

**Disposal Schedule
for
functional
administrative records of
Inter-Governmental Agencies**

Disposal Authorisation No. 2437

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INTRODUCTION

Background

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

It 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.

Archives legislation

The Tasmanian *Archives Act 1983* stipulates that State and local government organisations, must not dispose of **records of any type or format** without the written approval of the State Archivist. Disposal of records involves their destruction, their removal from the custody of their creating Agency, or their transfer to the Tasmanian Archive & Heritage Office.

Schedule elements and arrangement

The administrative functions covered by this schedule are arranged in alphabetical order as function headings. The activities performed under each function are listed in alphabetical order within each function.

- **Reference**

All function and activity headings and disposal classes are allocated a reference number. These reference numbers are used, in conjunction with the schedule number, to identify records in the Tasmanian Archive & Heritage Office disposal documentation. These numbers can also be used by agencies, in the same way, to indicate disposal authorisation in their records control systems, where the records have been registered in these systems.

- **Disposal classes**

The groups of records that document, and are derived from, the performance of the functions and activities are listed as disposal classes under each function/activity set.

It should be noted that Disposal Classes have been described in functional terms irrespective of the format or medium in which the records were created.

- **Status**

All disposal classes have either 'PERMANENT' or 'TEMPORARY' status. Records identified as 'PERMANENT' are those that will be transferred to the Archives Office to be retained as State archives. 'TEMPORARY' records are those that can be destroyed under the authority of this schedule.

- ***Disposal action***

All temporary records identified in this schedule will have a disposal action which specifies the length of time for which the record must be retained before it can be destroyed under this authorisation.

Review of the schedule

It is the responsibility of agencies to monitor administrative, legal or regulatory changes which may result in the need to alter disposal class descriptions or disposal actions for records covered by this schedule. When this occurs, this schedule should not be used to dispose of those records and the State Archivist should be informed of the need to revise the schedule. If necessary, the procedures for the disposal of unscheduled records can be used in the interim. Reviews may also be initiated by the Tasmanian Archive & Heritage Office.

Contacts

Any enquiries relating to this schedule should be directed in writing to the Tasmanian Archive & Heritage Office, 91 Murray Street, Hobart, email gisu@education.tas.gov.au , or by phoning 03 6165 5581.

TASMANIAN ARCHIVE & HERITAGE OFFICE

DISPOSAL AUTHORISATION No. 2437

Title: **Disposal Schedule for functional administrative records of Inter-Governmental Agencies**

Authorisation:

Under Section 20 (2) (b) of the Archives Act 1983, I hereby authorise 'relevant authorities' (as defined in Section 3 of that Act) to manage the disposal of the records described in this schedule in accordance with the procedures specified herein.

Ross Latham
State Archivist

Document Development History

Build Status

Version	Date	Author	Reason	Sections
2	04-03-2015	CAARA National Bodies Working Group	Review of sentencing of credit card data in accordance with the Payment Card Industry - Data Security Standard (PCI-DSS).	06.01.00
1	17-04-2014	CAARA National Bodies Working Group	Initial Release	All

Amendments in this Release

Section Title	Section Number	Amendment Summary
06.01.00	ACCOUNTING (FINANCIAL MANAGEMENT)	Addition of classes 06.01.19 and 06.01.20

INTERPRETATION

Definitions

Permanent records are those that will be transferred to the Tasmanian Archive & Heritage Office to be retained as State Archives. The Archives Act 1983 establishes 25 years as the maximum required timeframe for the transfer of permanent records to the Tasmanian Archive & Heritage Office unless an extension of time has been approved by the State Archivist.

Temporary records are those that can be destroyed under the authority of this schedule after a minimum retention period, or once certain requirements have been met.

Coverage

This schedule covers functional 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.

This schedule **does not cover pre-1960 records**. The disposal of those records should be managed according to the procedures for unscheduled records.

The *Disposal Schedule for Short-term Value Records - DA No. 2158* covers the disposal of short-term value records which are created by most agencies. These documents are usually of a trivial nature or of such short-term value that they do not support or contribute to the business functions of the agency.

Records not covered by these schedules, or other authorised disposal schedules, should be disposed of according to the current Tasmanian Archive & Heritage Office procedures for unscheduled records.

Preservation of records

Section 10 (1) (a) of the *Archives Act 1983* requires agencies to preserve records until they are dealt with under the Act. This places a statutory obligation on agencies to ensure that all records, regardless of format, remain accessible while they are in the custody of the agency.

Permanent records

All disposal classes of records identified as having 'PERMANENT' status in this schedule should be transferred to the Archives Office 25 years after the date of creation. Agencies may make application to the Tasmanian Archive & Heritage Office for earlier transfer of particular groups of records and the Tasmanian Archive & Heritage Office may also initiate an earlier transfer arrangement.

Records for transfer should be arranged and described in accordance with any instruction provided by the Tasmanian Archive & Heritage Office.

Temporary records

All records identified as having 'TEMPORARY' status in this schedule will have a disposal action which is the authorised date for destruction. These disposal actions specify minimum retention periods. Temporary records can be kept as long as the agency wishes following the expiration of the specified period, but the provisions of the *Archives Act 1983* regarding their proper care and custody will still apply to them.

Frequently the disposal actions will refer to '**after action completed**' which means after completion of the transaction to which the records relate. The disposal action '**destroy when reference ceases**' authorises the destruction of records when all business needs to refer to the records have ceased.

Destruction of records

The destruction method chosen for records authorised for destruction in this schedule should be appropriate to the medium in which the record exists. It is the responsibility of the agency to ensure that the identified records are actually destroyed, and that this process is confidential and secure. The following issues should be considered before destruction of any documents.

Right to Information

Right to Information legislation prescribe rights and processes for access to documents held by government agencies. If a request for access under the legislation has been lodged, all records relevant to the request, regardless of whether they are due for destruction, must be identified and preserved until action on the request and any subsequent reviews are completed.

Personal Information Protection

Personal Information Protection legislation provides appropriate safeguards for government agencies in collecting and handling individual's personal information, creating statutory obligations and a right to make a privacy complaint. If an application is in progress, all records relevant to the application must be identified and preserved until the action and any subsequent actions are completed.

Other investigations or inquiries

If an investigation or inquiry is in progress, all records relevant to the investigation or inquiry must be identified and preserved until the action and any subsequent actions are completed.

Records relating to indigenous people

Key recommendations of the *Bringing Them Home Report 1997* relate to the need for the identification, preservation, indexing, management and access to records relating to Indigenous individuals, families and/or communities in accordance with established privacy principles.

Records relating to indigenous families and communities or which document links between indigenous people and localities are not to be destroyed and should be the subject of consultation with the Tasmanian Archive & Heritage Office.

Native title

If a native title claim is in progress, all documents relevant to the claim must be identified and preserved until the action and any subsequent actions are completed.

Registration of destruction

Central to the accountability process built into the disposal schedules is the requirement that agencies maintain a *Register of Records Destroyed*. It is important to recognise that the formal evidential record of destruction is contained in this registration process. The register is to be made available to the State Archivist (or his nominee) on request.

The register must be clearly identified as the *Register of Records Destroyed* (under Section 20 (2) (b) of the *Archives Act 1983*) and should include the name of the agency. The register can be the same used for registering destructions authorised under other disposal schedules. A sample format indicating the required elements for the register and related procedures are available on the Tasmanian Archive & Heritage Office website.

01.00.00	BOARDS AND COMMITTEES The function of establishing and administering boards, committees or similar groups.	
01.01.00	Establishment and Administration (BOARDS AND COMMITTEES) The activity of establishing and administering boards, committees or similar groups.	
01.01.01	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: <ul style="list-style-type: none"> • agendas • minutes and related papers, excluding working papers. 	PERMANENT
01.01.02	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: <ul style="list-style-type: none"> • agendas • minutes and related papers, excluding working papers. 	TEMPORARY Destroy 5 years after committee has ceased
01.01.03	Correspondence relating to the appointment of external and internal board or committee members, including conditions of appointments and entitlements.	PERMANENT
01.01.04	Correspondence relating to the appointment of external and internal board or committee members, including conditions of appointments and entitlements.	TEMPORARY Destroy 5 years after action completed
01.01.05	Records of administrative arrangements for external and internal board or committee meetings.	TEMPORARY Destroy 2 years after action completed
01.01.06	Working papers for external and internal committees.	TEMPORARY Destroy 6 months after action completed
02.00.00	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.	
02.01.00	ADDRESSES (PRESENTATIONS) (COMMUNITY RELATIONS) The activity of giving addresses for community relations purposes.	
02.01.01	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. <i>See 12.01.00 PERSONNEL AND STAFF DEVELOPMENT - ADDRESSES (PRESENTATIONS) for presentations at staff training seminars, workshops, etc</i>	PERMANENT

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02.01.02	Records relating to other addresses and presentations, e.g. for routine promotion of agency services or marketing products.	TEMPORARY Destroy 2 years after action completed
02.02.00	ARRANGEMENTS (COMMUNITY RELATIONS) 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	
02.02.01	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. <i>See 06.00.00 FINANCIAL MANAGEMENT for financial or procurement records</i>	TEMPORARY Destroy 2 years after action completed
02.03.00	CELEBRATIONS, CEREMONIES AND FUNCTIONS (COMMUNITY RELATIONS) The activities associated with arranging and managing festivities such as lunches, closures. Also includes attendance at non-agency functions.	
02.03.01	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
02.03.02	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 Destroy 5 years after action completed
02.03.03	Invitations to, arrangements for attendance at, and general information relating to functions organised by another agency or organisation. <i>See 06.00.00 FINANCIAL MANAGEMENT for financial or procurement records</i>	TEMPORARY Destroy 3 months after action completed
02.04.00	COMPLIANCE (COMMUNITY RELATIONS) <i>See 10.04.00 INFORMATION MANAGEMENT – COMPLIANCE for records of compliance in relation to information management, such as Right to Information, Freedom of Information or Privacy legislation.</i> <i>See 06.11.00 FINANCIAL MANAGEMENT – COMPLIANCE for records of compliance in relation to financial management.</i> <i>See 15.05.00 STRATEGIC MANAGEMENT – COMPLIANCE for records of compliance with other mandatory or optional accountability, legal, regulatory or quality standards.</i> <i>See 17.04.00 WORKPLACE HEALTH AND SAFETY – COMPLIANCE for records of compliance in relation to workplace health and safety.</i>	
02.05.00	CONFERENCES (COMMUNITY RELATIONS) The activities involved in arranging conferences or seminars. Includes management of registrations for participants, publicity and evaluations by participants.	
02.05.01	Master sets of transcripts of proceedings and reports of major conferences organised by the agency.	PERMANENT
02.05.02	Records relating to speeches, presentations, etc., made by agency representatives at external conferences.	TEMPORARY Destroy 5 years after action completed
02.05.03	Master sets of transcripts of proceedings and reports of minor conferences organised by the agency.	TEMPORARY Destroy 2 years after action completed

02.05.04	Records of proceedings of conferences and arrangements to attend conferences.	TEMPORARY Destroy 2 years after action completed
02.06.00	CUSTOMER SERVICE (COMMUNITY RELATIONS) The activities associated with the planning, monitoring and evaluation of customer services provided to clients by the agency.	
02.06.01	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 Destroy 5 years after action completed
02.07.00	DONATIONS (COMMUNITY RELATIONS) 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.	
02.07.01	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><i>See 06.14.01 FINANCIAL MANAGEMENT - etc. for records relating to financial transactions involving gifts and benefits</i></p>	PERMANENT
02.07.02	Records relating to gifts, donations or bequests made to or by the agency, which were refused or are <u>not</u> of: <ul style="list-style-type: none"> • State or Territory significance • long-term value • significant public interest <p><i>See 06.14.01 FINANCIAL MANAGEMENT - etc. for records relating to financial transactions involving gifts and benefits</i></p>	TEMPORARY Destroy 7 years after action completed or until terms of the donation or gift have been fulfilled, whichever is longer
02.08.00	ENQUIRIES AND PUBLIC REACTION (COMMUNITY RELATIONS) 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.	
02.08.01	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.	PERMANENT
02.08.02	Enquiries, complaint, compliment or suggestion registers.	TEMPORARY Destroy 8 years after action completed
02.08.03	Records relating to provision of detailed information or advice to clients which may have legal significance.	TEMPORARY Destroy 8 years after action completed
02.08.04	Records relating to client enquiries, complaints or suggestions which do <u>not</u> have a major impact on the direction, policy or procedures of the agency and the provision of other information to clients, includes: <ul style="list-style-type: none"> • provision of information about routine and general matters • hours of operation • change of address, etc 	TEMPORARY Destroy 2 years after action completed

02.09.00	EXHIBITIONS (COMMUNITY RELATIONS) 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.	
02.09.01	Film, video or photographic records of displays and exhibitions of major significance to the State, including associated paper-based material such as catalogues, brochures, posters. For example, exhibitions documenting changes over time to major government policies and directions.	PERMANENT
02.09.02	Film, video or photographic records of displays and exhibitions not of major significance to the State, including associated paper-based material. For example, exhibitions in agency foyer promoting routine agency programs	TEMPORARY Destroy 5 years after action completed
02.09.03	Invitations and publicity material relating to displays and exhibitions organised by other agencies.	TEMPORARY Destroy 3 months after action completed
02.10.00	GREETINGS (COMMUNITY RELATIONS) The activities associated with preparing, sending and receiving letters of appreciation or condolence	
02.10.01	Records relating to the preparation and sending of greetings. Also includes greetings received by the agency.	TEMPORARY Destroy 2 years after action completed
02.10.02	Address lists kept for sending of greetings.	TEMPORARY Destroy 3 months after action completed
02.11.00	HONOURS, AWARDS AND PRIZES (COMMUNITY RELATIONS) The activities associated with receiving and giving honours, awards and prizes.	
02.11.01	Records relating to an award, prize or reward sponsored by the agency, including sponsorships administered by the agency.	TEMPORARY Destroy 7 years after action completed
02.11.02	Records relating to invitations to sponsor, judge or nominate for awards or prizes.	TEMPORARY Destroy 6 months after action completed
02.12.00	LIAISON (COMMUNITY RELATIONS) 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.	
02.12.01	Records documenting contact between the public authority and registered lobbyists. Records may include, but are not limited to: <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 Destroy 10 years after action completed
02.12.02	Records relating to liaison with community groups and professional associations, including collaboration on projects.	TEMPORARY Destroy 7 years after action completed
02.12.03	Records relating to arrangements for memberships in business, professional, social or sporting clubs and associations.	TEMPORARY Destroy 5 years after action completed
02.12.04	Invitations to join, brochures and similar promotional material.	TEMPORARY Destroy 6 months after action completed

02.13.00	MARKETING (COMMUNITY RELATIONS) The process of analysing, creating and selling products and services. Includes market research, sales forecasting, advertising, media releases, promotion, pricing and product evaluation.	
02.13.01	Marketing plans and strategies developed to promote the agency's image or activities.	PERMANENT
02.13.02	Master set of materials, including brochures, posters, images, videos and film, developed to promote significant agency achievements or activities, where they have <u>not</u> been deposited with a National or State Library.	PERMANENT
02.13.03	Materials, including brochures, posters, images, videos and film, developed to promote routine services, operations or activities of the agency.	TEMPORARY Destroy 5 years after action completed
02.13.04	Records relating to achieving publicity for events or services organised by the agency.	TEMPORARY Destroy 2 years after action completed
02.13.05	Records of advertisements <u>not</u> 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 Destroy 2 years after action completed
02.14.00	MEDIA RELATIONS (COMMUNITY RELATIONS) 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.	
02.14.01	Master set of agency media releases.	PERMANENT
02.14.02	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
02.15.00	MEETINGS (COMMUNITY RELATIONS) <i>See 15.14.00 STRATEGIC MANAGEMENT – MEETINGS for records of meetings</i>	
02.16.00	PUBLIC REACTION (COMMUNITY RELATIONS) <i>See 02.08.00 ENQUIRIES AND PUBLIC REACTION for records of public reaction.</i>	
02.17.00	REPORTING (COMMUNITY RELATIONS) 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.	
02.17.01	Major non-routine reports on the agencies community relations strategies, directions, policies and programs.	PERMANENT
02.17.02	Minor or routine reports on the agencies community relations activities.	TEMPORARY Destroy 2 years after action completed
02.18.00	REPRESENTATIVES (COMMUNITY RELATIONS) 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.	
02.18.01	Records relating to the nominations, appointment and resignation of agency representatives.	TEMPORARY Destroy 2 years after resignation or term of office expires, whichever is later

02.19.00	RESEARCH (COMMUNITY RELATIONS) 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.	
02.19.01	Records documenting research into all aspects of community relations – needs, satisfactions and dissatisfactions and 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.	TEMPORARY Destroy 5 years after action completed
02.19.02	Records relating to the provision of information for research conducted by other organisations. For example, through responding to a survey.	TEMPORARY Destroy 2 years after action completed
02.20.00	VISITS (COMMUNITY RELATIONS) 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.	
02.20.01	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.	PERMANENT
02.20.02	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 Destroy 2 years after action completed
03.00.00	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.	
03.01.00	ACCIDENTS (COMPENSATION) <i>See 17.01.00 WORKPLACE HEALTH AND SAFETY – ACCIDENTS AND INCIDENTS for records relating to accidents and incidents</i>	
03.02.00	ADVICE (COMPENSATION) The activities associated with offering opinions by or to the organisation as to an action or judgement. Includes the process of advising.	
03.02.01	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
03.02.02	Records relating to the provision of routine advice dealing with compensation issues.	TEMPORARY Destroy 8 years after action completed
03.03.00	AGREEMENTS (COMPENSATION) The processes associated with the establishment, maintenance, review and negotiation of agreements.	
03.03.01	Records relating to compensation agreements under seal.	TEMPORARY Destroy 21 years after action completed
03.03.02	Records relating to compensation agreements <u>not</u> under seal	TEMPORARY Destroy 8 years after action completed

03.04.00	CLAIMS (COMPENSATION) 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.	
03.04.01	Register of claims relating to insurance and compensation.	TEMPORARY Destroy 75 years after last entry
03.04.02	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.	TEMPORARY Destroy 75 years from date of birth or 7 years after date of separation, whichever is later
03.04.03	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 Destroy 25 years from date of birth or 7 years after action completed, whichever is later
03.04.04	Records relating to the management of compensation claims for loss or damage to property made by agency staff, volunteers or visitors.	TEMPORARY Destroy 7 years after action completed
03.05.00	COMMITTEES (COMPENSATION) <i>See 01.01.00 BOARDS AND COMMITTEES for records of establishing and administering boards, committees or similar groups.</i>	
03.06.00	COMPLIANCE (COMPENSATION) <i>See 10.04.00 INFORMATION MANAGEMENT – COMPLIANCE for records of compliance in relation to information management, such as Right to Information, Freedom of Information or Privacy legislation.</i> <i>See 06.11.00 FINANCIAL MANAGEMENT – COMPLIANCE for records of compliance in relation to financial management.</i> <i>See 15.05.00 STRATEGIC MANAGEMENT – COMPLIANCE for records of compliance with other mandatory or optional accountability, legal, regulatory or quality standards.</i> <i>See 17.04.00 WORKPLACE HEALTH AND SAFETY – COMPLIANCE for records of compliance in relation to workplace health and safety.</i>	
03.07.00	INSURANCE (COMPENSATION) 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.	
03.07.01	Insurance policy register.	TEMPORARY Destroy 7 years after expiry or cancellation of last policy
03.07.02	Insurance policy documents (including renewals and associated correspondence). covering loss or damage to property.	TEMPORARY Destroy 7 years after expiry or cancellation of last policy
03.07.03	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 Destroy 30 years after term of insurance policy expires
03.08.00	MEETINGS (COMPENSATION) <i>See 15.14.00 STRATEGIC MANAGEMENT – MEETINGS for records of meetings</i>	

03.09.00	PAYMENTS (COMPENSATION) 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.	
03.09.01	Records relating to payments of money including claims, approvals and other supporting documentation. Includes ex-gratia payments.	TEMPORARY Destroy 7 years after action completed
03.10.00	POLICY (COMPENSATION) <i>See 15.17.00.STRATEGIC MANAGEMENT – POLICY for records of policy</i>	
03.11.00	REHABILITATION (COMPENSATION) 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.	
03.11.01	Rehabilitation case management files/records maintained in the agency.	TEMPORARY Destroy 75 years from date of birth or 7 years after date of separation, whichever is later
04.00.00	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. <i>See 06.00.00 FINANCIAL MANAGEMENT for all financial records relating to the acquisition, maintenance, evaluation and disposal of equipment and stores.</i> <i>See 06.12.00 FINANCIAL MANAGEMENT – CONTRACTING-OUT for contracts relating to the procurement of equipment and stores.</i> <i>See 06.30.00 FINANCIAL MANAGEMENT – TENDERING for tendering records relating to the procurement of equipment and stores.</i>	
04.01.00	ACQUISITION AND DISPOSAL (EQUIPMENT AND STORES) 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>See 06.06.01 FINANCIAL MANAGEMENT – ASSET REGISTER for the register of equipment acquired (asset register)</i>	
04.01.01	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. Records may include, but are not limited to: <ul style="list-style-type: none"> • proof of ownership records • warranty documents 	TEMPORARY Destroy 100 years after action completed

04.01.02	<p>Non-financial records relating to the acquisition, lease and installation of equipment that does <u>not</u> 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. 	<p>TEMPORARY Destroy 7 years after disposal of equipment</p>
04.01.03	<p>Non-financial records relating to the acquisition of stores.</p>	<p>TEMPORARY Destroy 2 years after action completed</p>
04.01.04	<p>Operating manuals or instructions developed by the agency for operation of all forms of equipment.</p> <p><i>See DA2158 Disposal Schedule for short term value records for manuals supplied to the agency</i></p>	<p>TEMPORARY Destroy 1 year after disposal of equipment</p>
04.02.00	<p>AUDIT (EQUIPMENT AND STORES)</p> <p><i>See 15.02.00 STRATEGIC MANAGEMENT – AUDIT for audit records</i></p>	
04.03.00	<p>COMPLIANCE (EQUIPMENT AND STORES)</p> <p><i>See 10.04.00 INFORMATION MANAGEMENT – COMPLIANCE for records of compliance in relation to information management, such as Right to Information, Freedom of Information or Privacy legislation.</i></p> <p><i>See 06.11.00 FINANCIAL MANAGEMENT – COMPLIANCE for records of compliance in relation to financial management.</i></p> <p><i>See 15.05.00 STRATEGIC MANAGEMENT – COMPLIANCE for records of compliance with other mandatory or optional accountability, legal, regulatory or quality standards.</i></p> <p><i>See 17.04.00 WORKPLACE HEALTH AND SAFETY – COMPLIANCE for records of compliance in relation to workplace health and safety.</i></p>	
04.04.00	<p>CONTRACTING-OUT (EQUIPMENT AND STORES)</p> <p><i>See 06.12.00 FINANCIAL MANAGEMENT – CONTRACTING-OUT for contracting records</i></p>	
04.05.00	<p>DELIVERY AND DISTRIBUTION (EQUIPMENT AND STORES)</p> <p>The activities involved in the delivery and distribution of equipment and stores.</p>	
04.05.01	<p>Records relating to the installation and use of items of equipment, including log books, booking forms, etc that contain hazardous material, such as asbestos.</p>	<p>TEMPORARY Destroy 100 years after action completed</p>
04.05.02	<p>Records relating to the installation and use of items of equipment, including log books, booking forms, etc. that do <u>not</u> contain hazardous material, such as asbestos.</p>	<p>TEMPORARY Destroy 7 years after action completed</p>
04.05.03	<p>Records relating to the delivery, allocation and distribution of equipment and stores.</p>	<p>TEMPORARY Destroy 2 years after action completed</p>
04.06.00	<p>DESIGN (EQUIPMENT AND STORES)</p> <p>The activities involved in the design of agency-specific equipment and stores.</p>	
04.06.01	<p>Records relating to the design of uniforms or corporate wardrobe developed specifically for the agency and/or reflecting agency functions.</p>	<p>TEMPORARY Destroy 5 years after action completed</p>

04.07.00	DISPOSAL (EQUIPMENT AND STORES) <i>See 04.01.00 ACQUISITION AND DISPOSAL for records relating to the acquisition and disposal of equipment and stores.</i>	
04.08.00	INSTALLATION AND USE (EQUIPMENT AND STORES) <i>See 13.11.00 PROPERTY MANAGEMENT – INSTALLATION for records relating to installation and use of equipment and stores.</i>	
04.09.00	INVENTORY (EQUIPMENT AND STORES) <i>See 04.17.01 STOCKTAKE for records relating to stocktake</i>	
04.10.00	LEASING (EQUIPMENT AND STORES) The activities involved in leasing items, equipment, accommodation, premises or real estate from another organisation.	
04.10.01	Records relating to equipment leasing documents, including special leases, sub-leases, licences and other registered documents where agreements are under seal.	TEMPORARY Destroy 21 years after action completed
04.10.02	Records relating to equipment leasing documents, including special leases, sub-leases, licences and other registered documents where agreements are <u>not</u> under seal.	TEMPORARY Destroy 8 years after action completed
04.11.00	LEASING-OUT (EQUIPMENT AND STORES) 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.	
04.11.01	Records relating to loan, lease or hire of equipment to other agencies.	TEMPORARY Destroy 1 year after equipment is returned, if not returned destroy 5 years after action completed
04.12.00	MAINTENANCE (EQUIPMENT AND STORES) The activities associated with the upkeep, repair, servicing, modification and preservation of internal/external condition of equipment. <i>See 04.01.00 ACQUISITION AND DISPOSAL for records relating to the acquisition or disposal of equipment and stores.</i>	
04.12.01	Records relating to the maintenance of equipment that contains hazardous material, such as asbestos.	TEMPORARY Destroy 100 years after equipment installed
04.12.02	Records relating to the maintenance of equipment that does <u>not</u> contain hazardous material, such as asbestos.	TEMPORARY Destroy 7 years after action completed
04.12.03	Records relating to programming and forward planning proposals for equipment maintenance.	TEMPORARY Destroy 5 years after action completed
04.12.04	Records relating to the selection of storage areas for agency equipment and stores.	TEMPORARY Destroy 2 years after action completed
04.13.00	MEETINGS (COMPENSATION) <i>See 15.14.00 STRATEGIC MANAGEMENT – MEETINGS for records of meetings</i>	

04.14.00	POLICY (COMPENSATION) <i>See 15.17.00 STRATEGIC MANAGEMENT – POLICY for policy records</i>	
04.15.00	PROCEDURES (COMPENSATION) <i>See 15.18.00 STRATEGIC MANAGEMENT – PROCEDURES for records of procedures</i>	
04.16.00	REVIEWING (COMPENSATION) <i>See 15.21.00 STRATEGIC MANAGEMENT – REVIEWING for records of reviewing</i>	
04.17.00	STOCKTAKE (COMPENSATION) 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.	
04.17.01	Records relating to the inventory and stocktake of equipment and stores.	TEMPORARY Destroy 3 years after action completed
04.18.00	TENDERING (COMPENSATION) <i>See 06.30.00 FINANCIAL MANAGEMENT – TENDERING for records of tendering</i>	
05.00.00	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.	
05.01.00	COMMITTEES (ESTABLISHMENT) Insert scope note to describe the activity <i>See 01.00.00 BOARDS AND COMMITTEES for records of administering boards, committees or similar groups.</i>	
05.02.00	COMPLIANCE (ESTABLISHMENT) <i>See 10.04.00 INFORMATION MANAGEMENT – COMPLIANCE for records of compliance in relation to information management, such as Right to Information, Freedom of Information or Privacy legislation.</i> <i>See 06.11.00 FINANCIAL MANAGEMENT – COMPLIANCE for records of compliance in relation to financial management.</i> <i>See 15.05.00 STRATEGIC MANAGEMENT – COMPLIANCE for records of compliance with other mandatory or optional accountability, legal, regulatory or quality standards.</i> <i>See 17.04.00 WORKPLACE HEALTH AND SAFETY – COMPLIANCE for records of compliance in relation to workplace health and safety.</i>	
05.03.00	ESTABLISHMENT OR RESTRUCTURING (ESTABLISHMENT) 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.	
05.03.01	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
05.03.02	Key records documenting the initial establishment of the agency, including its purpose and legislative basis.	PERMANENT

05.03.03	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
05.03.04	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 Destroy 7 years after action completed
05.03.05	Formal agreements documenting the transfer of responsibilities and assets such as premises, information, records, etc.	PERMANENT
05.03.06	Administrative records relating to agreements regarding transfer of responsibilities, assets, etc.	TEMPORARY Destroy 10 years after action completed
05.04.00	EVALUATION (ESTABLISHMENT)	
	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.	
05.04.01	Job evaluation documentation	TEMPORARY Destroy 7 years after position has been abolished or reclassified
05.05.00	MEETINGS (ESTABLISHMENT)	
	<i>See 15.14.00 STRATEGIC MANAGEMENT – MEETINGS for records of meetings</i>	
05.06.00	PLANNING (ESTABLISHMENT)	
	<i>See 15.16.00 STRATEGIC MANAGEMENT – PLANNING for planning records</i>	
05.07.00	POLICY (ESTABLISHMENT)	
	<i>See 15.17.00 STRATEGIC MANAGEMENT – POLICY for records of policy</i>	
05.08.00	REPORTING (ESTABLISHMENT)	
	<i>See 15.19.00 STRATEGIC MANAGEMENT – REPORTING for reporting records</i>	
06.00.00	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.	
	<i>See 10.00.00 INFORMATION MANAGEMENT for records relating to the disposal of financial information</i>	
06.01.00	ACCOUNTING (FINANCIAL MANAGEMENT)	
	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. Credit cardholder details must be managed in accordance with the PCI DSS.(Payment Card Industry Data Security Standards)	

06.01.01	Register of unclaimed moneys required to be maintained under Treasurer's Instructions.	TEMPORARY Destroy 7 years after monies claimed
06.01.02	<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 • requisition or purchase orders • delivery dockets. • sales and purchase invoices • receipt and revenue records • other prime entry records. <p><i>See 06.01.11 for records of special payments</i> <i>See 06.01.12 for taxation records</i> <i>See 06.30.00 TENDERING for tendering records</i> <i>See 12.26.00 PERSONNEL AND STAFF DEVELOPMENT - SALARIES for salary payment documentation</i> <i>See ACQUISITION under the relevant function for other records relating to the procurement of goods and services.</i></p>	TEMPORARY Destroy 7 years after the financial year to which the records relate
06.01.03	<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><i>See 06.01.04 for records relating to account transactions</i> <i>See 06.08.01 for records relating to financial delegations</i></p>	TEMPORARY Destroy 7 years after account closed

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06.01.04	<p>Records relating to the management of banking activities and transactions. 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 	<p>TEMPORARY Destroy 7 years after the financial year to which the records relate</p>
06.01.05	<p>Entries in the register of bank accounts of the public authority.</p>	<p>TEMPORARY Destroy 7 years after account closed</p>
06.01.06	<p>Records documenting the public authority's Chart of Accounts.</p>	<p>TEMPORARY Destroy 7 years after the financial year to which the records relate</p>
06.01.07	<p>Records relating to the management of the public authority's contingent assets and contingent liabilities. Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • quarterly reports. 	<p>TEMPORARY Destroy 7 years after action completed</p>
06.01.08	<p>Register of contingency assets and contingency liabilities.</p>	<p>TEMPORARY Destroy 7 years after action completed or after disposal of asset, whichever is later</p>
06.01.09	<p>Records relating to the use of public authority credit card facilities including special purpose facilities, e.g. fuel cards, reward cards, purchase cards. Credit cardholder details must be managed in accordance with the PCI DSS.(Payment Card Industry Data Security Standards). 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><i>See 06.01.02 for records relating to the payment or receipt of money. See 06.01.17 for records relating to accountable forms and vouchers. See 06.01.19 and 06.01.20 for records relating to the storage of client payment card details</i></p>	<p>TEMPORARY Destroy 7 years after the financial year to which the records relate</p>

<p>06.01.10</p>	<p>Records relating to the management and settlement of debts, overpayments and material losses. Includes debt recovery and write-offs. 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><i>See 06.06.02 for records relating to asset writ-offs and losses</i> <i>See 15.07.00 for records relating to corruption</i> <i>See 06.25.01 for records reporting losses</i></p>	<p>TEMPORARY Destroy 7 years after the financial year to which the records relate</p>
<p>06.01.11</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>Note: <i>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>	<p>TEMPORARY Destroy 7 years after the financial year to which the records relate</p>
<p>06.01.12</p>	<p>Records relating to taxation matters of the public authority excluding Government Owned Corporations. 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><i>See 06.01.02 for financial records relating to the payment of salaries</i> <i>See 12.26.00 PERSONNEL AND STAFF DEVELOPMENT – SALARIES for records relating to employee taxation records.</i></p>	<p>TEMPORARY Destroy 7 years after action completed</p>
<p>06.01.13</p>	<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><i>See 11.08.00 LEGAL SERVICES – LITIGATION for records that result in legal action</i></p>	<p>TEMPORARY Destroy 7 years after action completed</p>
<p>06.01.14</p>	<p>Records relating to the collection of fines and expiation notices.</p>	<p>TEMPORARY Destroy 7 years after action completed</p>

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06.01.15	Records relating to the management of unclaimed moneys, including all background information.	TEMPORARY Destroy 5 years after action completed
06.01.16	Entries in the accountable forms register that document the receipt, issue, transfer, return and destruction of accountable forms.	TEMPORARY Destroy 3 years after action completed
06.01.17	Records relating to the management of accountable forms including vouchers, cheques, money forms, etc. Records may include, but are not limited to: <ul style="list-style-type: none"> • acquisition orders • Cabcharge vouchers • requests • issue receipts • approvals <p><i>See 06.01.02 for records relating to the processing of financial forms.</i> <i>See DA2158 Disposal Schedule for short term value records for surplus accountable forms including blank and obsolete forms</i></p>	TEMPORARY Destroy 3 years after the financial year to which the records relate
06.01.18	Regular or periodic system reports on financial transactions used for routine administrative purposes. Includes consolidated monthly and quarterly financial statements, monthly accrual statements.	TEMPORARY Destroy 2 years after action completed
06.01.19	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. Information may include, but is not limited to: <ul style="list-style-type: none"> • Primary Account Number (PAN) • cardholder name • expiry date • service code. 	TEMPORARY Destroy 3 months after last business, legal and/or regulatory action
06.01.20	Records containing sensitive authentication data captured as part of an electronic financial transaction. Information may include, but is not limited to: <ul style="list-style-type: none"> • card verification value (CAV2, CID, CVC2 or CVV2) • full magnetic stripe data • Personal Identification Number (PIN)/PIN Block. 	TEMPORARY Destroy after transaction completed
06.02.00	ACQUISITION (FINANCIAL MANAGEMENT) The process of gaining ownership or use of property, services and other items required in the conduct of business.	
06.02.01	Acquisition records, including quotations, requisitions, orders, invoices, etc.	TEMPORARY Destroy 7 years after action completed
06.02.02	Duplicate copies of acquisition records (including purchase order book butts) retained in business units or regional offices.	TEMPORARY Destroy 2 years after action completed
06.03.00	ADVICE (FINANCIAL MANAGEMENT) The activity of offering opinions by or to the public authority as to an action or judgement. Includes the process of advising.	

06.03.01	<p>Records relating to advice provided to or received by the public authority on financial management matters.</p> <p><i>See 06.09.01 for records of high level advice</i> <i>See 06.12.00 CONTRACTING-OUT for records of advice relating contracts</i></p>	<p>TEMPORARY Destroy 8 years after action completed</p>
06.04.00	<p>AGREEMENTS (FINANCIAL MANAGEMENT) The activity of establishing, maintaining, reviewing and negotiating agreements.</p>	
06.04.01	<p>Records relating to the negotiation, establishment, maintenance and review of agreements <u>not</u> under seal relating to financial management.</p>	<p>TEMPORARY Destroy 8 years after agreement expires or action completed whichever is later</p>
06.04.02	<p>Records relating to the negotiation, establishment, maintenance and review of agreements under seal relating to financial management.</p>	<p>TEMPORARY Destroy 21 years after agreement expires or action completed whichever is later</p>
06.05.00	<p>ALLOCATION (FINANCIAL MANAGEMENT) The activity of assigning money, items or equipment to employees or organisational units.</p>	
06.05.01	<p>Records relating to the allocation of funds to individual units within the public authority following budget requests.</p>	<p>TEMPORARY Destroy 6 years after the financial year to which the records relate</p>
06.06.00	<p>ASSET REGISTER (FINANCIAL MANAGEMENT) The activity of recording all assets owned or controlled by the agency. Includes the date of purchase, depreciation expense, written down value as well as stocktaking and auditing notations. Note: Assets include property, plant/infrastructure, equipment and intangibles (such as software) from which the agency is able to derive future economic benefits.</p> <p><i>See 04.00.00 EQUIPMENT AND STORES for non-financial records relating to equipment and consumable items.</i> <i>See 07.00.00 FLEET MANAGEMENT for non-financial records relating to vehicles used by the agency.</i> <i>See 13.00.00 PROPERTY MANAGEMENT for non-financial records relating to capital assets.</i> <i>See 16.00.00 TECHNOLOGY AND TELECOMMUNICATIONS for non-financial records relating to technology and telecommunications</i></p>	
06.06.01	<p>Entries in asset registers that provide a summary of the assets owned or controlled by the public authority. Includes registers of portable and attractive items, losses and assets written off.</p>	<p>TEMPORARY Destroy 7 years after disposal of asset</p>

<p>06.06.02</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 06.25.00 REPORTING for reports on asset reviews prepared for Treasury</i> <i>See ACQUISITION under the relevant function for non-financial records relating to the procurement of assets.</i> <i>See DISPOSAL under the relevant function for non-financial records relating to the disposal of assets.</i></p>	<p>TEMPORARY Destroy 7 years after the financial year to which the records relate</p>
<p>06.07.00</p>	<p>AUDIT (FINANCIAL MANAGEMENT) 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.</p> <p><i>See 10.16.00 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>	
<p>06.07.01</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>	<p>PERMANENT</p>
<p>06.07.02</p>	<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><i>See 01.00.00 BOARDS AND COMMITTEES for records of Internal Audit Committees</i> <i>See 06.08.02 for records of Head of Internal Audit delegations</i></p>	<p>TEMPORARY Destroy 7 years after the financial year to which the records relate</p>

06.07.03	<p>Records relating to the internal financial audit program/plan. Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • internal financial audit charter • financial audit program/plan. <p><i>See 06.07.02 for records relating to internal and external audits.</i></p>	<p>TEMPORARY Destroy 7 years after action completed</p>
06.07.04	<p>Entries in the register of issues arising from financial audits recorded for internal use.</p>	<p>TEMPORARY Destroy 7 years after the financial year to which the audit relates</p>
06.08.00	<p>AUTHORISATION (FINANCIAL MANAGEMENT) The activity of seeking and granting permission to undertake a requested action.</p>	
06.08.01	<p>Delegations of financial authority to Chief Executives and officers occupying statutory positions.</p>	<p>PERMANENT</p>
06.08.02	<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><i>See 12.05.00 PERSONNEL AND STAFF DEVELOPMENT – AUTHORISATION for other records relating to delegations of authority</i></p>	<p>TEMPORARY Destroy 7 years after delegation is cancelled or superseded</p>
06.08.03	<p>Entries in the register of financial delegations to authorise financial transactions.</p>	<p>TEMPORARY Destroy 7 years after delegation is cancelled or superseded</p>
06.08.04	<p>Authorisations to conduct financial transactions on behalf of clients e.g. credit card/direct debit authorisations. Includes amendments to authorisations. Credit cardholder details must be managed in accordance with the PCI DSS (Payment Card Industry Data Security Standards)</p>	<p>TEMPORARY Destroy 7 years after action completed</p>
06.08.05	<p>Records relating to applications submitted by statutory bodies, including local governments, to the Treasurer for approval to exercise a power (if applicable). Records may include, but are not limited to:</p> <ul style="list-style-type: none"> • applications • approvals • supporting documentation. <p><i>See 06.01.11 for records of payments requiring special approval.</i> <i>See 06.09.02 for records of budget-related approvals.</i></p>	<p>TEMPORARY Destroy 7 years after action completed</p>
06.08.06	<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>	<p>TEMPORARY Destroy 7 years after repeal of the approval</p>
06.09.00	<p>BUDGETING (FINANCIAL MANAGEMENT) The activity of planning the use of expected income and expenditure over a specified period.</p>	
06.09.01	<p>Records relating to the agency's 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>	<p>PERMANENT</p>

06.09.02	<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. 	<p>TEMPORARY Destroy 7 years after the financial year to which the records relate</p>
06.10.00	<p>COMMITTEES (FINANCIAL MANAGEMENT)</p> <p><i>See 01.00.00 BOARDS AND COMMITTEES for records of administering boards, committees or similar groups.</i></p>	
06.11.00	<p>COMPLIANCE (FINANCIAL MANAGEMENT)</p> <p>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.</p>	
06.11.01	<p>Records relating to serious breaches of financial management compliance requirements that may result significant outcomes such as failure and reparation, police investigations and prosecutions.</p>	<p>PERMANENT</p>
06.11.02	<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. 	<p>TEMPORARY Destroy 7 years after lapses or is superseded</p>

06.11.03	<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><i>See 06.01.12 for taxation related exemptions</i> <i>See 15.07.00 STRATEGIC MANAGEMENT - CORRUPTION for records relating to cases of fraud or corruption.</i> <i>See 15.18.00 STRATEGIC MANAGEMENT - PROCEDURES for records relating to procedural controls to prevent fraud.</i> <i>See 06.25.00 REPORTING for records relating to the agency's reporting requirements.</i> <i>See 15.22.00 STRATEGIC MANAGEMENT – RISK MANAGEMENT for records relating to risk management and the prevention of fraud.</i></p>	TEMPORARY Destroy 7 years after expiry or refusal of exemption
06.11.04	Records relating to minor breaches of financial management compliance requirements.	TEMPORARY Destroy 6 years after action completed
06.12.00	<p>CONTRACTING-OUT (FINANCIAL MANAGEMENT)</p> <p>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.</p> <p>Note: 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.</p> <p><i>See 15.24.00 STRATEGIC MANAGEMENT - PROCEDURES for records relating to acquisition/procurement procedures</i> <i>See 06.30.00 TENDERING for records relating to tendering</i></p>	
06.12.01	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
06.12.02	Records relating to contracts that are highly significant and/or have created major public interest and controversy	PERMANENT
06.12.03	<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><i>See 11.08.00 LEGAL SERVICES – LITIGATION for litigation arising from contractual disputes.</i> <i>See 16.30.00 TECHNOLOGY AND TELECOMMUNICATIONS – SECURITY for records documenting the procurement process prior to the awarding of the contract.</i></p>	TEMPORARY Destroy 21 years after the expiry or termination of the contract

06.12.04	<p>Entries in the register of contracts.</p> <p><i>See 06.01.07 and 06.01.08 for financial commitments for future expenditure which are not yet formalised in a contract.</i></p>	<p>TEMPORARY Destroy 21 years after last entry</p>
06.12.05	<p>Records relating to the management of approved contracts <u>not</u> under seal. 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><i>See 11.08.00 LEGAL SERVICES – LITIGATION for litigation arising from contractual disputes.</i> <i>See 16.30.00 TECHNOLOGY AND TELECOMMUNICATIONS – SECURITY for records documenting the procurement process prior to the awarding of the contract.</i></p>	<p>TEMPORARY Destroy 8 years after the expiry or termination of the contract</p>
06.12.06	<p>Regular or periodic system reports on the contractual and financial obligations of the agency.</p>	<p>TEMPORARY Destroy 2 years after action completed</p>
06.13.00	<p>CORRUPTION (FINANCIAL MANAGEMENT) 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.</p> <p><i>See 15.07.00 STRATEGIC MANAGEMENT – CORRUPTION for records relating to corruption</i> <i>See 15.22.00 STRATEGIC MANAGEMENT – RISK MANAGEMENT for records relating to agency-wide risk management strategies</i> <i>See 12.00.00 PERSONNEL AND STAFF DEVELOPMENT for records relating to investigations into individual employees and the resulting disciplinary action</i></p>	
06.14.00	<p>DONATIONS (FINANCIAL MANAGEMENT) 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.</p>	
06.14.01	<p>Records relating to financial transactions involving gifts, benefits and other reportable items received or donated by the public authority and/or its officers. Records may include, but are not limited to</p> <ul style="list-style-type: none"> • gift register • approvals • notifications • terms and conditions. <p><i>See 02.07.00 COMMUNITY RELATIONS – DONATIONS for other records relating to the management of gifts</i> <i>See 12.00.00 PERSONNEL AND STAFF DEVELOPMENT for pecuniary interest declarations.</i></p>	<p>TEMPORARY Destroy 7 years after action completed</p>

<p>06.15.00</p>	<p>FINANCIAL STATEMENTS (FINANCIAL MANAGEMENT) The activity of compiling annual financial statements of the public authority in accordance with accounting standards. <i>See 06.25.00 REPORTING for other financial reporting requirements</i></p>	
<p>06.15.01</p>	<p>Records relating to annual and periodic financial statements prepared by the public authority. 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 06.25.00 REPORTING for other financial reports</i> <i>See 14.13.00 PUBLICATION – PRODUCTION for records relating to the preparation and publication of Annual Reports and legal deposit requirements.</i></p>	<p>TEMPORARY Destroy 7 years after the financial year to which the records relate</p>
<p>06.16.00</p>	<p>FUNDS MANAGEMENT (FINANCIAL MANAGEMENT) The activity of compiling annual financial statements of the public authority in accordance with accounting standards. <i>See 06.25.00 REPORTING for other financial reporting requirements</i></p>	
<p>06.16.01</p>	<p>Records relating to the establishment of trusts. 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>	<p>TEMPORARY Destroy 7 years after the disbursement of all assets/funds</p>
<p>06.16.02</p>	<p>Records relating to the routine management of trust funds. 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 	<p>TEMPORARY Destroy 7 years after the financial year to which the records relate</p>

06.16.03	<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><i>See 06.08.05 for approvals required by statutory bodies (if applicable)</i> <i>See 06.01.11 for records relating to special payments.</i></p>	<p>TEMPORARY Destroy 7 years after loan finalised</p>
06.17.00	<p>GRANT FUNDING (FINANCIAL MANAGEMENT) The activity of managing the grants funding process where the agency either receives or administers grants.</p> <p><i>See 06.01.00 ACCOUNTING for financial records relating to the receipt or payment of money</i></p>	
06.17.01	<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 	<p>TEMPORARY Destroy 8 years after grant has been acquitted</p>
06.17.02	<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. 	<p>TEMPORARY Destroy 8 years after grant has been acquitted</p>
06.17.03	<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 06.17.02 for records relating to applications which are successful on appeal or review.</i></p>	<p>TEMPORARY Destroy 2 years after closing date of funding round</p>
06.17.04	<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 06.17.01 for records relating to applications which are successful on appeal or review.</i></p>	<p>TEMPORARY Destroy 2 years after action completed</p>
06.18.00	<p>LEASING (FINANCIAL MANAGEMENT) The activities involved in leasing items or equipment from another organisation.</p>	
06.18.01	<p>Records relating to leasing of items or equipment under seal.</p>	<p>TEMPORARY Destroy 21 years after action completed</p>

06.18.02	Records relating to leasing items or equipment <u>not</u> under seal.	TEMPORARY Destroy 8 years after action completed
06.19.00	LEASING-OUT (FINANCIAL MANAGEMENT) 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.	
06.19.01	Records relating to leasing-out of items or equipment under seal.	TEMPORARY Destroy 21 years after action completed
06.19.02	Records relating to leasing-out of items or equipment <u>not</u> under seal.	TEMPORARY Destroy 7 years after action completed
06.20.00	MEETINGS (FINANCIAL MANAGEMENT) <i>See 15.14.00 STRATEGIC MANAGEMENT – MEETINGS for records of meetings</i>	
06.21.00	PAYMENTS (FINANCIAL MANAGEMENT) <i>See 06.01.00 ACCOUNTING for accounting records relating to the receipt or payment of money.</i>	
06.22.00	PLANNING (FINANCIAL MANAGEMENT) The activity of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs. <i>See 06.25.00 REPORTING for progress reports on financial management plans</i> <i>See 15.16.00 STRATEGIC MANAGEMENT – PLANNING for other strategic and corporate plans</i>	
06.22.01	Replace with disposal class description (Use table insert row for additional classes) <i>See 15.16.00 STRATEGIC MANAGEMENT – PLANNING for plans relating to the business model of the public authority, e.g. plans for commercialisation.</i>	TEMPORARY Destroy 7 years after action completed
06.22.02	Records relating to the development of financial management plans. Records may include, but are not limited to: <ul style="list-style-type: none"> • approvals • draft plans • reports • submissions • amendments • calculations • consultation records • working papers. 	TEMPORARY Destroy 3 years after action completed
06.23.00	POLICY (FINANCIAL MANAGEMENT) 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>See 15.17.00 STRATEGIC MANAGEMENT – POLICY for records relating to financial policy</i>	
06.24.00	PROCEDURES (FINANCIAL MANAGEMENT) Standard methods of operating laid down by a public authority according to formulated policy. <i>See 15.18.00 STRATEGIC MANAGEMENT – PROCEDURES for records relating to financial procedures</i>	

06.25.00	<p>REPORTING (FINANCIAL MANAGEMENT) 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.</p> <p><i>See 14.13.00 PUBLICATION – PRODUCTION for records relating to the preparation and publication of Annual Reports and legal deposit requirements</i> <i>See 06.07.00 AUDIT for audit records and reports.</i></p>	
06.25.01	<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 06.15.01 for records relating to the agency’s annual financial statements.</i></p>	<p>TEMPORARY Destroy 7 years after the financial year to which the records relate</p>
06.25.02	<p>Records relating to the development of financial reports.</p>	<p>TEMPORARY Destroy 3 years after action completed</p>
06.26.00	<p>REVIEWING (FINANCIAL MANAGEMENT) The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.</p> <p><i>See 06.07.00 AUDIT for audit records and reports.</i></p>	
06.26.01	<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><i>See 06.07.02 for records of audits which lead to a review</i> <i>See 15.16.00 STRATEGIC MANAGEMENT – PLANNING for records relating to business development plans.</i></p>	<p>TEMPORARY Destroy 7 years after action completed</p>
06.27.00	<p>RISK MANAGEMENT (FINANCIAL MANAGEMENT) 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.</p> <p><i>See 15.22.00 STRATEGIC MANAGEMENT – RISK MANAGEMENT for records relating to financial risk management and records relating to other corporate risks.</i> <i>See 03.07.00 COMPENSATION – INSURANCE for records relating to insurance against identified risks.</i> <i>See 01.00.00 BOARDS AND COMMITTEES for records of internal risk management committees</i></p>	

<p>06.28.00</p>	<p>SALARIES (FINANCIAL MANAGEMENT) The process of managing the payment of salaries to personnel. <i>See 06.01.02 financial records relating to the payment of salaries.</i> <i>See 12.00.00 PERSONNEL AND STAFF DEVELOPMENT for employee related records</i></p>	
<p>06.29.00</p>	<p>STANDARDS (FINANCIAL MANAGEMENT) <i>See 15.23.00 STRATEGIC MANAGEMENT – STANDARDS for records relating to standards</i></p>	
<p>06.30.00</p>	<p>TENDERING (FINANCIAL MANAGEMENT) 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. Note: This schedule should not be used for tenders submitted by the agency to provide services to another organisation. Refer to the agency’s core business or sector schedule. <i>See 06.12.00 CONTRACTING-OUT for records relating to approved contracts</i></p>	
<p>06.30.01</p>	<p>Approval and granting of official seals of agencies, Ministers or organisations (e.g seals used by authorities, boards of committees, etc).</p>	<p>PERMANENT</p>
<p>06.30.02</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>	<p>PERMANENT</p>
<p>06.30.03</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. 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. 	<p>TEMPORARY Destroy 21 years after action completed</p>
<p>06.30.04</p>	<p>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.</p>	<p>TEMPORARY Destroy 8 years after action completed</p>
<p>06.30.05</p>	<p>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.</p>	<p>TEMPORARY Destroy 3 years after action completed</p>
<p>06.30.06</p>	<p>Entries in the tender register</p>	<p>TEMPORARY Destroy 21 years after tender process completed</p>

06.31.00	USER CHARGING (FINANCIAL MANAGEMENT) The activity of setting fees and charges for services and goods provided by a public authority. <i>See 06.09.02 for records relating to budget planning</i>	
06.31.01	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. <i>See 14.00.00 PUBLICATION for records relating to the publication of approved fees and changes.</i>	TEMPORARY Destroy 7 years after the financial year to which the records relate
07.00.00	FLEET MANAGEMENT The function relating to the acquisition, supply, use, maintenance, repair, management and disposal of vehicles including boats and aircraft. <i>See 06.00.00 FINANCIAL MANAGEMENT for all financial records relating to the procurement (including tendering and contracting), maintenance and disposal of vehicles.</i> <i>See 06.01.00 ACCOUNTING for records relating to fuel cards</i>	
07.01.00	ACCIDENTS (FLEET MANAGEMENT) The activities involved in dealing with mishaps causing damage to vehicles.	
07.01.01	Records relating to mishaps causing damage to agency vehicles. <i>See 17.01.00 WORKPLACE HEALTH AND SAFETY – ACCIDENTS AND INCIDENTS for records of accidents involving agency vehicles that result in death</i>	TEMPORARY Destroy 7 years after action completed
07.02.00	ACQUISITION (FLEET MANAGEMENT) 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>See 06.00.00 FINANCIAL MANAGEMENT for financial records relating to the procurement process</i> <i>See 07.09.01 FLEET MANAGEMENT records relating to the disposal of vehicles</i>	
07.02.01	Non-financial records relating to the acquisition of vehicles by purchase or lease.	TEMPORARY Destroy 7 years after action completed
07.03.00	ALLOWANCES (FLEET MANAGEMENT) Payments to individuals relating to the use of vehicles. <i>See 12.02.00 PERSONNEL AND STAFF DEVELOPMENT – ALLOWANCES for records relating to how fleet vehicles are to be used by staff</i>	
07.04.00	ARRANGEMENTS (FLEET MANAGEMENT) 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.	
07.04.01	Vehicle running sheets or logbooks.	TEMPORARY Destroy 7 years after action completed
07.04.02	Vehicle booking records.	TEMPORARY Destroy 2 years after action completed

07.05.00	AUTHORISATION (FLEET MANAGEMENT)	
	<i>See 12.05.00 PERSONNEL AND STAFF DEVELOPMENT – AUTHORISATION for records relating to authorisation of staff to use fleet vehicles</i>	
07.06.00	COMMITTEES (FLEET MANAGEMENT)	
	<i>See 01.00.00 BOARDS AND COMMITTEES for records of committees</i>	
07.07.00	COMPLIANCE (FLEET MANAGEMENT)	
	<i>See 10.04.00 INFORMATION MANAGEMENT – COMPLIANCE for records of compliance in relation to information management, such as Right to Information, Freedom of Information or Privacy legislation.</i>	
	<i>See 06.11.00 FINANCIAL MANAGEMENT – COMPLIANCE for records of compliance in relation to financial management.</i>	
	<i>See 15.05.00 STRATEGIC MANAGEMENT – COMPLIANCE for records of compliance with other mandatory or optional accountability, legal, regulatory or quality standards.</i>	
	<i>See 17.04.00 WORKPLACE HEALTH AND SAFETY – COMPLIANCE for records of compliance in relation to workplace health and safety.</i>	
07.08.00	CONTRACTING-OUT (FLEET MANAGEMENT)	
	<i>See 06.12.00 FINANCIAL MANAGEMENT – CONTRACTING-OUT for records of contracting-out</i>	
07.09.00	DISPOSAL (FLEET MANAGEMENT)	
	The process of disposing of vehicles no longer required by the organisation, by sale, transfer, termination of lease, auction, donation or destruction.	
	<i>See 07.02.00 ACQUISITION for records relating to the acquisition of vehicles</i>	
07.09.01	Records relating to the disposal of vehicles through any means, including destruction, sale and replacement.	TEMPORARY Destroy 7 years after action completed
07.10.00	INFRINGEMENTS (FLEET MANAGEMENT)	
	The activities associated with handling breaches of rules. Includes driving or traffic infringements.	
07.10.01	Records relating to infringements of traffic regulations by agency staff.	TEMPORARY Destroy 1 year after action completed
07.11.00	INSURANCE (FLEET MANAGEMENT)	
	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.	
07.11.01	Vehicle insurance policies. Includes records relating to the renewal of insurance policies.	TEMPORARY Destroy 7 years after expiry of cancellation of policy
07.11.02	Records documenting insurance claims regarding damage to vehicles. <i>See 03.04.00 COMPENSATION - CLAIMS for insurance claims relating to individuals</i>	TEMPORARY Destroy 7 years after action completed
07.12.00	MAINTENANCE (FLEET MANAGEMENT)	
	The activities associated with the upkeep, repair and preservation of internal/external conditions of premises, equipment, vehicles, etc.	
07.12.01	Records relating to vehicle maintenance including service history (log books). Excludes maintenance contracts. <i>See 06.00.00 FINANCIAL MANAGEMENT for the procurement of maintenance contracts</i>	TEMPORARY Destroy 1 year after disposal of vehicle, or transfer log book to new owner

07.12.02	Records relating to vehicle registration and renewal.	TEMPORARY Destroy 1 year after renewal
07.13.00	MEETINGS (FLEET MANAGEMENT)	
	<i>See 15.14.00 STRATEGIC MANAGEMENT – MEETINGS for records of meetings</i>	
07.14.00	POLICY (FLEET MANAGEMENT)	
	<i>See 15.17.00 STRATEGIC MANAGEMENT – POLICY for policy records</i>	
07.15.00	PROCEDURES (FLEET MANAGEMENT)	
	<i>See 15.18.00 STRATEGIC MANAGEMENT – PROCEDURES for records of procedures</i>	
07.16.00	REPORTING (FLEET MANAGEMENT)	
	<i>See 15.19.00 STRATEGIC MANAGEMENT – REPORTING for reporting records</i>	
07.17.00	TENDERING (FLEET MANAGEMENT)	
	<i>See 06.30.00 FINANCIAL MANAGEMENT – TENDERING for tendering records</i>	
08.00.00	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.	
08.01.00	ADDRESSES (PRESENTATIONS) (GOVERNMENT RELATIONS) The activity of giving addresses and presentations at government occasions.	
08.01.01	Records relating to addresses and presentations given at major occasions, or on matters of substantial public interest and debate.	PERMANENT
08.01.02	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. <i>See 12.01.00 PERSONNEL AND STAFF DEVELOPMENT – ADDRESSES (PRESENTATIONS) for records of staff training seminars, workshops, etc,</i>	TEMPORARY Destroy 7 years after action completed
08.01.03	Records relating to other addresses and presentations, e.g. for routine promotion of agency services or marketing products.	TEMPORARY Destroy 2 years after action completed
08.02.00	ADVICE (GOVERNMENT RELATIONS) The activities associated with the offering of opinions by or to the agency as to an action or judgement.	
08.02.01	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
08.02.02	Records relating to advice provided to agencies that does <u>not</u> contain controversial public issues shown have far reaching social, economic and national implications.	TEMPORARY Destroy 8 years after action completed

08.03.00	AGREEMENTS (GOVERNMENT RELATIONS) The processes associated with the establishment, maintenance, review and negotiation of agreements.	
08.03.01	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.	PERMANENT
08.03.02	Records relating to the agreements under seal in which the agency has been involved that have <u>not</u> created major public interest or controversy.	TEMPORARY Destroy 21 years after action completed
08.03.03	Records relating to the agreements <u>not</u> under seal in which the agency has been involved that have <u>not</u> created major public interest or controversy.	TEMPORARY Destroy 8 years after action completed
08.04.00	COMMITTEES (GOVERNMENT RELATIONS) <i>See 01.00.00 BOARDS AND COMMITTEES for records of committees</i>	
08.05.00	COMPLIANCE (GOVERNMENT RELATIONS) <i>See 10.04.00 INFORMATION MANAGEMENT – COMPLIANCE for records of compliance in relation to information management, such as Right to Information, Freedom of Information or Privacy legislation.</i> <i>See 06.11.00 FINANCIAL MANAGEMENT – COMPLIANCE for records of compliance in relation to financial management.</i> <i>See 15.05.00 STRATEGIC MANAGEMENT – COMPLIANCE for records of compliance with other mandatory or optional accountability, legal, regulatory or quality standards.</i> <i>See 17.04.00 WORKPLACE HEALTH AND SAFETY – COMPLIANCE for records of compliance in relation to workplace health and safety.</i>	
08.06.00	GREETINGS (GOVERNMENT RELATIONS) The activities associated with preparing and sending letters of appreciation or condolences. Includes mailing lists for Christmas cards.	
08.06.01	Records relating to the preparation and sending of greetings. Also includes greetings received by the agency. Includes address lists.	TEMPORARY Destroy 2 years after action completed
08.07.00	INQUIRIES (GOVERNMENT RELATIONS) 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. NOTE: This schedule does not authorise the disposal of records of the formal inquiry body. Contact the relevant archival authority for further advice regarding these records.	
08.07.01	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
08.07.02	Agency submissions or contributions to inquiries which are not related to their functions.	TEMPORARY Destroy 7 years after action completed
08.08.00	JOINT VENTURES (GOVERNMENT RELATIONS) <i>See 08.03.00 AGREEMENTS for records relating to joint ventures</i>	

08.09.00	LEGISLATION (GOVERNMENT RELATIONS) <i>See 15.13.00 STRATEGIC MANAGEMENT – LEGISLATION for records relating to legislation</i>	
08.10.00	MEETINGS (GOVERNMENT RELATIONS) <i>See 15.14.00 STRATEGIC MANAGEMENT – MEETINGS for records relating to meetings</i>	
08.11.00	POLICY (GOVERNMENT RELATIONS) <i>See 15.17.00 STRATEGIC MANAGEMENT – POLICY for records relating to policy</i>	
08.12.00	PROCEDURES (GOVERNMENT RELATIONS) <i>See 15.18.00 STRATEGIC MANAGEMENT – PROCEDURES for records relating to procedures</i>	
08.13.00	REPORTING (GOVERNMENT RELATIONS) 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.	
08.13.01	Major reports prepared by the agency about core business activities.	PERMANENT
08.13.02	Minor reports prepared by the agency about core business activities. Excludes reports prepared by the agency about administrative activities.	TEMPORARY Destroy 7 years after action completed
08.13.03	Reports prepared by the agency about administrative activities.	TEMPORARY Destroy 5 years after action completed
08.13.04	Records relating to surveys completed for external government agencies.	TEMPORARY Destroy 2 years after action completed
08.14.00	REPRESENTATIONS (GOVERNMENT RELATIONS) 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.	
08.14.01	Records relating to the management of representations that result in changes in policy.	PERMANENT
08.14.02	Records relating to the management of representations that do not result in changes in policy.	TEMPORARY Destroy 8 years after action completed
08.14.03	Records relating to Parliamentary questions, possible questions or questions without notice.	TEMPORARY Destroy 2 years after action completed
08.15.00	REPRESENTATIVES (GOVERNMENT RELATIONS) 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.	
08.15.01	Nomination, appointment and resignation of agency representatives.	TEMPORARY Destroy 2 years after resignation or term of office expires
08.16.00	RESEARCH (GOVERNMENT RELATIONS) <i>See 15.20.00 STRATEGIC MANAGEMENT – RESEARCH for research records</i>	

08.17.00	REVIEWING (GOVERNMENT RELATIONS) <i>See 15.21.00 STRATEGIC MANAGEMENT – REVIEWING for records of review</i>	
08.18.00	SUBMISSIONS (GOVERNMENT RELATIONS) 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.	
08.18.01	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
08.18.02	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 Destroy 7 years after action completed
08.18.03	Records relating to routine Ministerial correspondence.	TEMPORARY Destroy 2 years after action completed
08.19.00	VISITS (GOVERNMENT RELATIONS) The activities involved in arranging visits by the Premier, Ministers and agency representatives within the state, interstate and overseas.	
08.19.01	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
08.19.02	Arrangements relating to visits by dignitaries to commemorations, exhibitions, etc., organised by the agency. Includes security arrangements and visit reports.	TEMPORARY Destroy 7 years after action completed
09.00.00	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.	
09.01.00	ADVICE (INDUSTRIAL RELATIONS) The activities associated with the offering of opinions by or to the agency as to an action or judgement.	
09.01.01	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
09.01.02	Records relating to the provision of other advice dealing with industrial relations issues.	TEMPORARY Destroy 8 years after action completed
09.02.00	AGREEMENTS AND AWARDS (INDUSTRIAL) (INDUSTRIAL RELATIONS) The processes associated with the establishment, maintenance, review and negotiation of workplace agreements and awards.	
09.02.01	Reviews of industrial awards with significant input by the agency.	PERMANENT
09.02.02	Copies of awards and agreements.	TEMPORARY Destroy 1 year after award/agreement has been superseded

09.02.03	Copies of decisions and determinations of the Industrial Commission.	TEMPORARY Destroy 10 years after action completed
09.03.00	APPEALS (INDUSTRIAL RELATIONS) The activities involved in the process of appeals against industrial relations decisions by application to a higher authority.	
09.03.01	Records relating to promotion/demotion, grievance and disciplinary appeals resolved within the agency or by an external tribunal or other authority.	TEMPORARY Destroy 7 years after action completed
09.04.00	CLAIMS (INDUSTRIAL RELATIONS) 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.	
09.04.01	Claims relating to pay and working conditions lodged under legislation on, or specific to, the department or agency.	TEMPORARY Destroy 7 years after action completed
09.05.00	COMMITTEES (INDUSTRIAL RELATIONS) <i>See 01.00.00 BOARDS AND COMMITTEES for records of committees</i>	
09.06.00	COMPLIANCE (INDUSTRIAL RELATIONS) <i>See 10.04.00 INFORMATION MANAGEMENT – COMPLIANCE for records of compliance in relation to information management, such as Right to Information, Freedom of Information or Privacy legislation.</i> <i>See 06.11.00 FINANCIAL MANAGEMENT – COMPLIANCE for records of compliance in relation to financial management.</i> <i>See 15.05.00 STRATEGIC MANAGEMENT – COMPLIANCE for records of compliance with other mandatory or optional accountability, legal, regulatory or quality standards.</i> <i>See 17.04.00 WORKPLACE HEALTH AND SAFETY – COMPLIANCE for records of compliance in relation to workplace health and safety.</i>	
09.07.00	DISPUTES (INDUSTRIAL RELATIONS) The activities associated with the resolution of disputes relating to dissatisfaction about a work situation.	
09.07.01	Records relating to industrial disputes which have a major impact on the agency's operations.	PERMANENT
09.07.02	Records relating to major disputes involving the agency's staff.	PERMANENT
09.07.03	Records relating to minor disputes involving the agency's staff.	TEMPORARY Destroy 7 years after action completed
09.08.00	ENTERPRISE BARGAINING (INDUSTRIAL RELATIONS) 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>See 16.00.00 STRATEGIC MANAGEMENT for records of workplace consultative committees.</i>	
09.08.01	Records relating to successful enterprise bargaining, including policy, case/examples of implementation, negotiations and enterprise agreements..	PERMANENT
09.08.02	Records relating to the development of an enterprise agreement. Includes records of cases that did not result in an agreement.	TEMPORARY Destroy 9 years after action completed
09.08.03	Enterprise bargaining working papers.	TEMPORARY Destroy 2 years after action completed

09.09.00	INDUSTRIAL ACTION (INDUSTRIAL RELATIONS) 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.	
09.09.01	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
09.09.02	Records relating to industrial action resolved with minimal impact on agency operations.	TEMPORARY Destroy 9 years after action completed
09.10.00	MEETINGS (INDUSTRIAL RELATIONS) <i>See 15.14.00 STRATEGIC MANAGEMENT – MEETINGS for records relating to meetings</i>	
09.11.00	PLANNING (INDUSTRIAL RELATIONS) <i>See 15.16.00 STRATEGIC MANAGEMENT – PLANNING for planning records</i>	
09.12.00	POLICY (GOVERNMENT RELATIONS) <i>See 15.17.00 STRATEGIC MANAGEMENT – POLICY for records relating to policy</i>	
09.13.00	PROCEDURES (GOVERNMENT RELATIONS) <i>See 15.18.00 STRATEGIC MANAGEMENT – PROCEDURES for records relating to procedures</i>	
09.14.00	REPORTING (INDUSTRIAL RELATIONS) <i>See 15.19.00 STRATEGIC MANAGEMENT – REPORTING for records relating to reporting</i>	
09.15.00	RESEARCH (INDUSTRIAL RELATIONS) <i>See 15.20.00 STRATEGIC MANAGEMENT – RESEARCH for records relating to research</i>	
10.00.00	INFORMATION MANAGEMENT The function of providing services based on information and information products. Includes library and records management services.	
10.01.00	ACQUISITION (INFORMATION MANAGEMENT) The process of gaining ownership or use of information resources or the provision of information services through purchases.	
10.01.01	Records relating to the acquisition of external publications and library materials, including subscriptions to journals, orders, approvals, etc.	TEMPORARY Destroy 7 years after action completed
10.02.00	AUDIT (INFORMATION MANAGEMENT) The activities associated with officially checking records to ensure they have been kept and maintained in accordance with agreed or legislated standards.	
10.02.01	Records relating to official audits of information systems, facilities and processes. Includes working papers, audit trail records, and system reports.	TEMPORARY Destroy 7 years after action completed
10.03.00	COMMITTEES (INFORMATION MANAGEMENT) <i>See 01.00.00 BOARDS AND COMMITTEES for records of committees</i>	

10.04.00	COMPLIANCE (INFORMATION MANAGEMENT) 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. Includes compliance with the Right to Information or Freedom of Information legislation. <i>See 02.08.00 COMMUNITY RELATIONS – ENQUIRIES AND PUBLIC REACTION for general enquiries and requests for information received by the agency.</i>	
10.04.01	Records relating to the management of serious breaches of compliance requirements.	PERMANENT
10.04.02	Records relating to agency compliance with mandatory standards or statutory requirements. Includes proof of compliance.	TEMPORARY Destroy 7 years after action completed
10.04.03	Records relating to the management of minor breaches of compliance requirements.	TEMPORARY Destroy 5 years after action completed
10.04.04	Application files relating to the management of precedent-setting cases or cases generating substantial public interest.	PERMANENT
10.04.05	Application files relating to the management of cases that are <u>not</u> 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 <u>may</u> or <u>may not</u> have been subject to internal or external review Includes copies of documents provided to applicant.	TEMPORARY Destroy 8 years after action completed
10.04.06	Routine correspondence dealing with minor matters related to Right to Information or Freedom of Information.	TEMPORARY Destroy 2 years after action completed
10.04.07	Application files relating to the management of withdrawn applications or applications referred to other agencies.	TEMPORARY Destroy 2 years after action completed
10.04.08	Records relating to individual privacy cases that are of a contentious or precedent-setting nature.	PERMANENT
10.04.09	Confidentiality agreements between the agency and external bodies, and related records.	TEMPORARY Destroy 7 years after lapsing of agreement or action completed, whichever is later
10.04.10	Plans for the implementation of privacy controls/principles for the collection, use, storage and disclosure of personal information.	TEMPORARY Destroy 5 years after superseded
10.04.11	Investigations into alleged privacy breaches, including unauthorised disposal of records containing personal information.	TEMPORARY Destroy 5 years after action completed
10.04.12	Records relating to individual privacy cases privacy cases that are <u>not</u> of a contentious or precedent-setting nature.	TEMPORARY Destroy 2 years after action completed
10.04.13	Guidelines and procedures developed by the agency for Right to Information or Freedom of Information. Includes the right to information privacy.	TEMPORARY Destroy 1 year after superseded
10.05.00	CONSERVATION (INFORMATION MANAGEMENT) The activities involved in the preservation, protection, maintenance, restoration and enhancement of information resources and artefacts.	

10.05.01	Records documenting specialised preservation treatment undertaken on permanent records, (e.g. for specific formats such as photographs).	PERMANENT
10.05.02	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 Destroy 2 years after plan superseded
10.05.03	Records relating to routine preservation activities undertaken on agency records, including bookbinding and repairs.	TEMPORARY Destroy 2 years after action completed
10.06.00	CONTRACTING-OUT (INFORMATION MANAGEMENT) <i>See 06.12.00 FINANCIAL MANAGEMENT – CONTRACTING-OUT for contracting-out records</i>	
10.07.00	CONTROL (INFORMATION MANAGEMENT) 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. For records relating to the management of a collection operated for the benefit of the public, please refer to the agency's own Retention and Disposal Schedule.	
10.07.01	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 10.10.01 for records relating to the disposal of records</i>	PERMANENT
10.07.02	Primary control records for records which are required as State archives but which are <u>not</u> required to facilitate access and give meaning and context to the records over time	TEMPORARY Destroy 20 years after records to which they relate were disposed of
10.07.03	Primary control records for records <u>not</u> required as State archives.	TEMPORARY Destroy 20 years after records to which they relate were disposed of
10.07.04	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 Destroy when reference ceases
10.07.05	Control records documenting library collections e.g. library catalogue.	TEMPORARY Destroy 1 year after collection is disposed of
10.07.06	Registers of, and receipts for, classified or confidential files, correspondence or safe-hand material, including access registers and destruction certificates for classified material.	TEMPORARY Destroy 5 years after action completed

10.07.07	Documentation relating to the withdrawal or return of records from Archives or other records storage providers.	TEMPORARY Destroy 2 years after action completed
10.07.08	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 Destroy 1 year after action completed
10.07.09	Loan records and reference material, including accession lists, lists of holdings of other libraries, inter-library loans, publishers' catalogues and price lists, etc.	TEMPORARY Destroy 1 year after action completed
10.08.00	CUSTOMER SERVICE (INFORMATION MANAGEMENT) The activities associated with the planning, monitoring and evaluation of services provided to customers by the agency.	
10.08.01	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 Destroy 5 years after action completed
10.08.02	Records relating to the development and implementation of quality management practices relating to meeting customer needs.	TEMPORARY Destroy 2 years after action completed
10.08.03	Records relating to enquiries directed to an agency.	TEMPORARY Destroy 2 years after action completed
10.09.00	DATA ADMINISTRATION (INFORMATION MANAGEMENT) 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>See 15.09.00 STRATEGIC MANAGEMENT – DISASTER RECOVERY for records relating to disaster recovery</i>	
10.09.01	Records relating to the planning and coordination of information systems. Includes migration of data to successor systems.	TEMPORARY Destroy 7 years after system closed or superseded, or data migrated to successor system
10.09.02	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 Destroy 7 years after system closed or superseded, or data migrated to successor system
10.09.03	Periodic data reports and related records used for checking, monitoring, and other routine administrative purposes. Includes data logs.	TEMPORARY Destroy 1 year after action completed
10.10.00	DISPOSAL (INFORMATION MANAGEMENT) 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.	

10.10.01	Transfer and access documentation for records transferred to the Tasmanian Archive & Heritage Office 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. <i>See 10.07.00 CONTROL for master control records</i>	TEMPORARY Destroy 20 years after action completed
10.10.02	Records relating to appraisal documentation submitted to the Tasmanian Archive & Heritage Office for the issue of disposal authorities.	TEMPORARY Destroy 10 years after authority superseded
10.10.03	Records relating to the disposal of library materials and other information products.	TEMPORARY Destroy 7 years after action completed
10.11.00	DISTRIBUTION (INFORMATION MANAGEMENT) The activities associated with disseminating items, correspondence or publications through sales, deliveries or other customer services.	
10.11.01	Records relating to distribution of correspondence and other items in the agency. Includes retrievals from secondary storage.	TEMPORARY Destroy 1 year after action completed
10.12.00	DONATIONS (INFORMATION MANAGEMENT) <i>See 02.07.00 COMMUNITY RELATIONS – DONATIONS for records relating to donations</i>	
10.13.00	ENQUIRIES (INFORMATION MANAGEMENT) Receiving and responding to enquiries regarding information and services.	
10.13.01	Routine management of library services provided by the agency including provision of materials and records of individual users, loans and inter-library loans.	TEMPORARY Destroy 2 years after action completed
10.13.02	Reference material relating to library services including publishers' catalogues, price lists, information from other libraries and agencies, etc.	TEMPORARY Destroy 3 months after action completed
10.14.00	EVALUATION (INFORMATION MANAGEMENT) <i>See 15.10.00 STRATEGIC MANAGEMENT – EVALUATION for evaluation records</i>	
10.15.00	IMPLEMENTATION (INFORMATION MANAGEMENT) <i>See 15.12.00 STRATEGIC MANAGEMENT – IMPLEMENTATION for records relating to technology implementation</i>	
10.16.00	INSPECTIONS (INFORMATION MANAGEMENT) The inspection of records by a monitoring agency. <i>See 11.08.04 LEGAL SERVICES – LITIGATION for the management of discovery orders</i>	
10.16.01	Records relating to inspections of agency records by a monitoring agency such as the Tasmanian Archive & Heritage Office	TEMPORARY Destroy 3 years after action completed
10.17.00	INTELLECTUAL PROPERTY (INFORMATION MANAGEMENT) 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.	

Disposal Schedule for Functional administrative records of Inter-Governmental Agencies DA No. 2437

10.17.01	Records relating to ownership by the agency of copyright, trademarks and patents.	TEMPORARY Destroy 7 years after ownership lapses
10.17.02	Documentation relating to infringements of copyright.	TEMPORARY Destroy 10 years after action completed
10.17.03	Applications by the agency for permission to reproduce material held under copyright by other individuals/organisations. Includes copyright declaration forms.	TEMPORARY Destroy 7 years after action completed
10.17.04	Applications received by the agency for permission to reproduce material in which it owns copyright. Includes copyright declaration forms.	TEMPORARY Destroy 7 years after expiry of the permission
10.17.05	Copyright agreements.	TEMPORARY Destroy 7 years after lapse of agreement or action completed, whichever is later
10.17.06	Records relating to the administration of royalties received by the agency.	TEMPORARY Destroy 7 years after action completed
10.18.00	MEETINGS (INFORMATION MANAGEMENT) <i>See 15.14.00 STRATEGIC MANAGEMENT – MEETINGS for records of meetings</i>	
10.19.00	PLANNING (INFORMATION MANAGEMENT) <i>See 15.16.00 STRATEGIC MANAGEMENT – PLANNING for records of planning</i>	
10.20.00	PRIVACY (INFORMATION MANAGEMENT) <i>See 10.04.00 COMPLIANCE for records relating to 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>	
10.21.00	RESEARCH (INFORMATION MANAGEMENT) <i>See 15.20.00 STRATEGIC MANAGEMENT – RESEARCH for research records</i>	
10.22.00	REVIEWING (INFORMATION MANAGEMENT) <i>See 15.21.00 STRATEGIC MANAGEMENT – REVIEWING for records of review</i>	
10.23.00	RISK MANAGEMENT (INFORMATION MANAGEMENT) <i>See 15.22.00 STRATEGIC MANAGEMENT – RISK MANAGEMENT for records relating to managing risk</i>	
10.24.00	SECURITY (INFORMATION MANAGEMENT) The activities associated with measures taken to protect information from accidental or intentional damage or from unauthorised access.	
10.24.01	Security arrangements for records including sensitive, financial and critical records.	TEMPORARY Destroy 5 years after superseded
10.25.00	STANDARDS (INFORMATION MANAGEMENT) <i>See 15.23.00 STRATEGIC MANAGEMENT – STANDARDS for records relating to standards</i>	

11.00.00	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.	
11.01.00	ADVICE (LEGAL SERVICES) The activities associated with the offering of opinions by or to the agency as to an action or judgement. Includes the process of advising.	
11.01.01	Legal advice from inside and outside the agency relating to interpretations of legislation administered by the agency; proposals for new or amended legislation; major issues of public interest, precedents or matters which have a major impact on the agency's policy and procedures.	PERMANENT
11.01.02	Legal advice from inside and outside the agency relating to interpretations of legislation administered by the agency; which have a minor impact on the agency's policy and procedures.	TEMPORARY Destroy 10 years after action completed
11.02.00	AGREEMENTS (LEGAL SERVICES) <i>See 15.01.00 STRATEGIC MANAGEMENT – AGREEMENTS for records of agreements</i>	
11.03.00	COMMITTEES (LEGAL SERVICES) <i>See 01.00.00 BOARDS AND COMMITTEES for records of committees</i>	
11.04.00	COMPLIANCE (LEGAL SERVICES) <i>See 10.04.00 INFORMATION MANAGEMENT – COMPLIANCE for records of compliance in relation to information management, such as Right to Information, Freedom of Information or Privacy legislation.</i> <i>See 06.11.00 FINANCIAL MANAGEMENT – COMPLIANCE for records of compliance in relation to financial management.</i> <i>See 15.05.00 STRATEGIC MANAGEMENT – COMPLIANCE for records of compliance with other mandatory or optional accountability, legal, regulatory or quality standards.</i> <i>See 17.04.00 WORKPLACE HEALTH AND SAFETY – COMPLIANCE for records of compliance in relation to workplace health and safety.</i>	
11.05.00	CONTRACTING-OUT (LEGAL SERVICES) <i>See 06.00.00 FINANCIAL MANAGEMENT – CONTRACTING-OUT for records of contracts</i>	
11.06.00	INQUIRIES (LEGAL SERVICES) <i>See 08.07.00 GOVERNMENT RELATIONS – INQUIRIES for records relating to inquiries</i>	
11.07.00	INTELLECTUAL PROPERTY (LEGAL SERVICES) <i>See 10.17.00 INFORMATION MANAGEMENT – INTELLECTUAL PROPERTY for records relating to intellectual property</i>	
11.08.00	LITIGATION (LEGAL SERVICES) 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. Note: Records that are or may be needed in evidence in a judicial proceeding, including any reasonably possible judicial proceeding, must be retained for longer.	

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11.08.01	Records relating to major 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
11.08.02	Records relating to public interest disclosures made which are substantiated.	PERMANENT
11.08.03	Records created and received during the legal discovery process. Includes subpoenas and discovery orders also includes arrangements for agency witnesses to attend court.	TEMPORARY' Destroy 10 years after action completed
11.08.04	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' Destroy 10 years after action completed
11.08.05	Records relating to issues, claims or case matters which are <u>not</u> major matters or issues of public interest or controversy. Includes claims of a minor nature.	TEMPORARY' Destroy 7 years after action completed
11.08.06	Records relating to public interest disclosures which are unfounded or unsubstantiated after necessary action has been taken.	TEMPORARY' Destroy 3 years after action completed
11.09.00	MEETINGS (LEGAL SERVICES) <i>See 15.14.00 STRATEGIC MANAGEMENT – MEETINGS for records of meetings</i>	
11.10.00	PLANNING (LEGAL SERVICES) <i>See 15.16.00 STRATEGIC MANAGEMENT – PLANNING for records of planning</i>	
11.11.00	POLICY (LEGAL SERVICES) <i>See 15.17.00 STRATEGIC MANAGEMENT – POLICY for records of policy</i>	
11.12.00	REPORTING (LEGAL SERVICES) <i>See 15.19.00 STRATEGIC MANAGEMENT – REPORTING for records of reporting</i>	
11.13.00	RESEARCH (LEGAL SERVICES) <i>See 15.20.00 STRATEGIC MANAGEMENT – RESEARCH for research records</i>	
11.14.00	REVIEWING (LEGAL SERVICES) <i>See 15.21.00 STRATEGIC MANAGEMENT – REVIEWING for records of reviewing</i>	
11.15.00	SUBMISSIONS (LEGAL SERVICES) <i>See 08.18.00 GOVERNMENT RELATIONS – SUBMISSIONS for records of submissions</i>	

12.00.00	<p>PERSONNEL AND STAFF DEVELOPMENT</p> <p>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.</p> <p>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.</p>	
12.01.00	<p>ADDRESSES (PRESENTATIONS) (PERSONNEL AND STAFF DEVELOPMENT)</p> <p><i>See 02.01.00 COMMUNITY RELATIONS – ADDRESSES (PRESENTATIONS) and 08.01.00 GOVERNMENT RELATIONS – ADDRESSES (PRESENTATIONS) for records relating to addresses and presentations giving addresses for training, professional, community relations or sales purposes. Includes speeches and multi-media presentations.</i></p>	
12.02.00	<p>ALLOWANCES (PERSONNEL AND STAFF DEVELOPMENT)</p> <p>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.</p>	
12.02.01	Records relating to allowances paid to agency staff and volunteers. Includes allowances for travelling, moving, shifts, meals, etc. Also includes rejected applications for allowances.	TEMPORARY Destroy 7 years after action completed
12.03.00	<p>ARRANGEMENTS (PERSONNEL AND STAFF DEVELOPMENT)</p> <p>The activities involved in arranging for a journey or trip. Includes preparing travel itineraries, authorisations, entitlements etc.</p> <p><i>See 06.00.00 FINANCIAL MANAGEMENT for payments relating to staff travel</i></p>	
12.03.01	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 Destroy 7 years after action completed
12.03.02	Visit reports where the information is required to fulfil finance and accounting requirements.	TEMPORARY Destroy 2 years after action completed
12.04.00	<p>AUDIT (PERSONNEL AND STAFF DEVELOPMENT)</p> <p><i>See 15.02.00 STRATEGIC MANAGEMENT – AUDIT for records of audit</i></p>	
12.05.00	<p>AUTHORISATION (PERSONNEL AND STAFF DEVELOPMENT)</p> <p>The process of seeking and granting permission to undertake a requested action.</p> <p><i>See 06.08.00 FINANCIAL MANAGEMENT – AUTHORISATION for financial delegations</i></p>	

12.05.01	<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
12.05.02	<p>Records relating to other delegations of authority relating to the functional or administrative responsibilities of the agency issued to officers that are <u>not</u> covered by reference number 12.5.1</p> <p><i>See 06.08.00 FINANCIAL MANAGEMENT – AUTHORISATION for financial delegations</i></p>	<p>TEMPORARY Destroy 7 years after delegation is cancelled or superseded</p>
12.06.00	<p>COMMITTEES (PERSONNEL AND STAFF DEVELOPMENT)</p> <p><i>See 01.00.00 BOARDS AND COMMITTEES for records of committees</i></p>	
12.07.00	<p>COMPLIANCE (PERSONNEL AND STAFF DEVELOPMENT)</p> <p><i>See 10.04.00 INFORMATION MANAGEMENT – COMPLIANCE for records of compliance in relation to information management, such as Right to Information, Freedom of Information or Privacy legislation.</i> <i>See 06.11.00 FINANCIAL MANAGEMENT – COMPLIANCE for records of compliance in relation to financial management.</i> <i>See 15.05.00 STRATEGIC MANAGEMENT – COMPLIANCE for records of compliance with other mandatory or optional accountability, legal, regulatory or quality standards.</i> <i>See 17.04.00 WORKPLACE HEALTH AND SAFETY – COMPLIANCE for records of compliance in relation to workplace health and safety.</i></p>	
12.08.00	<p>CONFERENCES (PERSONNEL AND STAFF DEVELOPMENT)</p> <p><i>See 02.05.00 COMMUNITY RELATIONS – CONFERENCES for records of conferences</i></p>	
12.09.00	<p>CONTRACTING-OUT (PERSONNEL AND STAFF DEVELOPMENT)</p> <p><i>See 06.12.00 FINANCIAL MANAGEMENT – CONTRACTING-OUT for records of contracting</i></p>	
12.10.00	<p>COUNSELLING (PERSONNEL AND STAFF DEVELOPMENT) The activities associated with giving advice or guidance to employees for various reasons.</p>	
12.10.01	<p>Name-specific files raised regarding employee assistance and personal welfare matters (e.g. hardship relief, welfare counselling, bereavement, travel). Note: Some agencies may need to retain these records longer, e.g. the Police</p>	<p>TEMPORARY Destroy 7 years after action completed</p>
12.11.00	<p>DISCIPLINE (PERSONNEL AND STAFF DEVELOPMENT) 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.</p> <p><i>See 12.13.00 GRIEVANCES for grievances not relating to a discipline process</i> <i>See 12.19.00 PERFORMANCE MANAGEMENT for managing diminished performance and other performance issues.</i></p>	
12.11.01	<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

12.11.02	Records relating to the management of cases where employees <u>not</u> 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	TEMPORARY Destroy 7 years after action completed
12.11.03	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.	TEMPORARY Destroy 7 years after action completed unless destruction required earlier as part of an agreement
12.12.00	EMPLOYMENT CONDITIONS (PERSONNEL AND STAFF DEVELOPMENT) The activities associated with managing the general conditions of employment for personnel.	
12.12.01	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. 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	PERMANENT
12.12.02	Personnel files of prominent employees, such as the Chief Executive/Head of Agency.	PERMANENT
12.12.03	Files of public sector employees that are <u>not</u> Chief Executive Officer/Head of Agency. Includes exempt personnel, work experience placements, contract employees etc.	TEMPORARY Destroy 85 years after date of birth or 7 years after separation or death, whichever is later
12.12.04	Register of declarations of pecuniary or other potentially conflicting interests. <i>See 06.00.00 FINANCIAL MANAGEMENT for financial records</i> <i>See 02.12.01 COMMUNITY RELATIONS – LIAISON for records documenting agency contact with lobbyists.</i>	TEMPORARY Destroy 10 years after action completed
12.12.05	Work diaries of Chief Executive Officers of public authorities which record the occurrence of official duties. Includes electronic diaries. Note: Private appointment diaries not related to recording of official duties are not included.	TEMPORARY Destroy 7 years after action completed
12.12.06	Work diaries of all employees that are <u>not</u> Chief Executive Officers. Includes electronic diaries.	TEMPORARY Destroy 2 years after action completed
12.13.00	GRIEVANCES (PERSONNEL AND STAFF DEVELOPMENT) 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>See 12.11.00 DISCIPLINE for grievances which result in disciplinary action</i> <i>See 12.19.00 PERFORMANCE MANAGEMENT for managing diminished performance and other performance issues.</i> <i>See 09.03.01 INDUSTRIAL RELATIONS – APPEALS for appeals to external tribunals or other authorities</i>	
12.13.01	Records relating to grievances and complaints generating substantial public interest and debate and resulting in changes to agency policy and procedures.	PERMANENT

12.13.02	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. <i>See 15.17.00 STRATEGIC MANAGEMENT – POLICY for records relating to policy</i>	TEMPORARY Destroy 7 years after action completed
12.14.00	INFRINGEMENTS (PERSONNEL AND STAFF DEVELOPMENT) The activities associated with handling breaches of the agency's rules by staff. <i>See 12.10.00 COUNSELLING for infringement activities that result in counselling.</i> <i>See 12.11.00 DISCIPLINE for infringement activities that result in discipline.</i> <i>See 11.08.00 LEGAL SERVICES – LITIGATION for infringement activities that result in litigation.</i>	
12.14.01	Records relating to infringements not resulting in counselling, discipline or litigation.	TEMPORARY Destroy 1 year after action completed
12.15.00	INSURANCE (PERSONNEL AND STAFF DEVELOPMENT) <i>See 03.07.00 COMPENSATION – INSURANCE for records relating to insurance. Includes 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>	
12.16.00	LEAVE (PERSONNEL AND STAFF DEVELOPMENT) The process of administering leave for which staff are eligible. Includes unauthorised leave taken by staff. <i>See 06.01.00 FINANCIAL MANAGEMENT – ACCOUNTING for financial records relating to employee leave payments.</i>	
12.16.01	Leave application forms. Includes supporting documentation in accordance with relevant legislation, awards, industrial agreements and agency policies where required (e.g. medical certificates). <i>See 12.12.02 and 12.12.03 for records of consolidated leave</i>	TEMPORARY Destroy 7 years after action completed
12.17.00	MARKETING (PERSONNEL AND STAFF DEVELOPMENT) <i>See 02.13.00 COMMUNITY RELATIONS – MARKETING for records relating to marketing employment opportunities to personnel. Includes the process of analysing, creating and selling services. Includes market research, advertising, media releases, promotion, etc.</i>	
12.18.00	MEETINGS (PERSONNEL AND STAFF DEVELOPMENT) <i>See 15.14.00 STRATEGIC MANAGEMENT – MEETINGS for records of meetings</i>	
12.19.00	PERFORMANCE MANAGEMENT (PERSONNEL AND STAFF DEVELOPMENT) 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>See 12.13.00 GRIEVANCES for internal grievances not relating to a discipline process.</i> <i>See 12.11.00 DISCIPLINE for grievances which result in discipline action.</i> <i>See 15.15.00 STRATEGIC MANAGEMENT – PERFORMANCE MANAGEMENT for agency performance management</i> <i>See 09.03.01 INDUSTRIAL RELATIONS – APPEALS for appeals to external tribunals or other authorities</i>	
12.19.01	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
12.19.02	Employee assessment reports, action plans, counselling on work performance, career paths, etc.	TEMPORARY Destroy 7 years after action completed

12.19.03	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 <u>not</u> result in the rescission/termination of appointment or the non-approval of salary increment. <i>See 12.12.02 and 12.12.03 for records where rescission of appointment has resulted, and documentation relating to the rescission of appointment.</i>	TEMPORARY Destroy 7 years after action completed
12.19.04	Documentation relating to diminished performance cases resulting in no disciplinary action, rescission/termination of appointment or non-approval of salary increment.	TEMPORARY Destroy 7 years after action completed
12.19.05	Records relating to performance improvement.	TEMPORARY Destroy 7 years after action completed
12.20.00	PLANNING (PERSONNEL AND STAFF DEVELOPMENT) The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.	
12.20.01	Records of employment plans, succession planning and workforce planning.	TEMPORARY Destroy 5 years after action completed
12.21.00	POLICY (PERSONNEL AND STAFF DEVELOPMENT) <i>See 15.17.00 STRATEGIC MANAGEMENT – POLICY for records of policy</i>	
12.22.00	PROCEDURES (PERSONNEL AND STAFF DEVELOPMENT) <i>See 15.18.00 STRATEGIC MANAGEMENT – PROCEDURES for records of procedure</i>	
12.23.00	RECRUITMENT (PERSONNEL AND STAFF DEVELOPMENT) 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. 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 have been observed.	
12.23.01	Records relating to the recruitment of Chief Executives or any other appointment requiring a Cabinet or Ministerial submissions.	PERMANENT
12.23.02	Records relating to recruitment and selection for advertised substantive positions and non-substantive positions, including temporary acting and relieving arrangements. Records may include but are not limited to: <ul style="list-style-type: none"> • unsuccessful applications • interview reports • panel recommendation reports • records of appeal/review. <i>See 12.12.02 and 12.12.03 for successful applications</i> <i>See 12.23.03 for criminal history checks used for unsuccessful applicants.</i> <i>See 12.23.04 for position descriptions</i>	TEMPORARY Destroy 1 year after date of appointment or 1 year after any appeals process, whichever is longer

12.23.03	<p>Records relating to criminal history, identity and discipline history checks conducted on preferred applicants as part of the recruitment process. 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. Excludes checks performed under agency-specific legislation dealing with criminal history, and Working with Children checks/employment screening checks.</p> <p><i>See 12.12.02 and 12.12.03 if records retained on the personnel file</i></p>	<p>TEMPORARY Destroy once the suitability of the applicant has been determined or any review or appeals process has been concluded</p> <p>Note: 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>
12.23.04	Position descriptions (or statements of duty/role descriptions) of SES and other positions.	TEMPORARY Destroy 1 year after position superseded
12.23.05	Employment scheme records, including work experience, vacation and voluntary employment.	TEMPORARY Destroy 7 years after action completed
12.23.06	Records relating to recruiting campaigns.	TEMPORARY Destroy 5 years after action completed
12.23.07	Records relating to results of competency tests or assessments conducted by the agency to certify competency of staff.	TEMPORARY Destroy 2 years after action completed
12.23.08	Careers information; routine correspondence regarding careers information, employment directories, etc	TEMPORARY Destroy 1 year after reference ceases
12.23.09	Employment enquiries received for positions not advertised.	TEMPORARY Destroy 1 year after reference ceases
12.24.00	<p>REPRESENTATIVES (PERSONNEL AND STAFF DEVELOPMENT) 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.</p>	
12.24.01	Records relating to the nominations, appointment and resignation of agency representatives.	TEMPORARY Destroy 2 years after resignation or term of office expires
12.25.00	<p>REVIEWING (PERSONNEL AND STAFF DEVELOPMENT) <i>See 15.21.00 STRATEGIC MANAGEMENT – REVIEWING for records of reviewing</i></p>	
12.26.00	<p>SALARIES (PERSONNEL AND STAFF DEVELOPMENT) The process of managing the payment of salaries to personnel.</p>	

12.26.01	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 Destroy 7 years after action completed
12.26.02	Employment declaration forms.	TEMPORARY Destroy 1 year after superseded or 1 year after separation, whichever is later
12.27.00	SECURITY (PERSONNEL AND STAFF DEVELOPMENT) 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.	
12.27.01	Records relating to classifying security levels of staff and volunteers.	TEMPORARY Destroy 7 years after separation from the public sector
12.27.02	Records relating to the issue of security passes, keys, etc to staff and volunteers. Includes registers of pass and key holders.	TEMPORARY Destroy 1 year after arrangements superseded
12.28.00	SEPARATIONS (PERSONNEL AND STAFF DEVELOPMENT) 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.	
12.28.01	Redundancy case files, i.e. files documenting individual redundancy cases.	PERMANENT If the files of prominent employees, such as the Chief Executive/Head of Agency OR for all other employees TEMPORARY Destroy 85 years after date of birth or 7 years after separation or death, whichever is later
12.28.02	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 Destroy 7 years after action completed
12.28.03	Routine correspondence relating to transfer, resignation, secondment and promotion.	TEMPORARY Destroy 2 years after action completed
12.29.00	SOCIAL CLUBS (PERSONNEL AND STAFF DEVELOPMENT) The activities involved in the organisation's relationship with social clubs.	
12.29.01	Records relating to social clubs including support and/or sponsorship given by the agency.	TEMPORARY Destroy 7 years after action completed
12.30.00	SUGGESTIONS (PERSONNEL AND STAFF DEVELOPMENT) The process of using suggestions from personnel and the public to improve the services and processes of the organisation.	
12.30.01	Suggestions from staff, including staff surveys.	TEMPORARY Destroy 2 years after action completed

12.31.00	TRAINING (PERSONNEL AND STAFF DEVELOPMENT) The activities associated with all aspects of training (external/internal) available to staff for their development. <i>See 12.12.00 EMPLOYMENT CONDITIONS if training records are maintained on employee files.</i>	
12.31.01	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.	TEMPORARY Destroy 50 years after last entry
12.31.02	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.	TEMPORARY Destroy 7 years after action completed
12.31.03	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.	TEMPORARY Destroy 5 years after action completed
12.31.04	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 Destroy 5 years after action completed
12.31.05	Records relating to the evaluation of external training programs in relation to agency staff and volunteer development needs.	TEMPORARY Destroy 2 years after action completed
13.00.00	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. <i>See 04.00.00 EQUIPMENT AND STORES for records relating to equipment and stores.</i> <i>See 06.00.00 FINANCIAL MANAGEMENT for all financial records relating to the procurement (including tendering and contracting), maintenance and disposal of property.</i>	
13.01.00	ACQUISITION (PROPERTY MANAGEMENT) 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>See 06.00.00 FINANCIAL MANAGEMENT for financial records relating to the acquisition process.</i>	
13.01.01	Non-financial records relating to the acquisition of buildings and structures of historical significance which: <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. <i>See 06.00.00 FINANCIAL MANAGEMENT for financial records relating to the acquisition process.</i>	PERMANENT

13.01.02	Deeds and Certificates of Title relating to agency-owned land and buildings	TEMPORARY Transfer to new owner once property sold
13.01.03	Non-financial records relating to the acquisition of capital assets <u>not</u> relating to the acquisition of buildings and structures of historical significance which: <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 06.00.00 FINANCIAL MANAGEMENT for financial records relating to the acquisition process.</i></p>	TEMPORARY Destroy 7 years after disposal of asset
13.01.04	Maps, charts and plans. 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).	TEMPORARY Destroy 5 years after disposal of property or expiration of lease, whichever is later
13.01.05	Routine correspondence records relating to land matters.	TEMPORARY Destroy 2 years after disposal of property or expiration of lease, whichever is later
13.02.00	ARRANGEMENTS (PROPERTY MANAGEMENT) The arrangements made for the usage of facilities and space.	
13.02.01	Records relating to arrangements that establish and document the usage of facilities, equipment and space. Includes memoranda of understanding.	TEMPORARY Destroy 8 years after action completed
13.02.02	Records relating to routine usage of properties, e.g. log books, booking registers, running sheets, parking arrangements, etc.	TEMPORARY Destroy 1 year after action completed
13.03.00	COMMITTEES (PROPERTY MANAGEMENT) <i>See 01.00.00 BOARDS AND COMMITTEES for records of committees</i>	
13.04.00	COMPLIANCE (PROPERTY MANAGEMENT) <i>See 10.04.00 INFORMATION MANAGEMENT – COMPLIANCE for records of compliance in relation to information management, such as Right to Information, Freedom of Information or Privacy legislation.</i> <i>See 06.11.00 FINANCIAL MANAGEMENT – COMPLIANCE for records of compliance in relation to financial management.</i> <i>See 15.05.00 STRATEGIC MANAGEMENT – COMPLIANCE for records of compliance with other mandatory or optional accountability, legal, regulatory or quality standards.</i> <i>See 17.04.00 WORKPLACE HEALTH AND SAFETY – COMPLIANCE for records of compliance in relation to workplace health and safety.</i>	
13.05.00	CONSERVATION (PROPERTY MANAGEMENT) The activities involved in the preservation, protection, restoration and enhancement of properties, including buildings and land.	
13.05.01	Environmental impact statements or studies prepared or commissioned by the agency.	PERMANENT

13.05.02	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
13.05.03	Records relating to the restoration and enhancement of assets (non-heritage listed agency buildings and land) that contains hazardous materials, such as asbestos.	TEMPORARY Destroy 100 years after action completed
13.05.04	Records relating to the restoration and enhancement of assets (non heritage listed agency buildings and land) that does <u>not</u> contain hazardous materials, such as asbestos.	TEMPORARY Destroy 7 years after action completed
13.06.00	CONSTRUCTION (PROPERTY MANAGEMENT) This entry refers only to the capital assets and facilities constructed for administrative purposes of the agency.	
13.06.01	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
13.06.02	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 <u>not</u> 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 Destroy 100 years after action completed
13.06.03	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 <u>not</u> 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 Destroy 7 years after action completed
13.07.00	CONTRACTING-OUT (PROPERTY MANAGEMENT) <i>See 06.12.00 FINANCIAL MANAGEMENT – CONTRACTING-OUT for contracting-out records</i>	
13.08.00	DISPOSAL (PROPERTY MANAGEMENT) The process of disposing of property no longer required by the agency, by sale, transfer, auction, donation or destruction.	
13.08.01	Records relating to the sale, transfer or demolition of buildings or structures which are: <ul style="list-style-type: none"> • listed in the heritage register • included in the National Trust list • listed with the Australian Heritage Commission • subject to controversy or, • received architectural or design awards 	PERMANENT

13.08.02	Records relating to the sale, transfer or demolition of buildings or structures which are <u>not</u> : <ul style="list-style-type: none"> • listed in the heritage register • included in the National Trust list • listed with the Australian Heritage Commission • subject to controversy • received architectural or design awards 	TEMPORARY Destroy 7 years after disposal of building or structure
13.09.00	FITOUTS (PROPERTY MANAGEMENT) 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.	
13.09.01	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 Destroy 100 years after action completed
13.09.02	Records relating to the management of fit-outs, installations, refurbishment and “make good” activities in agency premises that do <u>not</u> contain hazardous materials such as asbestos.	TEMPORARY Destroy 7 years after action completed
13.10.00	INSPECTIONS (PROPERTY MANAGEMENT) The process of official examinations of facilities, equipment and items to ensure compliance with agreed standards and objectives.	
13.10.01	Records relating to inspections of agency owned or leased property that contains hazardous material, such as asbestos.	TEMPORARY Destroy 100 years after action completed
13.10.02	Records relating to inspections of agency owned or leased property that does <u>not</u> contain hazardous material, such as asbestos.	TEMPORARY Destroy 7 years after action completed
13.11.00	INSTALLATION (PROPERTY MANAGEMENT) Activities involved in placing equipment in position and connecting and adjusting it for use.	
13.11.01	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 Destroy 100 years after action completed
13.11.02	Records relating to the installation of equipment in agency premises that does not disturb fit-out and contains hazardous material, such as asbestos.	TEMPORARY Destroy 100 years after action completed
13.11.03	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 <u>not</u> 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 Destroy 7 years after action completed
13.11.04	Records relating to the installation of equipment in agency premises that does not disturb fit-out and does <u>not</u> contain hazardous material, such as asbestos.	TEMPORARY Destroy 7 years after action completed
13.12.00	INSURANCE (PROPERTY MANAGEMENT) The process of taking out insurance policies to cover loss or damage to property.	
13.12.01	Records relating to the management of insurance policies covering loss or damage to property, including public liability insurance.	TEMPORARY Destroy 7 years after term of insurance policy expires

13.12.02	Records documenting insurance claims.	TEMPORARY Destroy 7 years after term of insurance policy expires
13.12.03	Records relating to the annual renewal of insurance policies.	TEMPORARY Destroy 2 years after term of insurance policy expires
13.13.00	LEASING (PROPERTY MANAGEMENT) The activities involved in leasing accommodation, premises or real estate from another organisation.	
13.13.01	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 Destroy 21 years after action completed
13.13.02	Records relating to leasing of premises, including land, <u>not</u> 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 Destroy 8 years after action completed
13.14.00	LEASING-OUT (PROPERTY MANAGEMENT) 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.	
13.14.01	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 Destroy 21 years after action completed
13.14.02	Records relating to leasing-out arrangements <u>not</u> under seal (i.e. where the agency is the lessor), including leased residential accommodation. Includes negotiations and individual signed leases.	TEMPORARY Destroy 8 years after action completed
13.14.03	Records relating to the tenancy and vacation of residential houses allocated to personnel. Includes correspondence in relation to rent and maintenance. <i>See 06.00.00 FINANCIAL MANAGEMENT for records relating to Fringe Benefits Tax</i>	TEMPORARY Destroy 1 year after action completed
13.15.00	MAINTENANCE (PROPERTY MANAGEMENT) Records relating to the upkeep, repair, servicing and modification of premises. Includes waste removal.	
13.15.01	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 13.05.00 CONSERVATION for records relating to conservation.</i>	PERMANENT
13.15.02	Records documenting the removal, storage and disposal of hazardous waste and materials that are <u>not</u> from the fabric of the building e.g. chemicals or pesticides.	TEMPORARY Destroy 50 years after removal of hazardous waste
13.15.03	Records relating to significant maintenance work carried out during the lifetime of a non-heritage building. Includes major upgrades and maintenance programs.	TEMPORARY Destroy 7 years after the building is disposed of
13.15.04	Records documenting routine maintenance. Includes routine maintenance that does <u>not</u> impact on heritage value.	TEMPORARY Destroy 7 years after action completed
13.16.00	MEETINGS (PROPERTY MANAGEMENT) <i>See 15.14.00 STRATEGIC MANAGEMENT – MEETINGS for records of meetings</i>	

13.17.00	RELOCATION (PROPERTY MANAGEMENT) The process of relocation of an agency, business unit or work group.	
13.17.01	Records relating to the physical relocation of an agency's premises, e.g. transportable offices that contain hazardous materials, such as asbestos.	TEMPORARY Destroy 100 years after action completed
13.17.02	Records relating to the physical relocation of an agency's premises, e.g. transportable offices that do <u>not</u> contain hazardous substances, such as asbestos. Includes records relating to moving office locations, such as arrangements for furniture and stores removal.	TEMPORARY Destroy 7 years after action completed
13.18.00	PLANNING (PROPERTY MANAGEMENT) The process of formulating ways in which objectives can be achieved.	
13.18.01	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
13.18.02	Records relating to planning and feasibility studies for the acquisition of capital assets.	TEMPORARY Destroy 7 years after action completed
13.18.03	Records relating to strategic planning for buildings, structures and environs that have <u>not</u> 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 Destroy 7 years after action completed
13.18.04	Physical asset maintenance plan.	TEMPORARY Destroy 7 years after action completed
13.18.05	Records relating to future planning and development in relation to premises.	TEMPORARY Destroy 3 years after action completed
13.18.06	Records relating to the development of the physical asset strategic plan.	TEMPORARY Destroy 3 years after action completed
13.18.07	Routine correspondence relating to the provision of recreation areas for personnel and visitors.	TEMPORARY Destroy 2 years after action completed
13.18.08	Requests from other agencies for temporary use of agency premises.	TEMPORARY Destroy 2 years after action completed
13.18.09	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 Destroy 1 year after action completed
13.19.00	POLICY (PROPERTY MANAGEMENT) <i>See 15.17.00 STRATEGIC MANAGEMENT – POLICY for records of policy</i>	
13.20.00	PROCEDURES (PROPERTY MANAGEMENT) <i>See 15.18.00 STRATEGIC MANAGEMENT – PROCEDURES for records of procedure</i>	
13.21.00	REPORTING (PROPERTY MANAGEMENT) <i>See 15.19.00 STRATEGIC MANAGEMENT – REPORTING for records of reporting</i>	

13.22.00	RISK MANAGEMENT (PROPERTY MANAGEMENT) <i>See 15.22.00 STRATEGIC MANAGEMENT – RISK MANAGEMENT for records relating to managing risk</i>	
13.23.00	SECURITY (PROPERTY MANAGEMENT) Records relating to the security of premises. Includes protecting property from accidental or intentional damage as well as from unauthorised access.	
13.23.01	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
13.23.02	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 Destroy 7 years after action completed
13.23.03	Arrangements relating to the provision of safes, security vaults and other security related stores and equipment.	TEMPORARY Destroy 7 years after action completed
13.23.04	Surveillance video tapes used for monitoring security of premises which are required for investigations.	TEMPORARY Destroy 7 years after finalisation of investigative process or court proceedings and any appeals processes
13.23.05	Building admittance registers and visitor logs, etc.	TEMPORARY Destroy 7 years after action completed
13.23.06	Records relating to minor breaches of security or incidents not resulting in the laying of charges or where sabotage is suspected.	TEMPORARY Destroy 5 years after action completed
13.23.07	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 Destroy 5 years after arrangements have been superseded
13.23.08	Routine security arrangements,, including issuing and registration of security passes, security reports, access, staff rosters.	TEMPORARY Destroy 5 years after arrangements have ceased or been superseded
13.23.09	Surveillance video tapes used for monitoring security of premises which are not required for investigations.	TEMPORARY Destroy once verified by the agency that it has no further administrative use
13.24.00	TENDERING (PROPERTY MANAGEMENT) <i>See 06.30.00 FINANCIAL MANAGEMENT – TENDERING for tendering records</i>	
14.00.00	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.	
14.01.00	AGREEMENTS (PUBLICATION) <i>See 15.01.00 STRATEGIC MANAGEMENT – AGREEMENTS for records of agreements</i>	

14.02.00	COMPLIANCE (PUBLICATION)	
	<p><i>See 10.04.00 INFORMATION MANAGEMENT – COMPLIANCE for records of compliance in relation to information management, such as Right to Information, Freedom of Information or Privacy legislation.</i></p> <p><i>See 06.11.00 FINANCIAL MANAGEMENT – COMPLIANCE for records of compliance in relation to financial management.</i></p> <p><i>See 15.05.00 STRATEGIC MANAGEMENT – COMPLIANCE for records of compliance with other mandatory or optional accountability, legal, regulatory or quality standards.</i></p> <p><i>See 17.04.00 WORKPLACE HEALTH AND SAFETY – COMPLIANCE for records of compliance in relation to workplace health and safety.</i></p>	
14.03.00	CORPORATE STYLE (PUBLICATION)	
	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.	
14.03.01	Records relating to the development and implementation of the corporate style for agency documents, stationery and publications.	TEMPORARY Destroy 2 years after action completed
14.03.02	Records relating to the creation, design, usage and revision of agency forms.	TEMPORARY Destroy 2 years after form discontinued or superseded
14.03.03	Agency style manuals	TEMPORARY Destroy 1 year after action completed
14.04.00	DISTRIBUTION (PUBLICATION)	
	The activities associated with disseminating publications through sales, deliveries, or other customer services.	
14.04.01	Records relating to the distribution of agency publications, including inventories.	TEMPORARY Destroy 5 years after action completed
14.05.00	DRAFTING (PUBLICATION)	
	The activities associated with preparing preliminary drafts or outlines of reports, articles, etc prior to publication.	
14.05.01	Records documenting the drafting process of agency publications (including annual reports).	TEMPORARY Destroy 3 years after action completed
14.06.00	ENQUIRIES (PUBLICATION)	
	<i>See 10.13.00 INFORMATION MANAGEMENT – ENQUIRIES for records of enquiries</i>	
14.07.00	INTELLECTUAL PROPERTY (PUBLICATION)	
	<i>See 10.17.00 INFORMATION MANAGEMENT – INTELLECTUAL PROPERTY for records of intellectual property</i>	
14.08.00	JOINT VENTURES (PUBLICATION)	
	<i>See 15.01.00 STRATEGIC MANAGEMENT – AGREEMENTS for records of joint ventures</i>	
14.09.00	MARKETING (PUBLICATION)	
	<i>See 02.13.00 COMMUNITY RELATIONS – MARKETING for marketing records</i>	
14.10.00	MEETINGS (PUBLICATION)	
	<i>See 15.14.00 STRATEGIC MANAGEMENT – MEETINGS for records of meetings</i>	

14.11.00	PLANNING (PUBLICATION) <i>See 15.16.00 STRATEGIC MANAGEMENT – PLANNING for records of planning</i>	
14.12.00	POLICY (PUBLICATION) <i>See 15.17.00 STRATEGIC MANAGEMENT – POLICY for records of policy</i>	
14.13.00	PRODUCTION (PUBLICATION) The process involved in turning material into a publication. Includes design, layout, typesetting, desktop publishing, printing, binding etc.	
14.13.01	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
14.13.02	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 Destroy 5 years after action completed
14.13.03	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 LINC Tasmania in accordance with the State Libraries Act 1984; and one copy to be deposited with the National Library of Australia in accordance with the Copyright Act 1968.
14.13.04	Significant articles contributed to journals, magazines, newspapers, etc., about the agency or functions.	TEMPORARY Destroy 10 years after action completed
14.13.05	Arrangements for design, art work, printing, copying, binding and similar, including file copies of relevant quotes and orders, etc.	TEMPORARY Destroy 5 years after action completed
14.13.06	Master copy of internal agency publications.	TEMPORARY Destroy 5 years after action completed
14.13.07	Galley proofs, bromides, camera-ready copies, minor art work, mock-ups, etc.	TEMPORARY Destroy 5 years after action completed
14.13.08	Copies of the agency's external and internal publications.	TEMPORARY Destroy 1 year after action completed
14.14.00	PUBLIC REACTION (PUBLICATION) <i>See 02.08.00 COMMUNITY RELATIONS – ENQUIRIES AND PUBLIC REACTION for records of public reaction</i>	
14.15.00	REPORTING (PUBLICATION) <i>See 15.19.00 STRATEGIC MANAGEMENT – REPORTING for records of reporting</i>	
14.16.00	RESEARCH (PUBLICATION) <i>See 15.20.00 STRATEGIC MANAGEMENT – RESEARCH for records of research</i>	
14.17.00	REVIEWING (PUBLICATION) <i>See 15.21.00 STRATEGIC MANAGEMENT – REVIEWING for records of reviewing</i>	

14.18.00	TENDERING (PUBLICATION) <i>See 06.30.00 FINANCIAL MANAGEMENT – TENDERING for records of tendering</i>	
15.00.00	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.	
15.01.00	AGREEMENTS (STRATEGIC MANAGEMENT) The processes associated with the establishment, maintenance, review and negotiation of agreements.	
15.01.01	Records relating to agreements that have created major public interest or controversy.	PERMANENT
15.01.02	Records relating to agreements under seal that have <u>not</u> created major public interest or controversy.	TEMPORARY Destroy 21 years after action completed
15.01.03	Records relating to agreements <u>not</u> under seal that have <u>not</u> created major public interest or controversy.	TEMPORARY Destroy 8 years after action completed
15.02.00	AUDIT (STRATEGIC MANAGEMENT) 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>See 06.07.00 FINANCIAL MANAGEMENT – AUDIT for financial audit records</i>	
15.02.01	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
15.02.02	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. <i>See 15.02.01 for landmark audits</i>	TEMPORARY Destroy 7 years after audit
15.03.00	AUTHORISATION (STRATEGIC MANAGEMENT) <i>See 12.05.00 PERSONNEL AND STAFF DEVELOPMENT – AUTHORISATION for records of authorisation</i>	
15.04.00	COMMITTEES (STRATEGIC MANAGEMENT) <i>See 01.00.00 BOARDS AND COMMITTEES for records of committees</i>	
15.05.00	COMPLIANCE (STRATEGIC MANAGEMENT) 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.	
15.05.01	Records relating to serious breaches of compliance requirements.	PERMANENT

15.05.02	Records relating to the development of the agency's code of conduct. Includes the master/final approved copy.	TEMPORARY Destroy 10 years after action completed
15.05.03	Records relating to agency compliance with mandatory standards or statutory requirements. Includes proof of compliance.	TEMPORARY Destroy 5 years after action completed
15.05.04	Records relating to minor breaches of compliance requirements.	TEMPORARY Destroy 5 years after action completed
15.06.00	CONTRACTING-OUT (STRATEGIC MANAGEMENT) <i>See 06.12.00 FINANCIAL MANAGEMENT – CONTRACTING-OUT for contracting records</i>	
15.07.00	CORRUPTION (STRATEGIC MANAGEMENT) 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>See 11.08.00 LEGAL SERVICES – LITIGATION for records of public interest disclosures.</i>	
15.07.01	Records relating to the development and implementation of strategies for the prevention of corruption within the agency.	PERMANENT
15.07.02	Records relating to significant cases of financial misappropriation, fraud, theft or negligence. Factors which may determine significance include cases which: <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. Records may include, but are not limited to: <ul style="list-style-type: none"> • investigation records • records of liaison with external agencies • reports <i>See 06.01.10 FINANCIAL MANAGEMENT – ACQUISITION for records relating to the identification and management of material losses.</i> <i>See 12.11.00 PERSONNEL AND STAFF DEVELOPMENT – DISCIPLINE for discipline records relating to employees involved in cases of corruption.</i>	PERMANENT

15.07.03	<p>Records relating to the identification of misappropriation, fraud, theft or negligence not covered under reference number 15.07.02</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 <u>not</u> found to have substance. <p><i>See 06.01.10 FINANCIAL MANAGEMENT – ACQUISITION for records relating to the identification and management of material losses.</i></p>	<p>TEMPORARY Destroy 7 years after action completed</p>
15.07.04	<p>Records relating to corruption or disclosures in other agencies.</p>	<p>TEMPORARY Destroy 7 years after action completed</p>
15.08.00	<p>CUSTOMER SERVICE (STRATEGIC MANAGEMENT)</p> <p><i>See 02.06.00 COMMUNITY RELATIONS – CUSTOMER SERVICE for customer service records</i></p>	
15.09.00	<p>DISASTER RECOVER (STRATEGIC MANAGEMENT)</p> <p>The activity of developing and implementing 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. Includes records relating to agency contribution to essential services contingency plans.</p>	
15.09.01	<p>Records relating to the implementation of disaster recovery plans after disasters, such as fire, flood, etc.</p>	<p>PERMANENT</p>
15.09.02	<p>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.</p>	<p>TEMPORARY Destroy 3 years after action completed</p>
15.09.03	<p>Records relating to agency contribution to essential services contingency plans.</p>	<p>TEMPORARY Destroy 2 years after plan revoked or action completed, whichever is later</p>
15.10.00	<p>EVALUATION (STRATEGIC MANAGEMENT)</p> <p>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.</p>	
15.10.01	<p>Records relating to program evaluation</p>	<p>TEMPORARY Destroy 7 years after action completed</p>
15.11.00	<p>GRANT FUNDING (STRATEGIC MANAGEMENT)</p> <p><i>See 06.17.00 FINANCIAL MANAGEMENT – GRANT FUNDING for grant funding records</i></p>	
15.12.00	<p>IMPLEMENTATION (STRATEGIC MANAGEMENT)</p> <p>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.</p>	
15.12.01	<p>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</p>	<p>TEMPORARY Destroy 10 years after action completed</p>

15.12.02	Records related to the implementation of practices and procedures based on standards.	TEMPORARY Destroy 3 years after action completed
15.13.00	LEGISLATION (STRATEGIC MANAGEMENT) The process of making laws. Includes Acts, Bills and subsections to Acts, and amendments to each.	
15.13.01	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
15.13.02	Working papers for Minister's second reading speech, explanatory memorandum, etc.	PERMANENT
15.13.03	Records documenting the development of Regulatory Impact Statements that directly relate to an agency's functions.	PERMANENT
15.13.04	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
15.13.05	Records documenting detailed responses or submissions to requests for comment on legislation other than that directly relating to the agency's function.	TEMPORARY Destroy 10 years after action completed
15.13.06	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 Destroy 2 years after action completed
15.13.07	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 Destroy 7 years after action completed
15.13.08	Copies of legislation kept for reference purposes.	TEMPORARY Destroy 3 months after action completed
15.14.00	MEETINGS (STRATEGIC MANAGEMENT) The activities associated with gatherings held to formulate, discuss, update, or resolve issues.	
15.14.01	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
15.14.02	Records relating to routine non-committee based meetings.	TEMPORARY Destroy 5 years after action completed
15.14.03	Records relating to administrative arrangements for meetings.	TEMPORARY Destroy 2 years after action completed

15.15.00	PERFORMANCE MANAGEMENT (STRATEGIC MANAGEMENT) 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>See 12.19.00 PERSONNEL AND STAFF DEVELOPMENT – PERFORMANCE MANAGEMENT for performance management of individual employees</i>	
15.15.01	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 Destroy 5 years after action completed
15.16.00	PLANNING (STRATEGIC MANAGEMENT) The process of formulating ways in which objectives can be achieved. Includes determination of services, needs, and solutions to those needs.	
15.16.01	Records relating to the development of agency-wide strategic or corporate plans. Includes the final version of plans.	PERMANENT
15.16.02	Information and communications systems strategic plan.	PERMANENT
15.16.03	Business plan for agency commercialisation.	TEMPORARY Destroy 10 years after action completed
15.16.04	Records relating to business development opportunities under consideration by the agency. Includes proposals which do not go ahead.	TEMPORARY Destroy 10 years after action completed
15.16.05	Final version of operational plans and unit level work plans.	TEMPORARY Destroy 5 years after plan is superseded
15.16.06	Records relating to the development of operational plans.	TEMPORARY Destroy 3 years after action completed
15.16.07	Records relating to the development of information and communications systems strategic plan.	TEMPORARY Destroy 3 years after action completed
15.17.00	POLICY (STRATEGIC MANAGEMENT) 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.	
15.17.01	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
15.17.02	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.	TEMPORARY Destroy 10 years after action completed
15.17.03	Records relating to submissions, comments and other input into the development of government-wide financial management policies. Includes records relating to administrative arrangements.	TEMPORARY Destroy 3 years after action completed
15.18.00	PROCEDURES (STRATEGIC MANAGEMENT) Standard methods of operating laid down by an organisation according to formulated policy.	
15.18.01	Operational procedures related to the administration of core functions.	PERMANENT

15.18.02	<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>	<p>TEMPORARY Destroy 7 years after superseded</p>
15.18.03	<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>	<p>TEMPORARY Destroy 5 years after action completed</p>
15.18.04	<p>Records relating to quality management as described in the Australian Standards 9000 series. Includes the Quality manual</p>	<p>TEMPORARY Destroy 3 years after action completed</p>
15.18.05	<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>	<p>TEMPORARY Destroy 1 year after action completed</p>
15.19.00	<p>REPORTING (STRATEGIC MANAGEMENT) 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.</p>	
15.19.01	<p>Records that contain strategic information not held elsewhere or that has created major public interest or controversy. Includes major drafts and research records.</p>	<p>PERMANENT</p>
15.19.02	<p>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.</p>	<p>TEMPORARY Destroy 7 years after action completed</p>
15.19.03	<p>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.</p>	<p>TEMPORARY Destroy 7 years after action completed</p>
15.19.04	<p>Responses to surveys requested by other agencies, including central control agencies.</p>	<p>TEMPORARY Destroy 2 years after action completed</p>
15.20.00	<p>RESEARCH (STRATEGIC MANAGEMENT) 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.</p>	

15.20.01	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.	PERMANENT
15.20.02	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.	TEMPORARY Destroy 7 years after action completed
15.20.03	Records of minor research projects where the information involved is not unique or difficult to replicate.	TEMPORARY Destroy 5 years after action completed
15.21.00	REVIEWING (STRATEGIC MANAGEMENT) The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.	
15.21.01	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
15.21.02	Records relating to other (non-landmark) reviews of functions and activities that have <u>not</u> created major public interest or controversy. Or have <u>not</u> resulted in changes in policy or procedures.	TEMPORARY Destroy 7 years after action completed
15.22.00	RISK MANAGEMENT (STRATEGIC MANAGEMENT) 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>See 03.00.00 for records relating to insurance</i>	
15.22.01	Master agency-wide Risk Management Plan/Strategy. Includes the master copy of agency financial management risk management plans.	PERMANENT
15.22.02	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 Destroy 100 years after action completed
15.22.03	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. Records may include, but are not limited to: <ul style="list-style-type: none"> • results • recommendations • internal control measures • treatment schedules • action plans • implementation plans 	TEMPORARY Destroy 7 years after action completed
15.22.04	Entries in the register of agency-wide risks. Includes the financial management risk register. <i>See 06.00.00 FINANCIAL MANAGEMENT for records relating to financial risks.</i>	TEMPORARY Destroy 7 years after action completed

15.22.05	Records relating to the development of risk management plans in the agency.	TEMPORARY Destroy 5 years after action completed
15.23.00	STANDARDS (STRATEGIC MANAGEMENT) The process of developing standards to enhance the quality and efficiency of the organisation.	
15.23.01	Master copy of official standards developed by the agency.	PERMANENT
15.23.02	Records related to the development of standards, guidelines and advisory products issued with substantial input from the agency for implementation across Government.	PERMANENT
15.23.03	Records related to the development of standards, guidelines and advisory products issued with minor input from the agency for implementation across Government.	TEMPORARY Destroy 2 years after action completed
15.23.04	Records related to the development of standards, guidelines and advisory products for core functional activities.	TEMPORARY Destroy 20 years after action completed
15.23.05	Records relating to the implementation of practices in the agency in accordance with an industry or agency standard, code of practice, etc.	TEMPORARY Destroy 2 years after action completed
16.00.00	TECHNOLOGY AND TELECOMMUNICATIONS Records relating to the acquisition or development, implementation, maintenance, use and disposal of information and communications technology and systems.	
16.01.00	ACQUISITION (TECHNOLOGY AND TELECOMMUNICATIONS) 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>See 06.00.00 FINANCIAL MANAGEMENT for financial records relating to the acquisition process.</i>	
16.01.01	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. <i>See 06.00.00 FINANCIAL MANAGEMENT for financial records relating to the acquisition process.</i>	TEMPORARY Destroy 5 years after system is superseded or decommissioned
16.01.02	Records relating to research into acquisition or modifications of systems and applications not proceeded with.	TEMPORARY Destroy 2 years after action completed
16.02.00	ADVICE (TECHNOLOGY AND TELECOMMUNICATIONS) The activities associated with offering opinions by or to the organisation as to an action or judgement. Includes the process of advising.	
16.02.01	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.	PERMANENT
16.02.02	Records relating to advice concerning routine operational matters, excluding legal advice.	TEMPORARY Destroy 8 years after action completed

16.03.00	APPLICATION DEVELOPMENT (TECHNOLOGY AND TELECOMMUNICATIONS) The activities associated with developing software and programming codes, including ongoing developments, to run business applications. Includes specifications, testing, pilots, prototyping and metadata requirements.	
16.03.01	Records documenting the development or modification of specific information and communications technology and systems, including testing documentation.	TEMPORARY Destroy 7 years after system is superseded or decommissioned
16.03.02	Records relating to the development of databases and usage protocols.	TEMPORARY Destroy 7 years after system is closed, superseded or data migrated to successor system
16.04.00	APPLICATION MANAGEMENT (TECHNOLOGY AND TELECOMMUNICATIONS) The activities associated with the building, prototyping and testing of databases. Includes the management of user rules, passwords and monitoring usage and response times.	
16.04.01	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 Destroy 7 years after action completed
16.04.02	Records relating to the maintenance of data integrity, including data logging records.	TEMPORARY Destroy 2 years after action completed
16.04.03	Records relating to the ongoing management of databases including routine reports monitoring usage.	TEMPORARY Destroy 2 years after action completed
16.04.04	Records relating to the migration of information and communications systems and data from one platform to another.	TEMPORARY Destroy 1 generation after migration
16.05.00	AUDIT (TECHNOLOGY AND TELECOMMUNICATIONS) <i>See 15.02.00 STRATEGIC MANAGEMENT – AUDIT for audit records</i>	
16.06.00	COMMITTEES (TECHNOLOGY AND TELECOMMUNICATIONS) <i>See 01.00.00 BOARDS AND COMMITTEES for records of committees</i>	
16.07.00	COMPLIANCE (TECHNOLOGY AND TELECOMMUNICATIONS) <i>See 10.04.00 INFORMATION MANAGEMENT – COMPLIANCE for records of compliance in relation to information management, such as Right to Information, Freedom of Information or Privacy legislation.</i> <i>See 06.11.00 FINANCIAL MANAGEMENT – COMPLIANCE for records of compliance in relation to financial management.</i> <i>See 15.05.00 STRATEGIC MANAGEMENT – COMPLIANCE for records of compliance with other mandatory or optional accountability, legal, regulatory or quality standards.</i> <i>See 17.04.00 WORKPLACE HEALTH AND SAFETY – COMPLIANCE for records of compliance in relation to workplace health and safety.</i>	
16.08.00	CONTRACTING-OUT (TECHNOLOGY AND TELECOMMUNICATIONS) <i>See 06.12.00 FINANCIAL MANAGEMENT – CONTRACTING-OUT for records relating to contracting-out</i>	
16.09.00	CONTROL (TECHNOLOGY AND TELECOMMUNICATIONS) The activities associated with creating, maintaining and evaluating control mechanisms.	

16.09.01	Records relating to control of technology and telecommunications systems supporting general administrative functions.	TEMPORARY Destroy 7 years after system closed, superseded or data migrated to successor system
16.10.00	CUSTOMER SERVICE (TECHNOLOGY AND TELECOMMUNICATIONS)	
	<i>See 10.08.00 INFORMATION MANAGEMENT – CUSTOMER SERVICE for relating to customer services</i>	
16.11.00	DISPOSAL (TECHNOLOGY AND TELECOMMUNICATIONS) 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.	
16.11.01	Records relating to disposal of technology and telecommunications systems, applications and equipment. Includes salvage of hardware components.	TEMPORARY Destroy 5 years after action completed
16.12.00	EVALUATION (TECHNOLOGY AND TELECOMMUNICATIONS) 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.	
16.12.01	Records relating to evaluation of information and communications technology and systems.	TEMPORARY Destroy 7 years after action completed
16.13.00	IMPLEMENTATION (TECHNOLOGY AND TELECOMMUNICATIONS) The activities associated with carrying out or putting into action, plans, policies, procedures or instructions, all of which could be internally or externally driven relating to technology and telecommunications. Includes monitoring to ensure that the implementation goes according to schedule and that standards are met. <i>See 15.12.00 STRATEGIC MANAGEMENT – IMPLEMENTATION for implementation records not related to technology and telecommunications</i>	
16.13.01	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 Destroy 7 years after action completed
16.13.02	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 Destroy 2 years after system closed or superseded
16.14.00	INSPECTIONS (TECHNOLOGY AND TELECOMMUNICATIONS) <i>See 10.16.00 INFORMATION MANAGEMENT – INSPECTIONS for records relating to inspections</i>	
16.15.00	INSTALLATION (TECHNOLOGY AND TELECOMMUNICATIONS) <i>See 15.12.00 STRATEGIC MANAGEMENT – IMPLEMENTATION for records relating installation</i>	
16.16.00	INTELLECTUAL PROPERTY (TECHNOLOGY AND TELECOMMUNICATIONS) <i>See 10.17.00 INFORMATION MANAGEMENT – INTELLECTUAL PROPERTY for records relating to intellectual property</i>	
16.17.00	LEASING (TECHNOLOGY AND TELECOMMUNICATIONS) <i>See 06.18.00 FINANCIAL MANAGEMENT – LEASING for records of activities involved in leasing technology and telecommunications items and equipment from another organisation.</i>	

16.18.00	LEASING-OUT (TECHNOLOGY AND TELECOMMUNICATIONS)	
	<i>See 06.19.00 FINANCIAL MANAGEMENT – LEASING-OUT for records of 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>	
16.19.00	MAINTENANCE (TECHNOLOGY AND TELECOMMUNICATIONS)	
	The activities associated with the upkeep, repair and servicing of technology and telecommunications assets.	
16.19.01	Records relating to the regular maintenance and repair of information and communications technology and systems.	TEMPORARY Destroy 5 years after action completed
16.20.00	MEETINGS (TECHNOLOGY AND TELECOMMUNICATIONS)	
	<i>See 15.14.00 STRATEGIC MANAGEMENT – MEETINGS for records of meetings</i>	
16.21.00	MODELLING (TECHNOLOGY AND TELECOMMUNICATIONS)	
	The development of business or technical models or prototypes used to support technology and telecommunication functions.	
16.22.00	OPERATIONS (TECHNOLOGY AND TELECOMMUNICATIONS)	
	The activities associated with keeping computer systems in effective operation on a daily basis. Includes fault reporting, help and desktop support.	
16.22.01	Operation manuals for information and communications technology hardware and software.	TEMPORARY Destroy 1 year after life of the system
16.22.02	Records relating to routine operation of information and communications technology, including administration of user access/permissions.	TEMPORARY Destroy 2 years after action completed
16.23.00	PLANNING (TECHNOLOGY AND TELECOMMUNICATIONS)	
	<i>See 15.16.00 STRATEGIC MANAGEMENT – PLANNING for records of planning</i>	
16.24.00	POLICY (TECHNOLOGY AND TELECOMMUNICATIONS)	
	<i>See 15.17.00 STRATEGIC MANAGEMENT – POLICY for records of policy</i>	
16.25.00	PRIVACY (TECHNOLOGY AND TELECOMMUNICATIONS)	
	<i>See 16.30.00 SECURITY for records relating to privacy</i>	
16.26.00	PROCEDURES (TECHNOLOGY AND TELECOMMUNICATIONS)	
	<i>See 15.18.00 STRATEGIC MANAGEMENT – PROCEDURES for records relating to procedure</i>	
16.27.00	REPORTING (TECHNOLOGY AND TELECOMMUNICATIONS)	
	<i>See 15.19.00 STRATEGIC MANAGEMENT – REPORTING for records of reporting</i>	
16.28.00	RESEARCH (TECHNOLOGY AND TELECOMMUNICATIONS)	
	<i>See 15.20.00 STRATEGIC MANAGEMENT – RESEARCH for records of research</i>	
16.29.00	REVIEWING (TECHNOLOGY AND TELECOMMUNICATIONS)	
	<i>See 15.21.00 STRATEGIC MANAGEMENT – REVIEWING for records of reviewing</i>	
16.30.00	SECURITY (TECHNOLOGY AND TELECOMMUNICATIONS)	
	The measures taken to protect equipment or information from accidental or intentional damage or from unauthorised access. Includes responses to any security breaches.	

16.30.01	Records relating to serious breaches of security, including unauthorised access to a computer network, alteration of data, etc.	PERMANENT
16.30.02	Records relating to the monitoring of internet users' serious breaches of access rights, including system logs.	TEMPORARY Destroy 7 years after action completed
16.30.03	Records relating to the implementation of information privacy controls in agency information and communication technology and systems.	TEMPORARY Destroy 5 years after superseded
16.30.04	Records relating to security of information and communication technology and systems.	TEMPORARY Destroy 2 years after change or disposal of system
16.30.05	Records relating to minor breaches of security, including unauthorised access to a computer network, alteration of data, etc. <i>See 12.11.00 PERSONNEL AND STAFF DEVELOPMENT – DISCIPLINE for employee discipline records</i>	TEMPORARY Destroy 5 years after action completed
16.30.06	Records relating to the monitoring of internet users' minor breaches of access rights, including system logs.	TEMPORARY Destroy 1 year after action completed
16.31.00	STANDARDS (TECHNOLOGY AND TELECOMMUNICATIONS) <i>See 15.23.00 STRATEGIC MANAGEMENT – STANDARDS for records relating to standards</i>	
16.32.00	TENDERING (TECHNOLOGY AND TELECOMMUNICATIONS) <i>See 06.30.00 FINANCIAL MANAGEMENT – TENDERING for records relating to tendering</i>	
17.00.00	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.	
17.01.00	ACCIDENTS AND INCIDENTS (WORKPLACE HEALTH AND SAFETY) 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>See 12.12.00 PERSONNEL AND STAFF DEVELOPMENT – EMPLOYMENT CONDITIONS where accident or incident records are maintained on employee files.</i> <i>See 03.04.00 COMPENSATION – COMPLIANCE if the accident or incident results in a compensation claim</i>	
17.01.01	Accident and incident registers.	TEMPORARY Destroy 70 years after action completed
17.01.02	Workplace Health and Safety accident and incident reports and complaints regarding a serious accident, such as a serious injury or fatality. <i>See 17.04.06 COMPLIANCE for records relating to exposure to hazards such as asbestos.</i>	TEMPORARY Destroy 70 years after action completed or 75 years after date of record, whichever is later
17.01.03	Workplace Health and Safety accident and incident reports and complaints regarding a non-serious accident. <i>See 12.12.00 PERSONNEL AND STAFF DEVELOPMENT – EMPLOYMENT CONDITIONS where accident or incident records are maintained on employee files.</i>	TEMPORARY Destroy 17 years after action completed

17.02.00	AUDIT (WORKPLACE HEALTH AND SAFETY) 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 Workplace Health and Safety.	
17.02.01	Official audit reports on compliance of agency programs and operations with accepted Workplace Health and Safety standards.	PERMANENT
17.02.02	Supplementary records relating to Workplace Health and Safety audits, including arrangements for inspection of workplaces and records.	TEMPORARY Destroy 7 years after action completed
17.03.00	COMMITTEES (WORKPLACE HEALTH AND SAFETY) <i>See 01.00.00 BOARDS AND COMMITTEES for records of committees</i>	
17.04.00	COMPLIANCE (WORKPLACE HEALTH AND SAFETY) 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 Workplace Health and Safety.	
17.04.01	Register of hazardous substances at agency workplaces, e.g. asbestos register.	PERMANENT
17.04.02	Records documenting breaches of Workplace Health and Safety compliance requirements.	PERMANENT
17.04.03	Records relating to directions received from health authorities in accordance with legislation and standards regarding the keeping of radiation exposure monitoring records.	PERMANENT
17.04.04	Records relating to the use, or presence, of major hazards, such as asbestos, lead and radiation in buildings or other infrastructure.	TEMPORARY Destroy 100 years after action completed
17.04.05	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 Destroy 100 years after action completed
17.04.06	Registers and files maintained on staff and contractors which document exposure or potential exposure to major hazards, such as asbestos, lead and radiation.	TEMPORARY Destroy 100 years after action completed
17.04.07	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 Destroy 100 years after action completed
17.04.08	Records relating to licences and certificates of compliance held by the agency in accordance with the legislation and standards.	TEMPORARY Destroy 100 years after action completed
17.04.09	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 Destroy 100 years after action completed
17.04.10	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 Destroy 100 years after action completed
17.04.11	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 Destroy 7 years after action completed
17.05.00	CONTRACTING-OUT (WORKPLACE HEALTH AND SAFETY) <i>See 06.12.00 FINANCIAL MANAGEMENT – CONTRACTING-OUT for contracting-out records</i>	

17.06.00	HEALTH PROMOTION (WORKPLACE HEALTH AND SAFETY) The process of promotion by the agency of programs which encourage the establishment and maintenance of a healthy work environment.	
17.06.01	Summary records of first aid provided. Includes First Aid Registers, Daily or Weekly Sheets.	TEMPORARY Destroy 60 years after action completed
17.06.02	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 Destroy 60 years after action completed
17.06.03	Records relating to the promotion of safe practices to staff and volunteers. Includes master copy of procedure manuals, notices and instructions.	TEMPORARY Destroy 45 years after revoked or superseded
17.06.04	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 Destroy 30 years after action completed
17.06.05	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 Destroy 7 years after action completed
17.06.06	Records relating to treatment received by individual staff or volunteers members in agency first aid or medical centres. <i>See 12.12.00 PERSONNEL AND STAFF DEVELOPMENT – EMPLOYMENT CONDITIONS if the records are maintained on employee files.</i>	TEMPORARY Destroy 7 years after action completed
17.06.07	Records relating to the appointment of first aid officers, emergency evacuation wardens, safety officers, etc.	TEMPORARY Destroy 7 years after action completed
17.06.08	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 Destroy 1 year after action completed
17.07.00	INVESTIGATIONS - INSPECTIONS (WORKPLACE HEALTH AND SAFETY) The process of official examinations of facilities, equipment and items to ensure compliance with agreed standards and objectives.	
17.07.01	Records relating to inspections and investigations into major workplace health and safety hazards or issues that resulted in major changes.	PERMANENT
17.07.02	Records relating to inspections and investigations into major workplace health and safety hazards or issues that did <u>not</u> result in major changes.	TEMPORARY Destroy 30 years after action completed
17.07.03	Records relating to inspections and investigations into minor workplace health and safety hazards or issues that resulted in major changes.	TEMPORARY Destroy 15 years after action completed
17.07.04	Records relating to inspections and investigations into minor workplace health and safety hazards or issues that did <u>not</u> result in major changes.	TEMPORARY Destroy 15 years after action completed
17.08.00	MEETINGS (WORKPLACE HEALTH AND SAFETY) <i>See 15.14.00 STRATEGIC MANAGEMENT – MEETINGS for records of meetings</i>	
17.09.00	PLANNING (WORKPLACE HEALTH AND SAFETY) <i>See 15.16.00 STRATEGIC MANAGEMENT – PLANNING for records of planning</i>	

17.10.00	POLICY (WORKPLACE HEALTH AND SAFETY) <i>See 15.17.00 STRATEGIC MANAGEMENT – POLICY for records of policy</i>
17.11.00	PROCEDURES (WORKPLACE HEALTH AND SAFETY) <i>See 15.18.00 STRATEGIC MANAGEMENT – PROCEDURES for records relating to procedure</i>
17.12.00	REPORTING (WORKPLACE HEALTH AND SAFETY) <i>See 15.19.00 STRATEGIC MANAGEMENT – REPORTING for records of reporting</i>
17.13.00	RESEARCH (WORKPLACE HEALTH AND SAFETY) <i>See 15.20.00 STRATEGIC MANAGEMENT – RESEARCH for records of research</i>
17.14.00	REVIEWING (WORKPLACE HEALTH AND SAFETY) <i>See 15.21.00 STRATEGIC MANAGEMENT – REVIEWING for records of reviewing</i>
17.15.00	RISK MANAGEMENT (WORKPLACE HEALTH AND SAFETY) <i>See 15.22.00 STRATEGIC MANAGEMENT – RISK MANAGEMENT for records relating to risk management</i>
17.16.00	STANDARDS (WORKPLACE HEALTH AND SAFETY) <i>See 15.23.00 STRATEGIC MANAGEMENT – STANDARDS for records relating to standards</i>