary	Retain for 2 years after action completed, then destroy.
10.8.3	<p><i>Enquiries Management</i></p> <p>Records relating to enquiries directed to an agency.</p>	Temporary	Retain for 2 years after action completed, then destroy.
10.9	<p>DATA ADMINISTRATION</p> <p><i>The activities associated with maintaining and using the data that is held in a system, either automated or manual. Includes the maintenance of data dictionaries and the application of vital records and counter disaster plan objectives to safeguard against data loss or corruption.</i></p> <p><i>See STRATEGIC MANAGEMENT reference number 15.9 for records relating to Disaster Recovery</i></p>		
10.9.1	Records relating to the planning and coordination of information systems. Includes migration of data to successor systems.	Temporary	Retain for 7 years after system closed or superseded, or data migrated to successor system, then destroy.
10.9.2	Records relating to administrative support for the maintenance of data standards, data definitions and data dictionaries. Includes records that explain the meaning, purpose, logical relationships, use and origin of data.	Temporary	Retain for 7 years after system closed or superseded, or data migrated to successor system, then destroy.

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Reference	Description of Records	Status	Disposal Action
10.9.3	Periodic data reports and related records used for checking, monitoring, and other routine administrative purposes. Includes data logs.	Temporary	Retain for 1 year after action completed, then destroy.
10.10	<p>DISPOSAL</p> <p><i>The activity of disposing of property no longer required by the organisation, by sale, transfer, termination of lease, auction or destruction. Includes destruction or transfer of archives, and the program of activities to facilitate the orderly transfer of semi-active and inactive records from current office space to low-cost or archival storage.</i></p>		
10.10.1	<p>Records transferred to the Archival Authority and master records disposal documentation</p> <p>Transfer and access documentation for records transferred to the Archival Authority or to another agency or organisation as a consequence of a change in administrative arrangements or functions. Master set/s of records relating to routine disposal matters, including: agency specific disposal authorities issued by the Archival Authority; records of records destruction, including notifications of destruction issued by the Archival Authority; and evidence of the public authority's compliance with the Archival Authority's requirements relating to the early disposal of original paper records which have been digitised.</p> <p>See INFORMATION MANAGEMENT reference number 10.7 for master control records.</p>	Temporary	Retain for 20 years after action completed, then destroy.
10.10.2	<p>Retention and Disposal Authority development</p> <p>Records relating to appraisal documentation submitted to the Archival Authority for the issue of disposal authorities.</p>	Temporary	Retain for 10 years after Authority superseded, then destroy.
10.10.3	Records relating to the disposal of library materials and other information products.	Temporary	Retain for 7 years after action completed, then destroy.

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Reference	Description of Records	Status	Disposal Action
10.11	DISTRIBUTION <i>The activities associated with disseminating items, correspondence or publications through sales, deliveries or other customer services.</i>		
10.11.1	Records relating to distribution of correspondence and other items in the agency. Includes retrievals from secondary storage.	Temporary	Retain for 1 year after action completed, then destroy.
10.12	DONATIONS See COMMUNITY RELATIONS reference number 2.7 for records relating to donations		
10.13	ENQUIRIES <i>Receiving and responding to enquiries regarding information and services.</i>		
10.13.1	Routine management of library services provided by the agency including provision of materials and records of individual users, loans and inter-library loans.	Temporary	Retain for 2 years after action completed, then destroy.
10.13.2	Reference material relating to library services including publishers' catalogues, price lists, information from other libraries and agencies, etc.	Temporary	Retain for 3 months after action completed, then destroy.
10.14	EVALUATION See STRATEGIC MANAGEMENT - Evaluation		
10.15	IMPLEMENTATION See STRATEGIC MANAGEMENT reference number 15.12 for records relating to technology implementation		
10.16	INSPECTIONS <i>The inspection of records by a monitoring agency.</i> See LEGAL SERVICES , class 11.8.4 for the management of discovery orders		

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Reference	Description of Records	Status	Disposal Action
10.16.1	Records relating to inspections of agency records by a monitoring agency such as the Archival Authority.	TEMPORARY	Retain for 3 years after action completed, then destroy.
10.17	<p>INTELLECTUAL PROPERTY</p> <p><i>The activities involved in managing the agency's intellectual property, both published and unpublished. Includes copyright, patents, and trademarks, royalties and matters of confidentiality such as trade secrets.</i></p>		
10.17.1	<p>Ownership</p> <p>Records relating to ownership by the agency of copyright, trademarks and patents.</p>	Temporary	Retain 7 years after ownership lapses, then destroy.
10.17.2	<p>Intellectual Property - infringements</p> <p>Documentation relating to infringements of copyright.</p>	Temporary	Retain for 10 years after action completed, then destroy.
10.17.3	<p>Intellectual Property - usage</p> <p>Applications by the agency for permission to reproduce material held under copyright by other individuals/organisations. Includes copyright declaration forms.</p>	Temporary	Retain for 7 years after action completed, then destroy.
10.17.4	<p>Intellectual Property - requests</p> <p>Applications received by the agency for permission to reproduce material in which it owns copyright. Includes copyright declaration forms.</p>	Temporary	Retain for 7 years after expiration of the period for which permission is granted, then destroy.
10.17.5	<p>Intellectual Property - agreements</p> <p>Copyright agreements.</p>	Temporary	Retain for 7 years after lapsing of agreement, or action completed, whichever is later, then destroy.

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Reference	Description of Records	Status	Disposal Action
10.17.6	Records relating to the administration of royalties received by the agency.	Temporary	Retain for 7 years after action completed, then destroy.
10.18	MEETINGS See STRATEGIC MANAGEMENT - Meetings		
10.19	PLANNING See STRATEGIC MANAGEMENT - PLANNING		
10.20	PRIVACY <i>The activity associated with applying the principles of privacy. Includes data protection in relation to privacy. Also includes the process of collection, handling, use and disclosure of records of a private, personal or confidential nature to maintain that the rights of a living person (or immediate family) are secure from unauthorised disclosure or access to such information.</i> See INFORMATION MANAGEMENT reference number 10.4 for records relating to privacy		
10.21	RESEARCH See STRATEGIC MANAGEMENT - Research		
10.22	REVIEWING See STRATEGIC MANAGEMENT - Reviewing		
10.23	RISK MANAGEMENT See STRATEGIC MANAGEMENT – Risk Management		
10.24	SECURITY <i>The activities associated with measures taken to protect information from accidental or intentional damage or from unauthorised access.</i>		

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Reference	Description of Records	Status	Disposal Action
10.24.1	Security arrangements for records including sensitive, financial and critical records.	Temporary	Retain for 5 years after superseded, then destroy.
10.25	STANDARDS See STRATEGIC MANAGEMENT - Standards		

11. LEGAL SERVICES

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

Reference	Description of Records	Status	Disposal Action
11.1	<p>ADVICE</p> <p><i>The activities associated with the offering of opinions by or to the agency as to an action or judgement. Includes the process of advising.</i></p>		
11.1.1	Legal advice from inside and outside the agency relating to interpretations of legislation administered by the agency; proposals for new or amended legislation; <i>major</i> issues of public interest, precedents or matters which have a major impact on the agency's policy and procedures.	Permanent	Retain permanently
11.1.2	Legal advice from inside and outside the agency relating to interpretations of legislation administered by the agency; which have a <i>minor</i> impact on the agency's policy and procedures	Temporary	Retain for 10 years after action completed, then destroy.

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Reference	Description of Records	Status	Disposal Action
11.2	AGREEMENTS See STRATEGIC MANAGEMENT - Agreements		
11.3	COMMITTEES See BOARDS AND COMMITTEES		
11.4	COMPLIANCE For compliance in relation to Information Management, such as Right to Information, Freedom of Information or Privacy legislation – see INFORMATION MANAGEMENT - Compliance For compliance in relation to Financial Management – see FINANCIAL MANAGEMENT - Compliance For compliance with other mandatory or optional accountability, legal, regulatory or quality standards - See STRATEGIC MANAGEMENT – Compliance For compliance in relation to Workplace Health and Safety – see WORKPLACE HEALTH AND SAFETY - Compliance		
11.5	CONTRACTING-OUT See FINANCIAL MANAGEMENT – Contracting-Out		
11.6	INQUIRIES See GOVERNMENT RELATIONS - Inquiries		
11.7	INTELLECTUAL PROPERTY See INFORMATION MANAGEMENT – Intellectual Property		

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Reference	Description of Records	Status	Disposal Action
11.8	<p>LITIGATION</p> <p><i>The activities involved in managing lawsuits or legal proceedings between the agency and other parties in a court or other tribunal. Includes briefs for counsel, copies of documents required by or lodged with a court, consultation with the Attorney – General’s department and other agencies, and records documenting compliance with court instructions, e.g. subpoenas and discovery orders.</i></p> <p>Note: <i>Records that are or may be needed in evidence in a judicial proceeding, including any reasonably possible judicial proceeding, must be retained for longer.</i></p>		
11.8.1	Records relating to <i>major</i> issues of public interest or controversy; claims or matters which are of a precedent-setting nature or which have a major impact on the agency’s policy and procedures.	Permanent	Retain permanently
11.8.2	<p>Public interest disclosures – substantiated</p> <p>Records relating to public interest disclosures made which are substantiated.</p>	Permanent	Retain permanently.
11.8.3	Records created and received during the legal discovery process. Includes subpoenas and discovery orders also includes arrangements for agency witnesses to attend court.	Temporary	Retain for 10 years after action completed, then destroy.
11.8.4	Records relating to the provision of access to records for legal purposes, including implementation of discovery orders, court subpoenas, requests from tribunals, Ombudsman’s Office, etc.	Temporary	Retain for 10 years after action completed, then destroy.
11.8.5	Records relating to issues, claims or case matters which are not <i>major</i> matters or issues of public interest or controversy. Includes claims of a <i>minor</i> nature.	Temporary	Retain for 7 years after action completed, then destroy.

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Reference	Description of Records	Status	Disposal Action
11.8.6	Public interest disclosures - unproven Records relating to public interest disclosures which are unfounded or unsubstantiated after necessary action has been taken.	Temporary	Retain for 3 years after action completed, then destroy.
11.9	MEETINGS See STRATEGIC MANAGEMENT - Meetings		
11.10	PLANNING See STRATEGIC MANAGEMENT - Planning		
11.11	POLICY See STRATEGIC MANAGEMENT - Policy		
11.12	REPORTING See STRATEGIC MANAGEMENT - Reporting		
11.13	RESEARCH See STRATEGIC MANAGEMENT - Research		
11.14	REVIEWING See STRATEGIC MANAGEMENT - Reviewing		
11.15	SUBMISSIONS See GOVERNMENT RELATIONS - Submissions		

12. PERSONNEL AND STAFF DEVELOPMENT

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

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

Reference	Description of Records	Status	Disposal Action
12.1	<p>ADDRESSES (PRESENTATIONS)</p> <p><i>The activity of giving addresses for training, professional, community relations or sales purposes. Includes speeches and multi-media presentations.</i></p> <p><i>See COMMUNITY RELATIONS reference number 2.1 and GOVERNMENT RELATIONS reference number 8.1 for records relating to addresses and presentations.</i></p>		
12.2	<p>ALLOWANCES</p> <p><i>The activities involved in arranging and managing money paid to employees in addition to salary to cover expenses incurred in the course of employment, e.g. travelling allowances.</i></p>		
12.2.1	<p>Records relating to allowances paid to agency staff and volunteers. Includes allowances for travelling, moving, shifts, meals, etc. Also includes rejected applications for allowances.</p>	Temporary	Retain for 7 years after action completed, then destroy.

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Reference	Description of Records	Status	Disposal Action
12.3	<p>ARRANGEMENTS</p> <p><i>The activities involved in arranging for a journey or trip. Includes preparing travel itineraries, authorisations, entitlements etc.</i></p> <p>See FINANCIAL MANAGEMENT for payments relating to staff travel.</p>		
12.3.1	Administrative arrangements and specific files relevant to domestic and overseas travel, including itineraries, visas and passport applications. Also includes records relating to the authorisation of staff travel..	Temporary	Retain for 7 years after action completed, then destroy.
12.3.2	Visit reports where the information is required to fulfil finance and accounting requirements.	Temporary	Retain for 2 years after action completed, then destroy.
12.4	<p>AUDIT</p> <p>See STRATEGIC MANAGEMENT - Audit</p>		
12.5	<p>AUTHORISATION</p> <p><i>The process of seeking and granting permission to undertake a requested action.</i></p> <p>See FINANCIAL MANAGEMENT reference number 6.8 for financial delegations.</p>		

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Reference	Description of Records	Status	Disposal Action
12.5.1	<p>Delegations – High level</p> <p>Records relating to delegations of authority relating to the functional or administrative responsibilities of the agency where the delegation is issued:</p> <ul style="list-style-type: none"> • to a Chief Executive Officer or • to a statutory office holder or • by a Minister and maintained in the Department. <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • Instrument of Delegation • Register of Delegations and Authorisations. . 	Permanent	Retain permanently
12.5.2	<p>Delegations – Other</p> <p>Records relating to other delegations of authority relating to the functional or administrative responsibilities of the agency issued to officers that are not covered by reference number 12.5.1. Excludes financial delegations.</p> <p>See FINANCIAL MANAGEMENT reference number 6.8 for financial delegations.</p>	Temporary	Retain for 7 years after delegation is cancelled or superseded, then destroy.

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Reference	Description of Records	Status	Disposal Action
12.6	<p>COMMITTEES</p> <p>See BOARDS AND COMMITTEES</p>		
12.7	<p>COMPLIANCE</p> <p>For compliance in relation to Information Management, such as Right to Information, Freedom of Information or Privacy legislation – see INFORMATION MANAGEMENT - Compliance</p> <p>For compliance in relation to Financial Management – see FINANCIAL MANAGEMENT - Compliance</p> <p>For compliance with other mandatory or optional accountability, legal, regulatory or quality standards - See STRATEGIC MANAGEMENT – Compliance</p> <p>For compliance in relation to Workplace Health and Safety – see WORKPLACE HEALTH AND SAFETY - Compliance</p>		
12.8	<p>CONFERENCES</p> <p>See COMMUNITY RELATIONS - Conferences</p>		
12.9	<p>CONTRACTINGT-OUT</p> <p>See FINANCIAL MANAGEMENT – Contracting-Out</p>		
12.10	<p>COUNSELLING</p> <p><i>The activities associated with giving advice or guidance to employees for various reasons.</i></p>		
12.10.1	<p>Employee assistance – case files</p> <p>Name-specific files raised regarding employee assistance and personal welfare matters (e.g. hardship relief, welfare counselling, bereavement, travel).</p> <p>Note: <i>Some agencies may need to retain these records longer, e.g. the Police</i></p>	Temporary	Retain for 7 years after action completed, then destroy.

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Reference	Description of Records	Status	Disposal Action
12.11	<p>DISCIPLINE</p> <p><i>The activities and actions associated with the discipline process. Includes investigations, charges, formal enquiries, punishment and appeals resolved within the agency or by an external authority.</i></p> <p>See PERSONNEL AND STAFF DEVELOPMENT reference number 12.13 for grievances not relating to a discipline process.</p> <p>See PERSONNEL AND STAFF DEVELOPMENT reference number 12.19 for managing diminished performance and other performance issues.</p>		
12.11.1	<p>Landmark Disciplinary Action</p> <p>Records of disciplinary cases that generate substantial public interest and debate/or result in changes to agency policy or procedures. Includes summary sheets, interview records, investigation notes or assessments, personal statements, final reports and appeals.</p>	Permanent	Retain permanently.
12.11.2	<p>Disciplinary Action – Informal</p> <p>Records relating to the management of cases where employees not formally disciplined. Includes records relating to internal enquiries and ongoing disciplinary action. Includes summary sheets, interview records, unsubstantiated investigation notes or assessments, personal statements and final reports.</p>	Temporary	Retain for 7 years after action completed, then destroy.
12.11.3	<p>Disciplinary Action – Formal</p> <p><i>Records relating to the management of cases where employees are formally disciplined. Includes records relating to internal enquiries and ongoing disciplinary action. Includes summary sheets, interview records, investigation notes or assessments, personal statements, final reports and appeals.</i></p>	Temporary	Retain for 7 years after action completed unless destruction required earlier as part of an agreement, then destroy.
12.12	<p>EMPLOYMENT CONDITIONS</p> <p><i>The activities associated with managing the general conditions of employment for personnel.</i></p>		

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Reference	Description of Records	Status	Disposal Action
12.12.1	<p>Personnel Registers</p> <p>Summary records or consolidated service histories of employees and volunteers. Includes registers, electronic records, indexes or sheets which document, employees' appointment history, education, qualifications, salary and superannuation history, etc.</p> <p>Note: Summary records may include details such as: identification number, name, date of birth, address, contacts, date appointed, status, position and dates held, locations worked, promotions and higher duties and dates held, salary rates, allowances</p>	Permanent	Retain permanently.
12.12.2	<p>Chief Executive/Head of Agency Personnel Files</p> <p>Personnel files of prominent employees, such as the Chief Executive/Head of Agency.</p>	Permanent	Retain permanently.
12.12.3	<p>Personnel Files</p> <p>Files of public sector employees that are not Chief Executive Officer/Head of Agency. Includes exempt personnel, work experience placements, contract employees etc.</p>	Temporary	Retain for eighty five (85) years from date of birth; or seven (7) years from date of separation/retirement whichever is later; or 7 years after death, then destroy.
12.12.4	<p>Pecuniary interests</p> <p>Register of declarations of pecuniary or other potentially conflicting interests.</p> <p>See FINANCIAL MANAGEMENT for financial records.</p> <p>See COMMUNITY RELATIONS reference number 2.12.1 for records documenting agency contact with lobbyists.</p>	Temporary	Retain for 10 years after action completed, then destroy.

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Reference	Description of Records	Status	Disposal Action
12.12.5	<p>Work diaries – Chief Executive Officer</p> <p>Work diaries of Chief Executive Officers of public authorities which record the occurrence of official duties. Includes electronic diaries.</p> <p><i>Note: Private appointment diaries not related to recording of official duties are not included.</i></p>	Temporary	Retain for 7 years after action completed, then destroy.
12.12.6	<p>Work diaries - other</p> <p>Work diaries of all employees that are not Chief Executive Officers all other officers. Includes electronic diaries.</p>	Temporary	Retain for 2 years after action completed, then destroy.
12.13	<p>GRIEVANCES</p> <p><i>The activities associated with issues or complaints raised by employees in relation to any workplace action or decision which directly affects them and which they perceive to be unfair or unreasonable.</i></p> <p><i>See PERSONNEL AND STAFF DEVELOPMENT reference number 12.11 for grievances which result in disciplinary action.</i></p> <p><i>See PERSONNEL AND STAFF DEVELOPMENT reference number 12.19 for managing diminished performance and other performance issues.</i></p> <p><i>See INDUSTRIAL RELATIONS reference number 9.3.1 for appeals to external tribunals or other authorities</i></p>		
12.13.1	Records relating to grievances and complaints generating substantial public interest and debate and resulting in changes to agency policy and procedures.	Permanent	Retain permanently.
12.13.2	<p>Internal grievances and Discrimination</p> <p>Records relating to the internal management of grievance cases and complaints which do not generate substantial public interest and debate or result in changes to agency policy and procedures. Includes incidences of discrimination and sexual harassment.</p> <p><i>See STRATEGIC MANAGEMENT for records relating to policy.</i></p>	Temporary	Retain for 7 years after action completed, then destroy.

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Reference	Description of Records	Status	Disposal Action
12.14	<p>INFRINGEMENTS</p> <p><i>The activities associated with handling breaches of the agency's rules by staff.</i></p> <p>See PERSONNEL AND STAFF DEVELOPMENT reference number 12.10 for infringement activities that result in counselling.</p> <p>See PERSONNEL AND STAFF DEVELOPMENT reference number 12.11 for infringement activities that result in discipline.</p> <p>See LEGAL SERVICES reference number 11.8 for infringement activities that result in litigation.</p>		
12.14.1	Records relating to infringements not resulting in counselling, discipline or litigation.	Temporary	Retain for 1 year after action completed, then destroy.
12.15	<p>INSURANCE</p> <p><i>The process of taking out premiums to cover loss or damage to property or premises, and to cover customers and staff against injury or death resulting from incidents on the agency's premises or whilst engaged during employment.</i></p> <p>See COMPENSATION reference number 3.7 for records relating to insurance.</p>		
12.16	<p>LEAVE</p> <p><i>The process of administering leave for which staff are eligible. Includes unauthorised leave taken by staff.</i></p> <p>See FINANCIAL MANAGEMENT reference number 6.1 for financial records relating to employee leave payments.</p>		
12.16.1	<p>Leave application forms. Includes supporting documentation in accordance with relevant legislation, awards, industrial agreements and agency policies where required (e.g. medical certificates).</p> <p>Records of consolidated leave should be included on the personnel file.</p>	Temporary	Retain for 7 year after action completed, then destroy.
12.17	<p>MARKETING</p> <p><i>The process of analysing, creating and selling services. Includes market research, advertising, media releases, promotion, etc.</i></p> <p>See PERSONNEL AND STAFF DEVELOPMENT reference number 2.13 for records relating to marketing employment opportunities to personnel</p>		

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Reference	Description of Records	Status	Disposal Action
12.18	<p>MEETINGS</p> <p>See STRATEGIC MANAGEMENT – Meetings</p>		
12.19	<p>PERFORMANCE MANAGEMENT</p> <p><i>The process of identifying, evaluating, and developing corporate and employee work performance so that the agency's goals and objectives are achieved and also benefitting employees through recognition, performance feedback, catering for work needs and offering career guidance.</i></p> <p>See PERSONNEL AND STAFF DEVELOPMENT reference number 12.13 for internal grievances not relating to a discipline process.</p> <p>See PERSONNEL AND STAFF DEVELOPMENT reference number 12.11 for grievances which result in discipline action.</p> <p>See STRATEGIC MANAGEMENT reference number 15.15 for agency performance management.</p> <p>See INDUSTRIAL RELATIONS reference number 9.3.1 for appeals to external tribunals or other authorities</p>		
12.19.1	Records relating to substantial honours and awards conferred on agency staff or volunteers as tokens of distinction or achievement, e.g. honorary degrees, Australian Honours, Public Service Medals, etc.	Permanent	Retain permanently.
12.19.2	Employee assessment reports, action plans, counselling on work performance, career paths, etc.	Temporary	Retain for 7 years after action completed, then destroy.

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Reference	Description of Records	Status	Disposal Action
12.19.3	<p><i>Diminished performance – disciplinary action</i></p> <p>Documentation relating to diminished performance cases resulting in disciplinary action that leads to the rescission of appointment or the non-approval of salary increment. And diminished performance cases where disciplinary action does not result in the rescission/termination of appointment or the non-approval of salary increment.</p>	Temporary	<p>Retain for 7 years after action completed, then destroy.</p> <p><i>Where rescission of appointment has resulted, documentation relating to the rescission of appointment should be placed on a confidential part of the employee's personnel file.</i></p>
12.19.4	<p><i>Diminished performance – no disciplinary action</i></p> <p>Documentation relating to diminished performance cases resulting in no disciplinary action, rescission/termination of appointment or non-approval of salary increment.</p>	Temporary	Retain for 7 years after action completed, then destroy.
12.19.5	Records relating to performance improvement.	Temporary	Retain for 7 years after action completed, then destroy.
12.20	<p>PLANNING</p> <p><i>The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.</i></p>		

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Reference	Description of Records	Status	Disposal Action
12.20.1	Records of employment plans, succession planning and workforce planning.	Temporary	Retain for 5 years after superseded, then destroy.
12.21	POLICY See STRATEGIC MANAGEMENT – Policy		
12.22	PROCEDURES See STRATEGIC MANAGEMENT - Procedures		
12.23	RECRUITMENT <i>Records relating to individual vacant positions advertised for filling by assignment or reassignment, including details of vacant position, classification and salary, job and person specification and schedule of applicants; applications and supporting documentation for each applicant; selection reports and recommendation and copies of vetting reports.</i> Note: Documentation other than the appointee's application is not to be placed on an employee's personnel file. Selection documentation should demonstrate that the provisions of the applicable recruitment and selection standard has been observed.		
12.23.1	Records relating to the recruitment of Chief Executives or any other appointment requiring a Cabinet or Ministerial submissions.	Permanent	Retain permanently.

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Reference	Description of Records	Status	Disposal Action
12.23.2	<p>Recruitment –positions</p> <p>Records relating to recruitment and selection for advertised substantive positions and non-substantive positions, including temporary acting and relieving arrangements.</p> <p>Records may include but are not limited to:</p> <ul style="list-style-type: none"> • unsuccessful applications • interview reports • panel recommendation reports • records of appeal/review. <p>Excludes criminal history checks.</p> <p>Note: Successful applications should be retained in accordance with the relevant personnel file.</p> <p>See PERSONNEL AND STAFF DEVELOPMENT reference number 12.23.3 for criminal history checks used for unsuccessful applicants.</p> <p>See PERSONNEL AND STAFF DEVELOPMENT reference number 12.23.4 for position descriptions.</p>	Temporary	Retain for 1 year after date of appointment or 1 year after the conclusion of any appeals process, whichever is longer, then destroy.

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Reference	Description of Records	Status	Disposal Action
12.23.3	<p><i>Criminal history, identity, security clearance and discipline history checks</i></p> <p>Records relating to criminal history, identity and discipline history checks conducted on preferred applicants as part of the recruitment process.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • consent forms and supporting documentation • correspondence with the Police • correspondence with the applicant • criminal history report • applicant's consent or withdrawal of consent • records documenting the reasons for finding the person unsuitable to perform relevant duties as a result of a criminal history. <p>Records relating to character and police record checks and documentation relating to clearances for current employees and volunteers.</p> <p><i>Note:</i> <i>If these records are retained on an agency Personnel File then sentence according to Personnel Files.</i></p> <p>Excludes checks performed under agency-specific legislation dealing with criminal history.</p> <p>Excludes Working with Children checks/employment screening checks</p> <p>See PERSONNEL AND STAFF DEVELOPMENT reference number 12.23 for checks performed on prospective employees and volunteers as part of the recruitment process.</p>	Temporary	<p>Retain until the suitability of the applicant has been determined or any review or appeals process has been concluded then destroy.</p> <p>Or if such information is considered the property of either the Commonwealth or the Police it should be retained in accordance with any special arrangement or memorandum of understanding.</p>

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Reference	Description of Records	Status	Disposal Action
12.23.4	Position descriptions (or statements of duty/role descriptions) of SES and other positions.	Temporary	Retain for 1 year after position superseded, then destroy.
12.23.5	Employment scheme records, including work experience, vacation and voluntary employment..	Temporary	Retain for 7 years after action completed, then destroy.
12.23.6	Records relating to recruiting campaigns.	Temporary	Retain for 5 years after action completed, then destroy.
12.23.7	Records relating to results of competency tests or assessments conducted by the agency to certify competency of staff.	Temporary	Retain for 2 years after action completed, then destroy.
12.23.8	Careers information; routine correspondence regarding careers information, employment directories, etc.	Temporary	Retain for 1 year after reference ceases, then destroy.
12.23.9	Employment enquiries received for positions not advertised.	Temporary	Retain for 1 year after reference ceases, then destroy.
12.24	<p>REPRESENTATIVES</p> <p><i>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.</i></p>		

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Reference	Description of Records	Status	Disposal Action
12.24.1	Records relating to the nominations, appointment and resignation of agency representatives.	Temporary	Retain for 2 years after resignation or term of office expires, then destroy.
12.25	REVIEWING See STRATEGIC MANAGEMENT - Reviewing		
12.26	SALARIES <i>The process of managing the payment of salaries to personnel.</i>		
12.26.1	Records documenting employees' salaries. Includes taxation declarations, group certificates, payroll deduction authorities, records relating to the recovery of overpayments and employee pay history records.	Temporary	Retain for 7 years after action completed, then destroy.
12.26.2	Employment declaration forms.	Temporary	Retain for 1 year after superseded or 1 year after separation, then destroy.
12.27	SECURITY <i>The activities associated with measures taken to protect people, premises, equipment or information from accidental or intentional damage or from unauthorised access. Includes the security classification of personnel and criminal records checks.</i>		
12.27.1	Records relating to classifying security levels of staff and volunteers.	Temporary	Retain for 7 years after separation from the public sector, then destroy.

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Reference	Description of Records	Status	Disposal Action
12.27.2	Records relating to the issue of security passes, keys, etc to staff and volunteers. Includes registers of pass and key holders.	Temporary	Retain for 1 year after arrangements superseded, then destroy.
12.28	<p>SEPARATIONS</p> <p><i>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.</i></p>		
12.28.1	Redundancy case files, i.e. files documenting individual redundancy cases.	Temporary	Retain as for Personnel Files.
12.28.2	Records relating to the administration of redundancy. Includes documentation on the selection of positions to be abolished and the process of offering redundancy to personnel, including expressions of interest not acted upon.	Temporary	Retain for 7 years after action completed, then destroy.
12.28.3	Routine correspondence relating to transfer, resignation, secondment and promotion.	Temporary	Retain for 2 years after action completed, then destroy.
12.29	<p>SOCIAL CLUBS</p> <p><i>The activities involved in the organisation's relationship with social clubs.</i></p>		
12.29.1	Records relating to social clubs including support and/or sponsorship given by the agency.	Temporary	Retain for 7 years after action completed, then destroy.
12.30	<p>SUGGESTIONS</p> <p><i>The process of using suggestions from personnel and the public to improve the services and processes of the organisation.</i></p>		

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Reference	Description of Records	Status	Disposal Action
12.30.1	Suggestions from staff, including staff surveys..	Temporary	Retain for 2 years after action completed, then destroy.
12.31	<p>TRAINING</p> <p><i>The activities associated with all aspects of training (external/internal) available to staff for their development.</i></p> <p>See PERSONNEL AND STAFF DEVELOPMENT reference number 12.12 where training records are maintained on employee files.</p>		
12.31.1	<p>Training – WHS and hazardous materials</p> <p>Records relating to the training of staff in WHS matters, including hazardous occupations, the handling of dangerous equipment and training of managers on their WHS responsibilities. Includes the register of WHS training arranged by or for the agency.</p>	Temporary	Retain for 50 years after last entry, then destroy..
12.31.2	<p>External training - attendance</p> <p>Records relating to arrangements for employee attendance at seminars or workshops, etc., conducted by another agency or organisation, including the provision of speakers, follow-up of contacts and administrative assistance..</p>	Temporary	Retain for 7 years after action completed, then destroy.
12.31.3	<p>Events organised by the agency (including administration)</p> <p>Records relating to major and minor seminars and workshops organised by the agency, including copies of programs, speeches, papers, summaries, attendance or contact lists, etc. Includes publicity, arrangements and follow-up action for seminars, workshops, etc., organised or coordinated by the agency.</p>	Temporary	Retain for 5 years after action completed, then destroy.

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Reference	Description of Records	Status	Disposal Action
12.31.4	<i>Internal training (including administration)</i> Master set of documentation regarding the development of long-term schemes unique to the agency (e.g. formal "on the job" training schemes, staff rotation). Master copies of printed handouts and audio visual material (including slides, films, cassettes, videos, etc.) for use in formal staff training prepared by, or for, the agency. Records of applications, attendance and other routine administrative matters relating to in-house training programs.	Temporary	Retain for 5 years after action completed, then destroy.
12.31.5	Records relating to the evaluation of external training programs in relation to agency staff and volunteer development needs.	Temporary	Retain for 2 years after action completed, then destroy.

13. PROPERTY MANAGEMENT

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

See section 4 – EQUIPMENT AND STORES for records relating to equipment and stores.

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

Reference	Description of Records	Status	Disposal Action
13.1	<p>ACQUISITION</p> <p><i>The process of gaining ownership or use of property, services and other items required in the conduct of business where there is no tendering or contracting-out process, i.e. where the cost of the acquisition is below the threshold for tendering.</i></p> <p><i>See FINANCIAL MANAGEMENT for financial records relating to the acquisition process.</i></p>		
13.1.1	<p>Non-financial records relating to the acquisition of buildings and structures of historical significance which:</p> <ul style="list-style-type: none"> • are listed on a Commonwealth, State or Territory Heritage register • are listed on the National Trust list • are listed with the Australian Heritage Commission • are major or compulsory acquisitions, or • have been subject to controversy or received architectural or design awards. <p><i>See FINANCIAL MANAGEMENT for financial records relating to the acquisition process.</i></p>	Permanent	Retain permanently.

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Reference	Description of Records	Status	Disposal Action
13.1.2	Deeds and Certificates of Title relating to agency-owned land and buildings.	Temporary	Retain in agency until property is sold, when documents should be transferred to new owner, then destroy.
13.1.3	<p>Non-financial records relating to the acquisition of capital assets not relating to the acquisition of buildings and structures of historical significance which:</p> <ul style="list-style-type: none"> • are listed on a Commonwealth, State or Territory Heritage register • are listed on the National Trust list • are listed with the Australian Heritage Commission • are major or compulsory acquisitions, or • have been subject to controversy or received architectural or design awards. <p>See FINANCIAL MANAGEMENT for financial records relating to the acquisition process.</p>	Temporary	Retain for 7 years after disposal of asset, then destroy.
13.1.4	<p>Maps, charts and plans.</p> <p><i>Including all plans and charts which relate to tenure records relating to capital assets required for administrative purposes of the agency (excluding tenure of land which reflects a major functional activity of the agency, such as Natural Resources and Water, Main Roads).</i></p>	Temporary	Retain for 5 years after disposal of property or expiration of lease, then destroy.
13.1.5	Routine correspondence records relating to land matters..	Temporary	Retain for 2 years after disposal of property or expiration of lease, then destroy.
13.2	<p>ARRANGEMENTS</p> <p><i>The arrangements made for the usage of facilities and space.</i></p>		

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Reference	Description of Records	Status	Disposal Action
13.2.1	Records relating to arrangements that establish and document the usage of facilities, equipment and space. Includes memoranda of understanding.	Temporary	Retain for 8 years after action completed, then destroy.
13.2.2	Records relating to routine usage of properties, e.g. log books, booking registers, running sheets, parking arrangements, etc.	Temporary	Retain for 1 year after action completed, then destroy.
13.3	COMMITTEES See BOARDS AND COMMITTEES		
13.4	COMPLIANCE For compliance in relation to Information Management, such as Right to Information, Freedom of Information or Privacy legislation – see INFORMATION MANAGEMENT - Compliance For compliance in relation to Financial Management – see FINANCIAL MANAGEMENT - Compliance For compliance with other mandatory or optional accountability, legal, regulatory or quality standards - See STRATEGIC MANAGEMENT – Compliance For compliance in relation to Workplace Health and Safety – see WORKPLACE HEALTH AND SAFETY - Compliance		
13.5	CONSERVATION <i>The activities involved in the preservation, protection, restoration and enhancement of properties, including buildings and land.</i>		
13.5.1	Environmental impact statements or studies prepared or commissioned by the agency.	Permanent	Retain permanently.
13.5.2	Records relating to the conservation of sites of Aboriginal and Torres Strait Islander significance, places and structures of historical significance which are listed in the heritage register; or which are included in the National Trust list or listed with the Australian Heritage Commission; or which have been subject to controversy or received architectural or design awards.	Permanent	Retain permanently

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Reference	Description of Records	Status	Disposal Action
13.5.3	Records relating to the restoration and enhancement of assets (non heritage listed agency buildings and land) that contains hazardous materials, such as asbestos.	Temporary	Retain for 100 years after action completed, then destroy.
13.5.4	Records relating to the restoration and enhancement of assets (non heritage listed agency buildings and land) that does not contain hazardous materials, such as asbestos.	Temporary	Retain for 7 years after action completed, then destroy.
13.6	<p>CONSTRUCTION</p> <p><i>This entry refers only to the capital assets and facilities constructed for administrative purposes of the agency.</i></p>		
13.6.1	Records relating to the design, construction, major renovation or restoration of property (including buildings, structures and environs) that have been heritage listed, received a prestigious State, National or International design awards, are important local or regional landmarks, were precedent setting, involve specialised buildings or involved in major public interest or controversy. Includes records dealing with hazardous materials, such as asbestos.	Permanent	Retain permanently.
13.6.2	Records relating to the design, construction, major renovation or restoration of property (including buildings, structures and environs) that contain hazardous material (such as asbestos) and that have not been heritage listed, received a prestigious State, National or International design awards, are important local or regional landmarks, were precedent setting, involve specialised buildings or involved in major public interest or controversy. Includes records dealing with the location and management of hazardous materials, such as asbestos.	Temporary	Retain for 100 years after action completed, then destroy.
13.6.3	Records relating to the design, construction, major renovation or restoration of property (including buildings, structures and environs) that do not contain hazardous material and that have not been heritage listed, received a prestigious State, National or International design awards, are important local or regional landmarks, were precedent setting, involve specialised buildings or involved in major public interest or controversy..	Temporary	Retain for 7 years after action completed, then destroy.

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Reference	Description of Records	Status	Disposal Action
13.7	CONTRACTING-OUT See FINANCIAL MANAGEMENT – Contracting-Out		
13.8	DISPOSAL <i>The process of disposing of property no longer required by the agency, by sale, transfer, auction, donation or destruction.</i>		
13.8.1	Records relating to the sale, transfer or demolition of buildings and structures of historical significance which are listed in the heritage register or which are included in the National Trust list or listed with the Australian Heritage Commission; or which have been subject to controversy or received architectural or design awards..	Permanent	Retain permanently
13.8.2	Records relating to the sale, transfer or demolition of buildings or structures not listed in the heritage register; or which are not included in the National Trust list or not listed with the Australian Heritage Commission; or which have not been subject to controversy or received architectural or design awards.	Temporary	Retain for 7 years after disposal of building or structure, then destroy.
13.9	FITOUTS <i>The process of refurbishing a workplace that does not affect the overall structure of the property. Includes painting, floor coverings, furnishings, furniture, partitions and wall fittings and equipment,</i>		
13.9.1	Records relating to the management of fit-outs, installations, refurbishment and “make good” activities in agency premises that contain hazardous material, such as asbestos.	Temporary	Retain for 100 years after action completed, then destroy.
13.9.2	Records relating to the management of fit-outs, installations, refurbishment and “make good” activities in agency premises that do not contain hazardous materials such as asbestos.	Temporary	Retain for 7 years after action completed, then destroy.
13.10	INSPECTIONS <i>The process of official examinations of facilities, equipment and items to ensure compliance with agreed standards and objectives.</i>		

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Reference	Description of Records	Status	Disposal Action
13.10.1	Records relating to inspections of agency owned or leased property that contains hazardous material, such as asbestos.	Temporary	Retain for 100 years after action completed, then destroy.
13.10.2	Records relating to inspections of agency owned or leased property that does not contain hazardous material, such as asbestos.	Temporary	Retain for 7 years after action completed, then destroy.
13.11	<p>INSTALLATION</p> <p><i>Activities involved in placing equipment in position and connecting and adjusting it for use.</i></p>		
13.11.1	Records relating to the installation of equipment in agency premises requiring the disturbance of ceilings, walls, wet areas or floor coverings (including cabling and ducting for air conditioning, technology or telecommunications equipment) that contains hazardous material, such as asbestos. Includes installation in workshops, plant rooms, storage areas, etc. and records relating to the modification and installation of utilities, (e.g. air conditioning, ventilation, lighting).	Temporary	Retain for 100 years after action completed, then destroy.
13.11.2	Records relating to the installation of equipment in agency premises that does not disturb fit-out and contains hazardous material, such as asbestos.	Temporary	Retain for 100 years after action completed, then destroy.
13.11.3	Records relating to the installation of equipment in agency premises requiring the disturbance of ceilings, walls, wet areas or floor coverings (including cabling and ducting for air conditioning, technology or telecommunications equipment) that do not contain hazardous material, such as asbestos. Includes installation in workshops, plant rooms, storage areas, etc. and records relating to the modification and installation of utilities, (e.g. air conditioning, ventilation, lighting).	Temporary	Retain for 7 years after action completed, then destroy.

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Reference	Description of Records	Status	Disposal Action
13.11.4	Records relating to the installation of equipment in agency premises that does not disturb fit-out and does not contain hazardous material, such as asbestos.	Temporary	Retain for 7 years after action completed, then destroy.
13.12	INSURANCE <i>The process of taking out insurance policies to cover loss or damage to property.</i>		
13.12.1	Records relating to the management of insurance policies covering loss or damage to property, including public liability insurance.	Temporary	Retain for 7 years after term of insurance policy expires, then destroy.
13.12.2	Records documenting insurance claims.	Temporary	Retain for 7 years after term of insurance policy expires, then destroy.
13.12.3	Records relating to the annual renewal of insurance policies.	Temporary	Retain for 2 years after term of insurance policy expires, then destroy.
13.13	LEASING <i>The activities involved in leasing accommodation, premises or real estate from another organisation.</i>		
13.13.1	Records relating to leasing of premises, including land, under seal.. Includes special leases, licences, tenancy and permissive occupancy agreements, contracts, agreements and conditions, documents of investigations and negotiations relating to leased premises.	Temporary	Retain for 21 years after action completed, then destroy.

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Reference	Description of Records	Status	Disposal Action
13.13.2	Records relating to leasing of premises, including land, not under seal. . Includes special leases, licences, tenancy and permissive occupancy agreements, contracts, agreements and conditions, documents of investigations and negotiations relating to leased premises.	Temporary	Retain for 8 years after action completed, then destroy.
13.14	LEASING-OUT <i>The activities involved in leasing – out accommodation, premises or real estate to another organisation or person for a specified period and agreed price. Includes both the formal documentation setting out conditions, rights, responsibilities etc. of both parties. Also includes sub – leasing.</i>		
13.14.1	Records relating to leasing-out arrangements under seal (i.e. where the agency is the lessor), including leased residential accommodation. Includes negotiations and individual signed leases.	Temporary	Retain for 21 years after action completed, then destroy.
13.14.2	Records relating to leasing-out arrangements not under seal (i.e. where the agency is the lessor), including leased residential accommodation. Includes negotiations and individual signed leases.	Temporary	Retain for 8 years after action completed, then destroy.
13.14.3	Records relating to the tenancy and vacation of residential houses allocated to personnel. Includes correspondence in relation to rent and maintenance. <i>See FINANCIAL MANAGEMENT for records relating to Fringe Benefits Tax.</i>	Temporary	Retain for 1 year after action completed, then destroy.
13.15	MAINTENANCE <i>Records relating to the upkeep, repair, servicing and modification of premises. Includes waste removal.</i>		

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Reference	Description of Records	Status	Disposal Action
13.15.1	Records relating to significant maintenance work carried out during the lifetime of the heritage building. Includes major upgrades, maintenance programs and work relating to heritage listing. <i>See PROPERTY MANAGEMENT reference number 13.5 for records relating to conservation.</i>	Permanent	Retain Permanently
13.15.2	Records documenting the removal, storage and disposal of hazardous waste and materials that are not from the fabric of the building e.g. chemicals or pesticides.	Temporary	Retain for 50 years after removal of hazardous waste, then destroy..
13.15.3	Records relating to significant maintenance work carried out during the lifetime of a non heritage building. Includes major upgrades and maintenance programs.	Temporary	Retain for 7 years after the building is disposed of, then destroy.
13.15.4	Records documenting routine maintenance. Includes routine maintenance that does not impact on heritage value.	Temporary	Retain for 7 years after action completed, then destroy.
13.16	MEETINGS See STRATEGIC MANAGEMENT - Meetings		
13.17	RELOCATION <i>The process of relocation of an agency, business unit or work group.</i>		
13.17.1	Records relating to the physical relocation of an agency's premises, e.g. transportable offices that contain hazardous materials, such as asbestos.	Temporary	Retain for 100 years after action completed, then destroy.

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Reference	Description of Records	Status	Disposal Action
13.17.2	Records relating to the physical relocation of an agency's premises, e.g. transportable offices that do not contain hazardous substances, such as asbestos. Includes records relating to moving office locations, such as arrangements for furniture and stores removal.	Temporary	Retain for 7 years after action completed, then destroy.
13.18	<p>PLANNING</p> <p><i>The process of formulating ways in which objectives can be achieved.</i></p>		
13.18.1	Records relating to strategic plans for buildings, structures and environs that have been heritage listed, received a prestigious State, National or International design awards, are important local or regional landmarks, were precedent setting, involve specialised buildings or involved in major public interest or controversy.	Permanent	Retain permanently.
13.18.2	Records relating to planning and feasibility studies for the acquisition of capital assets..	Temporary	Retain for 7 years after action completed, then destroy.
13.18.3	Records relating to strategic planning for buildings, structures and environs that have not been heritage listed, received a prestigious State, National or International design awards, are important local or regional landmarks, were precedent setting, involve specialised buildings or involved in major public interest or controversy.	Temporary	Retain for 7 years after action completed, then destroy.
13.18.4	Physical asset maintenance plan.	Temporary	Retain for 7 years after action completed, then destroy.
13.18.5	Records relating to future planning and development in relation to premises..	Temporary	Retain for 3 years after action completed, then destroy.

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Reference	Description of Records	Status	Disposal Action
13.18.6	Records relating to the development of the physical asset strategic plan.	Temporary	Retain for 3 years after action completed, then destroy.
13.18.7	Routine correspondence relating to the provision of recreation areas for personnel and visitors .	Temporary	Retain for 2 years after action completed
13.18.8	Requests from other agencies for temporary use of agency premises.	Temporary	Retain for 2 years after action completed, then destroy.
13.18.9	Records relating to the use of building space and land, including arrangements for the accommodation of conferences and meetings, vehicle parking, allocation of office space, etc.	Temporary	Retain for 1 year after action completed, then destroy.
13.19	POLICY See STRATEGIC MANAGEMENT – Policy		
13.20	PROCEDURES See STRATEGIC MANAGEMENT - Procedures		
13.21	REPORTING See STRATEGIC MANAGEMENT – Reporting		
13.22	RISK MANAGEMENT See STRATEGIC MANAGEMENT – Risk Management		

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Reference	Description of Records	Status	Disposal Action
13.23	SECURITY <i>Records relating to the security of premises. Includes protecting property from accidental or intentional damage as well as from unauthorised access.</i>		
13.23.1	Records relating to breaches of security or incidents resulting in the laying of charges or where sabotage is strongly suspected, e.g. break-ins, intrusion to restricted areas, terrorism bomb threats, intentional damage, fires, records of investigations, liaison with law enforcement agencies.	Permanent	Retain permanently.
13.23.2	Records relating to procedures and instructions for the physical security of personnel and premises; investigations of, and reports on, general security related matters; and investigations of security breaches.	Temporary	Retain for 7 years after action completed, then destroy.
13.23.3	Arrangements relating to the provision of safes, security vaults and other security related stores and equipment.	Temporary	Retain for 7 years after action completed, then destroy.
13.23.4	Surveillance video tapes used for monitoring security of premises which are required for investigations.	Temporary	Retain for 7 years after finalisation of investigative process or court proceedings and any appeals processes, then destroy.
13.23.5	Building admittance registers and visitor logs, etc.	Temporary	Retain for 7 years after action completed, then destroy.

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Reference	Description of Records	Status	Disposal Action
13.23.6	Records relating to minor breaches of security or incidents not resulting in the laying of charges nor where sabotage is suspected.	Temporary	Retain for 5 years after action completed, then destroy.
13.23.7	Records relating to arrangements for fire safety and other emergency services, including fire warden training, safety certification, maintenance and renovations for fire prevention and access to water supplies.	Temporary	Retain for 5 years after arrangements have been superseded, then destroy.
13.23.8	Routine security arrangements, including issuing and registration of security passes, security reports, access, staff rosters.	Temporary	Retain for 5 years after arrangements have ceased or been superseded, then destroy..
13.23.9	Surveillance video tapes used for monitoring security of premises which are not required for investigations.	Temporary	Retain until tape has been verified by agency that it has no further administrative use, then destroy.
13.24	TENDERING See FINANCIAL MANAGEMENT - Tendering		

14. PUBLICATION

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

Reference	Description of Records	Status	Disposal Action
14.1	AGREEMENTS See STRATEGIC MANAGEMENT - Agreements		
14.2	COMPLIANCE For compliance in relation to Information Management, such as Right to Information, Freedom of Information or Privacy legislation – see INFORMATION MANAGEMENT - Compliance For compliance in relation to Financial Management – see FINANCIAL MANAGEMENT - Compliance For compliance with other mandatory or optional accountability, legal, regulatory or quality standards - See STRATEGIC MANAGEMENT – Compliance For compliance in relation to Workplace Health and Safety – see WORKPLACE HEALTH AND SAFETY - Compliance		
14.3	CORPORATE STYLE <i>The activity of compiling and administering guidelines on the consistency in written style, graphic design etc. within the agency's documents. Includes designing logos, letterhead, stationery and publications etc. that incorporate the corporate image of the agency.</i>		
14.3.1	Records relating to the development and implementation of the corporate style for agency documents, stationery and publications.	Temporary	Retain for 2 years after action completed, then destroy.

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Reference	Description of Records	Status	Disposal Action
14.3.2	Records relating to the creation, design, usage and revision of agency forms.	Temporary	Retain for 2 years after form discontinued or superseded, then destroy.
14.3.3	Agency style manuals.	Temporary	Retain for 1 year after action completed, then destroy.
14.4	DISTRIBUTION <i>The activities associated with disseminating publications through sales, deliveries, or other customer services.</i>		
14.4.1	Records relating to the distribution of agency publications, including inventories.	Temporary	Retain for 5 years after action completed, then destroy.
14.5	DRAFTING <i>The activities associated with preparing preliminary drafts or outlines of reports, articles, etc prior to publication.</i>		
14.5.1	Records documenting the drafting process of agency publications (including annual reports).	Temporary	Retain for 3 years after action completed, then destroy.
14.6	ENQUIRIES See INFORMATION MANAGEMENT - Enquiries		
14.7	INTELLECTUAL PROPERTY See INFORMATION MANAGEMENT – Intellectual Property		

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Reference	Description of Records	Status	Disposal Action
14.8	JOINT VENTURES See STRATEGIC MANAGEMENT – Joint Ventures		
14.9	MARKETING See COMMUNITY RELATIONS - Marketing		
14.10	MEETINGS See STRATEGIC MANAGEMENT - Meetings		
14.11	PLANNING See STRATEGIC MANAGEMENT – Planning		
14.12	POLICY See STRATEGIC MANAGEMENT – Policy		
14.13	PRODUCTION <i>The process involved in turning material into a publication. Includes design, layout, typesetting, desktop publishing, printing, binding etc.</i>		
14.13.1	Records that demonstrate the structure of the organisation’s websites that are created for the use of the general public and agency clients. Includes records of substantial changes made e.g. site maps.	Permanent	Retain permanently.
14.13.2	Records that demonstrate the structure and organisation of websites that are created for the use of internal agency employees. Includes records of substantial changes made.	Temporary	Retain for 5 years after action completed, then destroy.

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Reference	Description of Records	Status	Disposal Action
14.13.3	External publications - master Publications and material published by the agency to the general public required for Legal Deposit. Includes Annual Reports, newsletters, pamphlets, magazines, journals, maps, plans, charts; also non-print material such as audio tapes, video recordings, films, disks, microfilms or microfiche.	Permanent	One copy to be deposited with the relevant collecting library in accordance with legislation; and one copy to be deposited with the National Library of Australia in accordance with the <i>Copyright Act 1968</i> .
14.13.4	External publications - agency contributions Significant articles contributed to journals, magazines, newspapers, etc., about the agency or functions.	Temporary	Retain for 10 years after action completed, then destroy.
14.13.5	Arrangements for design, art work, printing, copying, binding and similar, including file copies of relevant quotes and orders, etc.	Temporary	Retain for 5 years after action completed, then destroy.
14.13.6	Internal publications - master Master copy of internal agency publications.	Temporary	Retain for 5 years after action completed, then destroy.
14.13.7	Galley proofs, bromides, camera-ready copies, <i>minor</i> art work, mock-ups, etc.	Temporary	Retain for 1 year after action completed, then destroy.

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Reference	Description of Records	Status	Disposal Action
14.13.8	<p><i>External and internal publications – agency copies</i> Copies of the agency’s external and internal publications.</p>	Temporary	Retain for 1 year after action completed, then destroy.
14.14	<p>PUBLIC REACTION See COMMUNITY RELATIONS – Public Reaction</p>		
14.15	<p>REPORTING See STRATEGIC MANAGEMENT - Reporting</p>		
14.16	<p>RESEARCH See STRATEGIC MANAGEMENT – Research</p>		
14.17	<p>REVIEWING See STRATEGIC MANAGEMENT – Reviewing</p>		
14.18	<p>TENDERING See FINANCIAL MANAGEMENT – Tendering</p>		

15. STRATEGIC MANAGEMENT

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

Reference	Description of Records	Status	Disposal Action
15.1	AGREEMENTS <i>The processes associated with the establishment, maintenance, review and negotiation of agreements.</i>		
15.1.1	Highly significant (landmark) agreements Records relating to agreements that have created major public interest or controversy.	Permanent	Retain permanently
15.1.2	Records relating to agreements under seal that have not created major public interest or controversy.	Temporary	Retain for 21 years after action completed, then destroy.
15.1.3	Records relating to agreements not under seal that have not created major public interest or controversy.	Temporary	Retain for 8 years after action completed, then destroy.
15.2	AUDIT <i>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.</i> <i>See FINANCIAL MANAGEMENT reference number 6.7 for financial audit records.</i>		

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Reference	Description of Records	Status	Disposal Action
15.2.1	Records relating to (landmark) audits that have created major public interest or controversy. Or have resulted in substantial changes to agency policy and procedures.	Permanent	Retain permanently
15.2.2	Records relating to performance audits of the agency and quality audits. Includes audit reports and performance management systems audits performed by an external auditor to assess agency operating efficiency and effectiveness. For landmark audits, see 15.2.1.	Temporary	Retain for 7 years after audit, then destroy.
15.3	AUTHORISATION See PERSONNEL - Authorisation		
15.4	COMMITTEES See BOARDS AND COMMITTEES		
15.5	COMPLIANCE <i>The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements to which the agency is subject. Includes compliance with legislation and with national and international standards, such as the ISO 9000 series.</i>		
15.5.1	Records relating to serious breaches of compliance requirements.	Permanent	Retain permanently.
15.5.2	Code of conduct – development and master Records relating to the development of the agency's code of conduct. Includes the master/final approved copy.	Temporary	Retain for 10 years after action completed, then destroy.
15.5.3	Records relating to agency compliance with mandatory standards or statutory requirements. Includes proof of compliance.	Temporary	Retain for 5 years after action completed, then destroy.

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Reference	Description of Records	Status	Disposal Action
15.5.4	Records relating to minor breaches of compliance requirements.	Temporary	Retain for 5 years after action completed, then destroy.
15.6	CONTRACTING-OUT See FINANCIAL MANAGEMENT – Contracting-Out		
15.7	CORRUPTION <i>The process that allows the disclosure of corruption, and strategies for the prevention of corruption. Includes involvement in corruption prevention projects undertaken by external authorities and the education of staff about corruption prevention disclosures.</i> <i>See LEGAL SERVICES reference number 11.8 for records of public interest disclosures.</i>		
15.7.1	Records relating to the development and implementation of strategies for the prevention of corruption within the agency.	Permanent	Retain permanently.

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Reference	Description of Records	Status	Disposal Action
15.7.2	<p>Corruption – significant cases</p> <p>Records relating to significant cases of financial misappropriation, fraud, theft or negligence. Factors which may determine significance include cases which:</p> <ul style="list-style-type: none"> • have significant public interest • identify significant systemic issues resulting in major changes to the structure, policies and/or procedures of the agency • have been investigated as a case of whistleblower or public interest disclosure and are found to have substance. • result in the dismissal of an employee • proceed to a Royal Commission or Parliamentary Inquiry, or • result in changes to legislation or the implementation of new corruption prevention systems within the agency. <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • investigation records • records of liaison with external agencies • reports. <p>See FINANCIAL MANAGEMENT reference number 6.1.10 for records relating to the identification and management of material losses.</p> <p>See PERSONNEL AND STAFF DEVELOPMENT reference number 12.11 for discipline records relating to employees involved in cases of corruption.</p>	Permanent	Retain permanently.

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Reference	Description of Records	Status	Disposal Action
15.7.3	<p>Corruption – minor cases</p> <p>Records relating to the identification of misappropriation, fraud, theft or negligence not covered under reference number 15.7.2.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • investigation records • records of liaison with external agencies • reports • records that have been investigated under whistleblower or public interest disclosure and are not found to have substance. <p>See FINANCIAL MANAGEMENT reference number 6.1.10 for records relating to the identification and management of material losses..</p>	Temporary	Retain for 7 years after action completed, then destroy.
15.7.4	Records relating to corruption or disclosures in other agencies.	Temporary	Retain for 7 years after action completed, then destroy.
15.8	<p>CUSTOMER SERVICE</p> <p>See COMMUNITY RELATIONS – Customer Service</p>		
15.9	DISASTER RECOVERY		
15.9.1	Records relating to the implementation of disaster recovery plans after disasters, such as fire, flood, etc.	Permanent	Retain permanently

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Reference	Description of Records	Status	Disposal Action
15.9.2	Disaster recovery plan – development and final plan Records relating to the development and implementation of the agency's disaster recovery plans, such as disaster preparedness and recovery plans. Includes the final agency disaster recovery plan and procedures including those for protection and re-establishment of data in case of a disaster.	Temporary	Retain for 3 years after action completed, then destroy.
15.9.3	Records relating to agency contribution to essential services contingency plans.	Temporary	Retain for 2 years after plan revoked or action completed, then destroy.
15.10	EVALUATION <i>The process of determining the suitability of potential or existing programs, items of equipment, systems or services in relation to meeting the needs of the given situation. Includes ongoing monitoring.</i>		
15.10.1	Records relating to program evaluation..	Temporary	Retain for 7 years after action completed, then destroy.
15.11	GRANT FUNDING See FINANCIAL MANAGEMENT – Grant Funding		
15.12	IMPLEMENTATION <i>The activities associated with carrying out or putting into action, plans, policies, procedures or instructions, all of which could be internally or externally driven. Includes monitoring to ensure that the implementation goes according to schedule and that standards are met.</i>		

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Reference	Description of Records	Status	Disposal Action
15.12.1	Government-wide policies Records relating to the implementation of government-wide policies concerning major programs and initiatives such as Anti-discrimination, Freedom of Information, Judicial Review, Equal Employment Opportunity, Corporatisation, Privatisation, Performance Planning and Review, Waste Management, GST, Environment, etc..	Temporary	Retain for 10 years after action completed, then destroy.
15.12.2	Standards Records related to the implementation of practices and procedures based on standards..	Temporary	Retain for 3 years after action completed, then destroy.
15.13	LEGISLATION <i>The process of making laws. Includes Acts, Bills and subsections to Acts, and amendments to each.</i>		
15.13.1	Proposals for new legislation and amendments to existing legislation administered by agency (includes Acts, Regulations and Ordinances), together with summary records of consultations and discussions, explanatory notes, drafts which document significant amendments, submissions and supporting documentation..	Permanent	Retain permanently.
15.13.2	Working papers for Minister's second reading speech, explanatory memorandum, etc.	Permanent	Retain permanently.
15.13.3	Records documenting the development of Regulatory Impact Statements that directly relate to an agency's functions	Permanent	Retain permanently
15.13.4	Records relating to the development of legislation and regulations concerning the operations and functions of the agency. Includes drafting instructions, draft legislation, regulation and amendments, submissions to the Minister, reports, comments received from other agencies and any other papers containing substantial input from the agency.	Permanent	Retain permanently

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Reference	Description of Records	Status	Disposal Action
15.13.5	Records documenting detailed responses or submissions to requests for comment on legislation other than that directly relating to the agency's function.	Temporary	Retain for 10 years after action completed, then destroy.
15.13.6	Records relating to the development of legislation not directly related to agency operations. Includes comments by the agency documenting a minor or nil response to a request for comment on legislation other than that directly relating to the agency's functions.	Temporary	Retain for 2 years after action completed, then destroy.
15.13.7	Records relating to legislation related to the agency's operations, but formulated by other agencies for which the agency provides advice or makes submissions.	Temporary	Retain for 7 years after action completed, then destroy.
15.13.8	Copies of legislation kept for reference purposes.	Temporary	Retain for 3 months after action completed, then destroy.
15.14	<p>MEETINGS</p> <p><i>The activities associated with gatherings held to formulate, discuss, update, or resolve issues.</i></p>		
15.14.1	Records relating to non-committee based, high level meetings that focus on the core functions of the agency, discuss issues that will have a major effect on the agency and highlight changes to structure and operations; or issues affecting staff or volunteer relationships; or issues affecting the agency relationship with the public and/or its clients. Includes issues of major public interest, controversy or have resulted in change to policies or procedures.	Permanent	Retain permanently.

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Reference	Description of Records	Status	Disposal Action
15.14.2	Records relating to routine non-committee based meetings.	Temporary	Retain for 5 years after action completed, then destroy.
15.14.3	Records relating to administrative arrangements for meetings.	Temporary	Retain for 2 years after action completed, then destroy.
15.15	<p>PERFORMANCE MANAGEMENT</p> <p><i>The process of identifying, evaluating and developing corporate and employee and work performance so that the agency's goals and objectives are achieved and also benefiting employees through recognition, performance feedback, catering for work needs and offering career guidance.</i></p> <p>See PERSONNEL AND STAFF DEVELOPMENT reference number 12.19 for performance management of individual employees.</p>		
15.15.1	Records relating to summary reporting of agency performance management systems, training and development analysis and the implementation of performance management programs in the agency.	Temporary	Retain for 5 years after action completed, then destroy.
15.16	<p>PLANNING</p> <p><i>The process of formulating ways in which objectives can be achieved. Includes determination of services, needs, and solutions to those needs.</i></p>		
15.16.1	<p>Strategic plans – development and final plans</p> <p>Records relating to the development of agency-wide strategic or corporate plans. Includes the final version of plans.</p>	Permanent	Retain permanently.
15.16.2	Information and communications systems strategic plan.	Permanent	Retain permanently.

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Reference	Description of Records	Status	Disposal Action
15.16.3	Business development plans – final Business plan for agency commercialisation.	Temporary	Retain for 10 years after action completed, then destroy.
15.16.4	Business development opportunities Records relating to business development opportunities under consideration by the agency. Includes proposals which do not go ahead.	Temporary	Retain for 10 years after action completed, then destroy.
15.16.5	Operational plans – final Final version of operational plans and unit level work plans.	Temporary	Retain for 5 years after plan is superseded, then destroy.
15.16.6	Operational plans – development Records relating to the development of operational plans.	Temporary	Retain for 3 years after action completed, then destroy.
16.16.7	Records relating to the development of information and communications systems strategic plan.	Temporary	Retain for 3 years after action completed, then destroy.
15.17	POLICY <i>The activities associated with developing and establishing decisions, directions and precedents that act as a reference for future decision making, as the basis from which the organisation’s operating procedures are determined.</i>		
15.17.1	Policy development – For Government Records relating to the development of government-wide policy where the agency has played a leading role in the development of the policy. Includes major research drafts, stakeholder consultation records and a copy of the final policy.	Permanent	Retain permanently.

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Reference	Description of Records	Status	Disposal Action
15.17.2	<p>Policy development - administrative</p> <p>Records relating to formulation of internal agency policy on administrative matters which prescribe the way an agency should operate. Includes activities such as risk management, records management, financial policy, asset management, human resource management, benchmarking, fleet management, etc. Also includes input by branches, sections or regional offices of the agency.</p>	Temporary	Retain for 10 years after action completed, then destroy.
15.17.3	<p>External policies</p> <p>Records relating to submissions, comments and other input into the development of government-wide financial management policies. Includes records relating to administrative arrangements.</p>	Temporary	Retain for 3 years after action completed, then destroy.
15.18	<p>PROCEDURES</p> <p><i>Standard methods of operating laid down by an organisation according to formulated policy.</i></p>		
15.18.1	<p>Procedures – core functions - final</p> <p>Operational procedures related to the administration of core functions.</p>	Permanent	Retain permanently
15.18.2	<p>Procedures – financial procedures and administrative functions - final</p> <p>Final version of approved internal procedures, instructions, handbooks, guidelines and circulars relating to financial management and general administrative functions. Includes financial management practice manuals prepared in response to a statutory requirement including amendments, variations and alterations.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • financial management practice manuals • procurement manuals • asset disposal manuals. <p>Includes documented business rules for financial management systems.</p>	Temporary	Retain for 7 years after superseded, then destroy.

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Reference	Description of Records	Status	Disposal Action
15.18.3	<p>Procedures - development</p> <p>Records relating to the development of procedures for the administration of either core or administrative functions as well as the development of internal procedures, instructions, handbooks, circulars and manuals relating to financial management.</p>	Temporary	Retain for 5 years after action completed, then destroy.
15.18.4	<p>Quality procedures</p> <p>Records relating to quality management as described in the Australian Standards 9000 series. Includes the Quality manual.</p>	Temporary	Retain for 3 years after action completed, then destroy.
15.18.5	<p>External procedures</p> <p>Records relating to procedures, policies, circulars and instructions provided to the public authority from an external source with which they must comply.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • financial and human resources requirements • circulars issued by the Auditor-General • circulars issued by the Treasurer <p>Excludes Ministerial directions given to the public authority.</p>	Temporary	Retain for 1 year after action completed, then destroy.
15.19	<p>REPORTING</p> <p><i>The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and to provide formal statements or findings of the results of their examination or investigation.</i></p>		
15.19.1	Records that contain strategic information not held elsewhere or that has created major public interest or controversy. Includes major drafts and research records.	Permanent	Retain permanently

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Reference	Description of Records	Status	Disposal Action
15.19.2	Formal reports to external agencies required as a statutory obligation, such as annual or other reports required by central control agencies on a regular basis, e.g. reports relating to budget estimates, WHS, EEO management plan, financial statements, FOI, human resources, etc. Includes major drafts and research records.	Temporary	Retain for 7 years after action completed, then destroy.
15.19.3	Periodic internal or system reports on all general administrative matters used to monitor and document recurring activities. Includes cumulative and summary reports, work progress, backlog and production reports, etc.	Temporary	Retain for 2 years after action completed, then destroy.
15.19.4	Responses to surveys requested by other agencies, including central control agencies.	Temporary	Retain for 2 years after action completed, then destroy.
15.20	<p>RESEARCH</p> <p><i>The activities involved in investigating or enquiring into a subject or area of interest in order to discover facts, principles, etc. Used to support the development of projects, standards, guidelines, etc. and the business activities of the agency in general. Includes following up enquiries relating to agency programs, projects, working papers, literature searches, etc.</i></p>		
15.20.1	<p>Landmark Research</p> <p>Records of major new (unique) research projects relating to agency-wide issues, critical agency functions or strategic issues. These records contain information that is unique or difficult to replicate. Includes responses to legislative audits, program audits, executive orders or court orders.</p>	Permanent	Retain permanently.
15.20.2	<p>Detailed Research</p> <p>Records relating to detailed research conducted in the agency, such as research into agency business functions and processes in order to form an understanding of what the agency does and how it documents its activities and/or determines future needs. This can occur in response to enquiries, or for background material for projects, etc. Includes functional analysis.</p>	Temporary	Retain for 7 years after action completed, then destroy.

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Reference	Description of Records	Status	Disposal Action
15.20.3	Minor Research Records of minor research projects where the information involved is not unique or difficult to replicate.	Temporary	Retain for 5 years after action completed, then destroy.
15.21	REVIEWING <i>The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.</i>		
15.21.1	Records relating to major (landmark) reviews of functions and activities that have created major public interest or controversy. Or have resulted in changes in policy or procedures..	Permanent	Retain permanently.
15.21.2	Records relating to other (non – landmark) reviews of functions and activities that have not created major public interest or controversy. Or have not resulted in changes in policy or procedures.. <i>See FINANCIAL MANAGEMENT for records of financial audits.</i>	Temporary	Retain for 7 years after action completed, then destroy.
15.22	RISK MANAGEMENT <i>The process involving the identification of risks, the likelihood and consequences of those risks and the implementation of appropriate practices and procedures to treat the risks. Includes financial risk.</i> <i>See COMPENSATION for records relating to insurance.</i>		
15.22.1	Risk Management Plan/strategy - final Master agency-wide Risk Management Plan/Strategy. Includes the master copy of agency financial management risk management plans.	Permanent	Retain permanently.

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Reference	Description of Records	Status	Disposal Action
15.22.2	Records relating to hazard identification, risk assessment and risk management of foreseeable hazards in agency workplaces e.g. dangerous chemicals, air-borne asbestos, radiation, etc. Includes risk assessment reports, surveillance and monitoring of workplace environments and measures taken to prevent or minimise exposure Includes measures taken to eliminate or control risks. Also includes maintenance and distribution of hazardous substances notices and labels, and material safety data sheets.	Temporary	Retain for 100 years after action completed, then destroy.
15.22.3	<p>Risk assessment</p> <p>Records relating to the identification, assessment, monitoring and review of risk. Includes the identification and assessment of financial management risks including the implementation of practices and processes to reduce risk.</p> <p>Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • results • recommendations • internal control measures • treatment schedules • action plans • implementation plans. 	Temporary	Retain for 7 years after action completed, then destroy.
15.22.4	<p>Risk register</p> <p>Entries in the register of agency-wide risks. Includes the financial management risk register.</p> <p>See FINANCIAL MANAGEMENT for records relating to financial risks.</p>	Temporary	Retain entries for 7 years after action completed, then destroy.

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Reference	Description of Records	Status	Disposal Action
15.22.5	Records relating to the development of risk management plans in the agency.	Temporary	Retain for 5 years after action completed, then destroy.
15.23	STANDARDS <i>The process of developing standards to enhance the quality and efficiency of the organisation.</i>		
15.23.1	Standards – final Master copy of official standards developed by the agency.	Permanent	Retain permanently
15.23.2	Records related to the development of standards, guidelines and advisory products issued with substantial input from the agency for implementation across Government.	Permanent	Retain permanently
15.23.3	Records related to the development of standards, guidelines and advisory products issued with minor input from the agency for implementation across Government.	Temporary	Retain for 2 years after action completed, then destroy.
15.23.4	Standards development Records related to the development of standards, guidelines and advisory products for core functional activities.	Temporary	Retain for 20 years after action completed, then destroy.
15.23.5	Records relating to the implementation of practices in the agency in accordance with an industry or agency standard, code of practice, etc.	Temporary	Retain for 2 years after action completed, then destroy.

16. TECHNOLOGY AND TELECOMMUNICATIONS

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

Reference	Description of Records	Status	Disposal Action
16.1	<p>ACQUISITION</p> <p><i>The process of gaining ownership or use of property, services and other items required in the conduct of business where there is no tendering or contracting-out process, i.e. where the cost of the acquisition is below the threshold for tendering.</i></p> <p>See FINANCIAL MANAGEMENT for financial records relating to the acquisition process.</p>		
16.1.1	<p>Non-financial records relating to the acquisition of information and communications technology and systems, including planning, selection, specifications, systems documentation and purchase. Includes software licences and up-grade agreements.</p> <p>See FINANCIAL MANAGEMENT for financial records relating to the acquisition process.</p>	Temporary	Retain for 5 years after system is superseded or decommissioned, then destroy.
16.1.2	<p>Records relating to research into acquisition or modifications of systems and applications not proceeded with.</p>	Temporary	Retain for 2 years after action completed, then destroy.
16.2	<p>ADVICE</p> <p><i>The activities associated with offering opinions by or to the organisation as to an action or judgement. Includes the process of advising.</i></p>		
16.2.1	<p>Records relating to the provision of high level advice on technology and telecommunications, e.g. to the Minister or Chief Executive, relating to substantive aspects of agency policies, procedures, functions, obligations and liabilities.</p>	Permanent	Retain permanently

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Reference	Description of Records	Status	Disposal Action
16.2.2	Records relating to advice concerning routine operational matters, excluding legal advice.	Temporary	Retain for 8 years after action completed, then destroy.
16.3	<p>APPLICATION DEVELOPMENT</p> <p><i>The activities associated with developing software and programming codes, including ongoing developments, to run business applications. Includes specifications, testing, pilots, prototyping and metadata requirements.</i></p>		
16.3.1	Records documenting the development or modification of specific information and communications technology and systems, including testing documentation.	Temporary	Retain for 7 years after system is superseded or decommissioned, then destroy.
16.3.2	Records relating to the development of databases and usage protocols.	Temporary	Retain for 7 years after system closed or superseded, or data migrated to successor system, then destroy.
16.4	<p>APPLICATION MANAGEMENT</p> <p><i>The activities associated with the building, prototyping and testing of databases. Includes the management of user rules, passwords and monitoring usage and response times.</i></p>		
16.4.1	Data logging records for on-line and internet resources that provide information or advice which may have possible legal significance (e.g. system access logs, internet access logs, system change logs and audit trails, which show a history of access or change to data).	Temporary	Retain for 7 years after action completed, then destroy.

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Reference	Description of Records	Status	Disposal Action
16.4.2	Records relating to the maintenance of data integrity, including data logging records.	Temporary	Retain for 2 years after action completed, then destroy.
16.4.3	Records relating to the ongoing management of databases including routine reports monitoring usage.	Temporary	Retain for 2 years after action completed, then destroy.
16.4.4	Records relating to the migration of information and communications systems and data from one platform to another.	Temporary	Retain for 1 generation after migration, then destroy.
16.5	AUDIT See STRATEGIC MANAGEMENT – Audit		
16.6	COMMITTEES See BOARDS AND COMMITTEES		
16.7	COMPLIANCE For compliance in relation to Information Management, such as Right to Information, Freedom of Information or Privacy legislation – see INFORMATION MANAGEMENT - Compliance For compliance in relation to Financial Management – see FINANCIAL MANAGEMENT - Compliance For compliance with other mandatory or optional accountability, legal, regulatory or quality standards - See STRATEGIC MANAGEMENT – Compliance For compliance in relation to Workplace Health and Safety – see WORKPLACE HEALTH AND SAFETY - Compliance		

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Reference	Description of Records	Status	Disposal Action
16.8	CONTRACTING-OUT See FINANCIAL MANAGEMENT – Contracting-Out		
16.9	CONTROL The activities associated with creating, maintaining and evaluating control mechanisms.		
16.9.1	Records relating to control of technology and telecommunications systems supporting general administrative functions.	Temporary	Retain for 7 years after system closed or superseded, or data migrated to successor system, then destroy.
16.10	CUSTOMER SERVICE See INFORMATION MANAGEMENT – Customer Service		
16.11	DISPOSAL <i>The process of determining the suitability of potential or existing programs, items of equipment, systems or services in relation to meeting the needs of a given situation. Includes systems analysis and ongoing monitoring.</i>		
16.11.1	Records relating to disposal of technology and telecommunications systems, applications and equipment. Includes salvage of hardware components.	Temporary	Retain for 5 years after action completed, then destroy.
16.12	EVALUATION <i>The process of determining the suitability of potential or existing programs, items of equipment, systems or services in relation to meeting the needs of the given situation. Includes ongoing monitoring.</i>		

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Reference	Description of Records	Status	Disposal Action
16.12.1	Records relating to evaluation of information and communications technology and systems.	Temporary	Retain for 7 years after action completed, then destroy.
16.13	IMPLEMENTATION See INFORMATION MANAGEMENT - Implementation		
16.13.1	Non key documents involved in the implementation of technology and telecommunications systems. Such as, project management of implementation, communication, training etc. Includes agency-wide and individual deployments.	Temporary	Retain for 7 years after action completed, then destroy.
16.13.2	Key documents involved in the implementation of technology and telecommunications systems. Such as, document configuration decisions, final implementation reports, implementation plans, database schemas etc. Includes agency-wide and individual deployments.	Temporary	Retain for 2 years after system closed or superseded, then destroy.
16.14	INSPECTIONS See INFORMATION MANAGEMENT - Inspections		
16.15	INSTALLATION See INFORMATION MANAGEMENT - Implementation		
16.16	INTELLECTUAL PROPERTY See INFORMATION MANAGEMENT – Intellectual Property		
16.17	LEASING <i>The activities involved in leasing technology and telecommunications items and equipment from another organisation.</i> See FINANCIAL MANAGEMENT - Leasing		

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Reference	Description of Records	Status	Disposal Action
16.18	<p>LEASING-OUT</p> <p><i>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.</i></p> <p>See FINANCIAL MANAGEMENT – Leasing - Out</p>		
16.19	<p>MAINTENANCE</p> <p><i>The activities associated with the upkeep, repair and servicing of technology and telecommunications assets.</i></p>		
16.19.1	Records relating to the regular maintenance and repair of information and communications technology and systems.	Temporary	Retain for 5 years after action completed, then destroy.
16.20	<p>MEETINGS</p> <p>See STRATEGIC MANAGEMENT – Meetings</p>		
16.21	<p>MODELLING</p> <p><i>The development of business or technical models or prototypes used to support technology and telecommunication functions.</i></p>		
16.21.1	Records relating to modelling of general administrative programs and systems.	Temporary	Retain for 7 years after action completed, then destroy.

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Reference	Description of Records	Status	Disposal Action
16.22	<p>OPERATIONS</p> <p><i>The activities associated with keeping computer systems in effective operation on a daily basis. Includes fault reporting, help and desktop support.</i></p>		
16.22.1	Operation manuals for information and communications technology hardware and software.	Temporary	Retain for 1 year after the life of the system, then destroy..
16.22.2	Records relating to routine operation of information and communications technology, including administration of user access/permissions.	Temporary	Retain for 2 years after action completed, then destroy.
16.23	<p>PLANNING</p> <p>See STRATEGIC MANAGEMENT - Planning</p>		
16.24	<p>POLICY</p> <p>See STRATEGIC MANAGEMENT – Policy</p>		
16.25	<p>PRIVACY</p> <p>See TECHNOLOGY AND TELECOMMUNICATIONS - Security</p>		
16.26	<p>PROCEDURES</p> <p>See STRATEGIC MANAGEMENT – Procedures</p>		
16.27	<p>REPORTING</p> <p>See STRATEGIC MANAGEMENT – Reporting</p>		

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Reference	Description of Records	Status	Disposal Action
16.28	RESEARCH See STRATEGIC MANAGEMENT – Research		
16.29	REVIEWING See STRATEGIC MANAGEMENT – Reviewing		
16.30	SECURITY <i>The measures taken to protect equipment or information from accidental or intentional damage or from unauthorised access. Includes responses to any security breaches.</i>		
16.30.1	Records relating to serious breaches of security, including unauthorised access to a computer network, alteration of data, etc.	Permanent	Retain permanently.
16.30.2	Records relating to the monitoring of internet users' serious breaches of access rights, including system logs.	Temporary	Retain for 7 years after action completed, then destroy.
16.30.3	Records relating to the implementation of information privacy controls in agency information and communication technology and systems.	Temporary	Retain for 5 years after superseded, then destroy.
16.30.4	Records relating to security of information and communication technology and systems.	Temporary	Retain for 2 years after change or disposal of system, then destroy.
16.30.5	Records relating to minor breaches of security, including unauthorised access to a computer network, alteration of data, etc. <i>See PERSONNEL AND STAFF DEVELOPMENT reference number 12.11 for employee discipline records</i>	Temporary	Retain for 5 years after action completed, then destroy.

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Reference	Description of Records	Status	Disposal Action
16.30.6	Records relating to the monitoring of internet users' minor breaches of access rights, including system logs.	Temporary	Retain for 1 year after action completed, then destroy.
16.31	STANDARDS See STRATEGIC MANAGEMENT – Standards		
16.32	TENDERING See FINANCIAL MANAGEMENT – Tendering		

17. WORKPLACE HEALTH AND SAFETY

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

Reference	Description of Records	Status	Disposal Action
17.1	<p>ACCIDENTS AND INCIDENTS</p> <p><i>The activities involved in dealing with mishaps or hazards causing death or injury on an agency's premises. Includes injury or death to an employee travelling for the purposes of employment (while on duty or official business), or to visitors or the general public while on the agency's premises. Also includes hazards that may impact on a number of people.</i></p> <p><i>See PERSONNEL AND STAFF DEVELOPEMENT reference number 12.12 where accident or incident records are maintained on employee files.</i></p> <p><i>See COMPENSATION reference number 2.4 if the accident or incident results in a compensation claim</i></p>		
17.1.1	Accident and incident registers.	Temporary	Retain for 70 years after action completed, then destroy.
17.1.2	<p>Workplace Health and Safety accident and incident reports and complaints regarding a serious accident, such as a serious injury or fatality.</p> <p><i>See WORKPLACE HEALTH AND SAFETY reference number 17.4.6 for records relating to exposure to hazards such as asbestos.</i></p>	Temporary	Retain for 70 years after action completed or 75 years after date of record which ever is later, then destroy.

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Reference	Description of Records	Status	Disposal Action
17.1.3	Workplace Health and Safety accident and incident reports and complaints regarding a non-serious accident.	Temporary	Retain for 17 years after action completed, then destroy. If records are placed on the Personnel File, dispose of accordingly.
17.2	<p>AUDIT</p> <p><i>The activities associated with officially checking quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed and legislated standards regarding WHS.</i></p>		
17.2.1	Official audit reports on compliance of agency programs and operations with accepted WHS standards.	Permanent	Retain permanently.
17.2.2	Supplementary records relating to WHS audits, including arrangements for inspection of workplaces and records.	Temporary	Retain for 7 years after action completed, then destroy.
17.3	<p>COMMITTEES</p> <p>See BOARDS AND COMMITTEES</p>		
17.4	<p>COMPLIANCE</p> <p><i>The activities associated with complying with mandatory or optional accountability, fiscal, regulatory or quality standards or requirements to which the agency is subject in relation to WHS.</i></p>		
17.4.1	Register of hazardous substances at agency workplaces, e.g. asbestos register.	Permanent	Retain permanently
17.4.2	Records documenting breaches of WHS compliance requirements.	Permanent	Retain permanently

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Reference	Description of Records	Status	Disposal Action
17.4.3	Radiation exposure monitoring Records relating to directions received from health authorities in accordance with legislation and standards regarding the keeping of radiation exposure monitoring records.	Permanent	Retain permanently
17.4.4	Major hazards - use and presence Records relating to the use, or presence, of major hazards, such as asbestos, lead and radiation in buildings or other infrastructure.	Temporary	Retain for 100 years after action completed, then destroy.
17.4.5	Major hazards – acquisition, neutralisation and removal Records relating to neutralisation and removal of major hazards, such as asbestos from buildings, plant and workplaces and the acquisition, storage and disposal of radioactive substances and radiation equipment (including X-ray equipment) in accordance with legislation and standards.	Temporary	Retain for 100 years after action completed, then destroy.
17.4.6	Major hazards - staff exposure Registers and files maintained on staff and contractors which document exposure or potential exposure to major hazards, such as asbestos, lead and radiation.	Temporary	Retain for 100 years after action completed, then destroy.
17.4.7	Radiation Safety and Protection Plan Approved Radiation Safety and Protection Plan endorsed by health authorities in accordance with legislation and standards. Includes any applications by the agency for amendments and notices of decisions.	Temporary	Retain for 100 years after action completed, then destroy.
17.4.8	Radioactive substances – licensing and certification Records relating to licences and certificates of compliance held by the agency in accordance with the legislation and standards.	Temporary	Retain for 100 years after action completed, then destroy.

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Reference	Description of Records	Status	Disposal Action
17.4.9	Radioactive substances – quality and safety Records relating to the monitoring of quality and safety procedures against the agency's Radiation Safety and Protection Plan. Includes outcomes of safety audits, radiation level monitoring, safety device checks and notifications.	Temporary	Retain for 100 years after action completed, then destroy.
17.4.10	Records relating to agency compliance with mandatory standards or statutory requirements for hazardous materials. Includes proof of compliance and Material Safety Data Sheets (MSDS).	Temporary	Retain for 100 years after action completed, then destroy.
17.4.11	Records relating to the provision of health and safety facilities and equipment and the appointment of first aid officers, fire wardens and safety officers.	Temporary	Retain for 7 years after action completed, then destroy.
17.5	CONTRACTING-OUT See FINANCIAL MANAGEMENT – Contracting-Out		
17.6	HEALTH PROMOTION <i>The process of promotion by the agency of programs which encourage the establishment and maintenance of a healthy work environment.</i>		
17.6.1	Summary records of first aid provided. Includes First Aid Registers, Daily or Weekly Sheets.	Temporary	Retain for 60 years after action completed, then destroy.
17.6.2	Agency records relating to health monitoring of individuals engaged in the use of hazardous chemicals, substances and/or equipment, or other workplace hazards. Includes records generated in agency first aid or medical centres.	Temporary	Retain for 60 years after action completed, then destroy.

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Reference	Description of Records	Status	Disposal Action
17.6.3	Records relating to the promotion of safe practices to staff and volunteers. Includes master copy of procedure manuals, notices and instructions.	Temporary	Retain for 45 years after revoked or superseded, then destroy.
17.6.4	Records relating to the development and implementation of programs which encourage a healthy and safe work environment. Includes provision of relevant facilities and equipment. Also includes management of staff or volunteer counselling on health and safety related matters.	Temporary	Retain for 30 years after action completed, then destroy.
17.6.5	Records relating to the management of first aid or medical centres operated by agencies. Includes appointment of officers, attendance records, statistical summaries and other general administrative records.	Temporary	Retain for 7 years after action completed, then destroy.
17.6.6	Records relating to treatment received by individual staff or volunteers members in agency first aid or medical centres.	Temporary	Place on personal history file or destroy 7 years after action completed, whichever is the later, then destroy.
17.6.7	Records relating to the appointment of first aid officers, emergency evacuation wardens, safety officers, etc.	Temporary	Retain for 7 years after action completed, then destroy.
17.6.8	Records relating to the management of routine health related screening programs delivered by agency first aid or medical centres, e.g. blood pressure and cholesterol testing, etc.	Temporary	Retain for 1 year after action completed, then destroy.

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Reference	Description of Records	Status	Disposal Action
17.7	INVESTIGATIONS / INSPECTIONS <i>The process of official examinations of facilities, equipment and items to ensure compliance with agreed standards and objectives.</i>		
17.7.1	Records relating to inspections and investigations into major workplace health and safety hazards or issues that resulted in major changes.	Permanent	Retain permanently.
17.7.2	Records relating to inspections and investigations into major workplace health and safety hazards or issues that did not result in major changes.	Temporary	Retain for 30 years after action completed, then destroy.
17.7.3	Records relating to inspections and investigations into minor workplace health and safety hazards or issues that resulted in major changes.	Temporary	Retain for 15 years after action completed, then destroy.
17.7.4	Records relating to inspections and investigations into minor workplace health and safety hazards or issues that did not result in major changes.	Temporary	Retain for 15 years after action completed, then destroy.
17.8	MEETINGS See STRATEGIC MANAGEMENT – Meetings		
17.9	PLANNING See STRATEGIC MANAGEMENT – Planning		
17.10	POLICY See STRATEGIC MANAGEMENT - Policy		

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Reference	Description of Records	Status	Disposal Action
17.11	PROCEDURES See STRATEGIC MANAGEMENT – Procedures		
17.12	REPORTING See STRATEGIC MANAGEMENT - Reporting		
17.13	RESEARCH See STRATEGIC MANAGEMENT – Research		
17.14	REVIEWING See STRATEGIC MANAGEMENT – Reviewing		
17.15	RISK MANAGEMENT See STRATEGIC MANAGEMENT – Risk Management		
17.16	STANDARDS See STRATEGIC MANAGEMENT - Standards		

18. EPHEMERAL DOCUMENTS

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

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

Calendars and diaries - personal

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

Contact lists

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

Copies

Duplicate copies created for reference.

Drafts not required as public records

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

Informational material

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

Manuals and instructions - superseded

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

Telephone message slips

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

Transitory messages

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

Unsolicited brochures

Brochures received regarding goods and services.

Working documents

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

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