Australian Capital Territory

# Territory Records (Records Disposal Schedule – Public Sector Management Records) Approval 2006 (No 1)

Notifiable instrument NI2006-29

made under the

Territory Records Act 2002, s 19 (Approval of schedules for the disposal of records)

#### 1. Name of Instrument

This instrument is the Territory Records (Records Disposal Schedule – Public Sector Management Records) Approval 2006 (No 1)

#### 2. Approval

I approve the Records Disposal Schedule – Public Sector Management Records.

#### 3. Commencement

This instrument commences on the day after notification.

David Wardle Director of Territory Records 30 January 2006



# **Records Disposal Schedule Public Sector Management Records**

Authorised by the ACT Parliamentary Counsel-also accessible at www.legislation.act.gov.au

INTRODUCTION	. 5
PURPOSE	. 5
SCOPE	. 5
AUTHORITY	. 5
STRUCTURE AND RELATIONSHIP TO THE TERRITORY VERSION OF	
KEYWORD AAA	. 5
Territory Version of Keyword AAA	. 6
GUIDELINES FOR USE	
Coverage of authority	. 6
Layout of the schedule	. 7
FORMAT OF RECORD	. 8
Electronic records	. 8
DESTRUCTION OF RECORDS	. 8
UPDATING THE RECORDS DISPOSAL SCHEDULE	. 8
ASSISTANCE IN USING THE RECORDS DISPOSAL SCHEDULE	
RELATED LEGISLATION	
DEFINITIONS	10
Agency	10
Appraisal	10
Business Classification Scheme	10
Principal Officer	10
Records	10
Records of an Agency	10
Records Disposal Schedule	10
Records Management Program	
Recordkeeping Systems	10
Scope Note	11
Sentencing	11
Territory Archives	
BUSINESS CLASSIFICATION SCHEME	12
PUBLIC ADMINISTRATION	13
PUBLIC SERVICE MANAGEMENT	16
REMUNERATION ADMINISTRATION	18
RECORDS DISPOSAL SCHEDULE	19
PUBLIC ADMINISTRATION	20
Addresses (presentations)	20
Advice	20
Agreements	20
Authorisation	21
Ceremonies	21
Committees	22
Grievances	23
Inquiries	
Meetings	
Planning	
Policy	
Public Interest Disclosure (PID)	
Reporting	
Research	
Standards	26

PUBLIC SERVICE MANAGEMENT	
Advice	27
Agreements	27
Arrangements	
Committees	
Contracting out	29
Evaluation	29
Meetings	30
Planning	30
Policy	31
Procedures	32
Reporting	32
Representatives	
Research	
Reviewing	34
Tendering	35
REMUNERATION ADMINISTRATION	
Planning	
Policy	
Procedures	37
Tribunal Appointments	37
Tribunal Hearings	37
CLASSES FOR RETENTION AS TERRITORY ARCHIVES	
PUBLIC ADMINISTRATION	
Agreements	
Ceremonies	
Committees	
Inquiries	40
Policy	40
Reporting	40
PUBLIC SERVICE MANAGEMENT	
Agreements	41
Policy	41

# **INTRODUCTION**

The *Records Disposal Schedule – Public Sector Management Records* is the official authority for the disposal of records relating to Public Sector Management Records.

It is one of a series of Records Disposal Schedules authorised by the Director of Territory Records in accordance with the provisions of the *Territory Records Act 2002*. It is used in conjunction with the *Territory Administrative Records Disposal Schedule (TARDiS)*.

## **PURPOSE**

The purpose of this Records Disposal Schedule is to provide for the authorised disposal of Public Sector Management records created or maintained by ACT Government Agencies.

## **SCOPE**

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

# AUTHORITY

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

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

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

# STRUCTURE AND RELATIONSHIP TO THE TERRITORY VERSION OF KEYWORD AAA

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

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

The *Records Disposal Schedule – Public Sector Management Records* has a hierarchical structure that reflects its arrangements according to functions and activities, rather than by subject, and this also reflects a close relationship to the Territory Version of Keyword AAA. The Records Disposal Schedule is designed to be applicable to all Public Sector Management records regardless of titling conventions used, so that records, which have not

been titled using the terminology represented by this Records Disposal Schedule, may still be sentenced with relative ease.

#### Territory Version of Keyword AAA

The Territory Version of Keyword AAA is the general administrative thesaurus produced by the Territory Records Office. The structure and terms used in this Records Disposal Schedule are closely related to those used in the Territory Version of Keyword AAA, which is based on functional analysis of business activity. This methodology (i.e., the analysis of business activity) produces a hierarchical model of an organisation's business activity. The hierarchical model also represents a classification scheme for the records that document functions, activities and transactions.

The disposal actions listed in this Records Disposal Schedule were determined through the process of appraisal in accordance with *Territory Records Office Standard for Records Management No.2 – Appraisal*. Appraisal is based upon the same type of analysis of business activity employed in the classification scheme used in the Territory Version of Keyword AAA. Essentially, appraisal involves attaching record retention periods and disposal decisions (and even records creation requirements and rules) to the same classification scheme.

## **GUIDELINES FOR USE**

#### Coverage of authority

The Records Disposal Schedule – Public Sector Management Records:

- covers all Public Sector Management records;
- is intended to be used in conjunction with TARDiS;
- specifies the minimum period records should be kept (retention periods);
- specifies whether, upon the expiry of the retention periods, the records may be destroyed or are required as Territory Archives; and
- is applicable to records created and maintained in any format, including electronic or formats such as microfiche.

#### Layout of the schedule

This Records Disposal Schedule begins with an introduction incorporating definitions and the business classification scheme. Then each of the functions and activity disposal sets or 'disposal classes' relating to the functions are described. These are followed by a composite list of classes designated 'Retain as Territory Archives'. The functions and activity disposal sets show the following details:

#### Function.

This is the broad level business function and is displayed in bold capital letters at the top of each page. It is the highest level in the business classification scheme. It is followed by the scope note, which provides definitions of the function and a collective view of the business activities that make that function unique.

#### Activity.

Activities are the processes or operations that make up the business function. They are set in bold and italics below the function statement. This is the second level of the business classification scheme. The scope of the activity encompasses all of the transactions that take place in relation to the activity. Activities can relate to many functions with the scope notes covering all of these relationships (e.g., the activity 'Policy' is linked to all of the functions). However, each function and activity set represents a unique unit.

#### Entry No.

This is the disposal class number allocated based on the function and activity set and the class number of the record. The barcode is the same as the Entry No. and may be used in an automated recordkeeping system.

#### **Description of Records.**

This is the description of the records documenting the business function, activity and transactions. The descriptions can relate to one record such as a register or a group of records documenting a particular set of transactions.

#### **Disposal Action.**

This is the minimum period a record must be kept for and is the trigger event from which the disposal date can be calculated.

# FORMAT OF RECORD

This Records Disposal Schedule is applicable to any record that performs the function prescribed, irrespective of format. Records may include:

- cards;
- registers;
- files;
- microfilm;
- microfiche;
- COM (computer output microfiche);
- electronic records, including various electronic media, and
- any other formats.

#### **Electronic records**

Refers to records created, communicated and maintained by means of electronic equipment. Information could be maintained/stored in a number of ways – on the database (the main database, or a special archives database); on magnetic media; on optical disks; or on separate hardcopy (paper, COM).

Electronic records must be readily accessible for the length of the specified retention period. Routine treatment (such as wiping, updating, alterations or re-recording) does not constitute disposal.

### **DESTRUCTION OF RECORDS**

When the approved disposal date for the destruction of records has been reached, appropriate arrangements for their destruction should be made. It is the responsibility of each agency to ensure that its records are destroyed in a secure and appropriate manner as indicated in the agency Records Management Program.

### **UPDATING THE RECORDS DISPOSAL SCHEDULE**

Records Disposal Schedules are reviewed and updated from time to time. For suggested amendments or alterations to this schedule please contact the Director of Territory Records.

# ASSISTANCE IN USING THE RECORDS DISPOSAL SCHEDULE

Agencies requiring any assistance in the interpretation or implementation of any Records Disposal Schedule are encouraged to contact the Director of Territory Records.

# **RELATED LEGISLATION**

The following legislation is related to the records classes covered by this Records Disposal Schedule:

Public Sector Management Act 1994 Public Service Act 1999 (Cwlth) Public Interest Disclosure Act 1994 Remuneration Tribunal Act 1995 Statutory Appointments Act 1994 Territory Records Act 2002

## **DEFINITIONS**

#### Agency

The Executive, an ACT Court, the Legislative Assembly Secretariat, an administrative unit, a Board of Inquiry, a Judicial or Royal Commission, any other prescribed authority, or an entity declared under the regulations of the *Territory Records Act 2002* to be an agency.

#### Appraisal

The process of evaluating business activities to:

- determine which records need to be captured;
- determine how long the records need to be kept to meet business needs; and
- meet the requirements of organisational accountability and community expectations.

#### **Business Classification Scheme**

A hierarchical scheme for identifying and defining the functions, activities and transactions an agency performs in the conduct of its business, and the relationships between them.

#### **Principal Officer**

The Chief Executive of an administrative unit, or its equivalent in other types of agencies.

#### Records

Information created, received, and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transition of business. This recorded information must be maintained or managed by the agency to provide evidence of their business activities. Records can be in written, electronic or any other form.

#### **Records of an Agency**

Records, in writing, electronic or any other form, under the control of an agency or to which it is entitled to control, kept as a record of its activities, whether it was created or received by the agency.

#### **Records Disposal Schedule**

A document approved by the Director of Territory Records, which sets out the types of records an agency must make and how long they must be kept.

#### **Records Management Program**

A document that complies with Section 16 of the *Territory Records Act 2002* by setting out the means by which an agency will manage its records, and is approved by the agency's Principal Officer.

#### **Recordkeeping Systems**

Information systems that capture, maintain and provide access to records over time. While the term is often associated with computer software, Recordkeeping Systems also encompass policies, procedures, practices and resources that are applied within an agency to ensure that full and accurate records of business activity are made and kept.

#### Scope Note

An explanation of terms used in describing the records and the context in which they were made and used.

#### Sentencing

The process of applying appraisal decisions to individual records by determining the part of a Records Disposal Schedule that applies to the record and assigning a retention period consistent with that part.

#### **Territory** Archives

Records preserved for the benefit of present and future generations.

**BUSINESS CLASSIFICATION SCHEME** 

The function of administering the statutory obligations of the Commissioner for Public Administration and the Public Service Commissioner.

Includes providing advice, approving administrative arrangements, reporting on reviews, investigating disclosures and alleged complaints. Also includes developing whole-of-government standards and activities associated with the appointment of the Commissioner.

#### Addresses (presentations)

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

#### **Advice**

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

#### Agreements

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

#### Authorisation

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

#### Ceremonies

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

#### **Committees**

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

#### Grievances

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

#### Inquiries

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

#### Meetings

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

#### Planning

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

#### **Policy**

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

#### **Public Interest Disclosure (PID)**

The activities associated with inquiring and reporting on public interest disclosures, reports etc made to the Commissioner. Includes whistle blowing disclosures and complaints alleging breaches under legislation.

#### Reporting

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

#### Research

The activities involved in investigating or enquiring into a subject or area of interest in order to discover facts, principles etc. Used to support development of projects, standards, guidelines etc and the business activities of the agency in general. Includes following up enquiries relating to organisational programs, projects, working papers, literature searches etc.

#### **Standards**

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

The central agency function of providing public sector employment policy services to the Government and government agencies. Includes the development of policy and the provision of advice in relation to the administration of public sector employment legislation; the development of service-wide strategic policies and frameworks on industrial relations; workforce planning; leadership development; learning and development; ethics, fraud and anti-corruption; performance management and reporting; and service-wide human resource projects. Also includes service-wide industrial negotiations; service-wide injury prevention and injury management strategies, including maintenance of accident report and compensation databases.

#### Advice

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

#### **Agreements**

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

#### Arrangements

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.

#### **Committees**

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

#### **Contracting out**

The activities involved in managing the performance of work or the provision of goods and services by an external contractor, vendor or consultant, or by using external bureau services. Includes outsourcing.

#### **Evaluation**

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

#### **Meetings**

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

#### Planning

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

#### **REMUNERATION ADMINISTRATION**

The function of administering the statutory obligations of the Remuneration Act 1995 to determine and review the remuneration, allowances and other entitlements for a particular public sector office or appointment, or matter. Includes the processes involved in making and handing down determinations and statements, which affect the salaries and/or employment conditions of Territory public sector employees. Also includes seeking advice and activities associated with the nomination, appointment or resignation of the Remuneration Tribunal members.

#### Planning

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

#### **Policy**

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

#### **Procedures**

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

#### **Tribunal** Appointments

The process of appointing members to the remuneration tribunal. Includes nominations, appointment and resignation of individuals.

#### **Tribunal Hearings**

The activities associated with the formal process of reviewing written and/or oral submissions and decisions and determinations made on entitlements and remuneration as a result. Includes agenda and minutes of hearing meetings.

# **RECORDS DISPOSAL SCHEDULE**

The function of administering the statutory obligations of the Commissioner for Public Administration and the Public Service Commissioner.

Includes providing advice, approving administrative arrangements, reporting on reviews, investigating disclosures and alleged complaints. Also includes developing whole-of-government standards and activities associated with the appointment of the Commissioner.

#### Addresses (presentations)

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

<i>Entry</i> 1.1.1	<i>Description of Records</i> Final versions of addresses delivered.	<i>Disposal Action</i> Destroy 2 years after presentation
1.1.2	Working papers documenting the development of addresses, including drafts.	Destroy after reference ceases

#### **Advice**

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

<b>Disposal Action</b>
ice to Retain as Territory prvice as Archives

#### **Agreements**

The processes <i>Entry</i> 1.3.1	associated with the establishment, maintenance, review and negotiation of agreeme <b>Description of Records</b> Final version of significant agreements with government bodies.	nts. <b>Disposal Action</b> Retain as Territory Archives
1.3.2	Records relating to the negotiations, establishment, maintenance and review of significant agreements.	Destroy 7 years after last action

The function of administering the statutory obligations of the Commissioner for Public Administration and the Public Service Commissioner.

Includes providing advice, approving administrative arrangements, reporting on reviews, investigating disclosures and alleged complaints. Also includes developing whole-of-government standards and activities associated with the appointment of the Commissioner.

#### Authorisation

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

<i>Entry</i> 1.4.1	<i>Description of Records</i> Delegations of powers to agency staff to authorise administrative action relating to the powers of the Commissioner.	<b>Disposal Action</b> Destroy 7 years after delegation expires
1.4.2	Approval and authorisation of actions given by the Commissioner.	Destroy 7 years after last action

#### Ceremonies

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

<i>Entry</i> 1.5.1	<i>Description of Records</i> Programs, invitations, guest lists and photographs relating to ceremonies held to mark a special occasion e.g. the opening of a building or major facility, or the conferring of Commissioners awards.	<i>Disposal Action</i> Retain as Territory Archives
1.5.2	Records documenting all arrangements for other ceremonies of lesser significance. Includes programs, invitations, guest lists, catering, venue bookings and entertainment.	Destroy 2 years after last action
1.5.3	Records documenting routine arrangements supporting ceremonies to mark special occasions. Includes catering, venue bookings and entertainment.	Destroy 2 years after last action

The function of administering the statutory obligations of the Commissioner for Public Administration and the Public Service Commissioner.

Includes providing advice, approving administrative arrangements, reporting on reviews, investigating disclosures and alleged complaints. Also includes developing whole-of-government standards and activities associated with the appointment of the Commissioner.

#### **Committees**

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

**Description of Records Entry Disposal** Action 1.6.1 Records of external high level inter-government (both Retain as State/Territory and overseas) or high level inter-agency Territory committees where the agency provides the Secretariat, is the Archives Territory's main representative, or plays a significant role. Includes: • Documents establishing the committee Agendas • • Minutes • Reports Recommendations • Supporting documents such as briefing and • discussion papers. 1.6.2 Records of internal and external committees formed to Destroy 5 years

	consider matters relating to the function. Includes: documents establishing the committee, final versions of minutes, reports, recommendations, supporting documents such as briefing papers and discussion papers.	after last action
1.6.3	Working papers documenting the conduct and administration of committees which consider matters relating to the function.	Destroy after reference ceases

Includes: agenda, notices of meetings, draft minutes.

The function of administering the statutory obligations of the Commissioner for Public Administration and the Public Service Commissioner.

Includes providing advice, approving administrative arrangements, reporting on reviews, investigating disclosures and alleged complaints. Also includes developing whole-of-government standards and activities associated with the appointment of the Commissioner.

#### Grievances

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

# *Entry* 1.7.1

#### **Description of Records**

Records documenting grievances and complaints made to the Commissioner and responses given to complainants.

#### **Disposal** Action

Destroy 7 years after last action

#### Inquiries

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

<i>Entry</i> 1.8.1	<i>Description of Records</i> Records documenting Commissioners Inquiries. Includes: statements and submissions responses to final reports transcripts of oral evidence given by government officers.	<i>Disposal Action</i> Retain as Territory Archives
1.8.2	Working papers documenting the Commissioner's contribution and involvement	Retain as Territory Archives

#### Meetings

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

<i>Entry</i> 1.9.1	<i>Description of Records</i> Final version of minutes and supporting documents tabled at meetings held to support the function. Includes meetings with external agencies.	<b>Disposal Action</b> Destroy 3 years after last action
1.9.2	Working papers documenting the conduct and administration of meetings held to support the function. Includes agenda, notices of meetings and draft minutes.	Destroy after reference ceases

The function of administering the statutory obligations of the Commissioner for Public Administration and the Public Service Commissioner.

Includes providing advice, approving administrative arrangements, reporting on reviews, investigating disclosures and alleged complaints. Also includes developing whole-of-government standards and activities associated with the appointment of the Commissioner.

#### Planning

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

<i>Entry</i> 1.10.1	<i>Description of Records</i> Final version of plans created to support the Office for Public Administration.	<i>Disposal Action</i> Destroy 5 years after plans are superseded
1.10.2	Working papers used to develop plans. Includes draft plans, reports analysing issues, and comments received from other areas of the agency.	Destroy year after 1 adoption of final plan

#### **Policy**

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

<i>Entry</i> 1.11.1	<i>Description of Records</i> Records documenting the development and establishment of policies related to public service administration. Includes: policy proposals, research papers, results of consultations, supporting reports, major drafts, final policy documents.	<i>Disposal Action</i> Retain as Territory Archives
1.11.2	Records documenting comments made on the development of government-wide public administration policies.	Destroy 3 years after promulgation of new policy
1.11.3	Working papers documenting the development of policies.	Destroy 3 years after promulgation of new policy

The function of administering the statutory obligations of the Commissioner for Public Administration and the Public Service Commissioner.

Includes providing advice, approving administrative arrangements, reporting on reviews, investigating disclosures and alleged complaints. Also includes developing whole-of-government standards and activities associated with the appointment of the Commissioner.

#### **Public Interest Disclosure (PID)**

The activities associated with inquiring and reporting on public interest disclosures, reports etc made to the Commissioner. Includes whistle blowing disclosures and complaints alleging breaches under legislation.

<i>Entry</i> 1.12.1	<i>Description of Records</i> Working papers related to investigations of Public Interest Disclosures.	<i>Disposal Action</i> Destroy 7 years after close date
1.12.2	Records documenting the development of Public Sector Management Standards for use across the Territory Government.	Destroy 3 years after standard is superseded or revoked

#### Reporting

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

<i>Entry</i> 1.13.1	<i>Description of Records</i> Final version of internal formal reports and reports made to external agencies relating to the function. Includes State of the Service Report.	<i>Disposal Action</i> Retain as Territory Archives
1.13.2	Final versions of periodic internal reports on general administrative matters used to monitor and document recurring activities to support public administration. Includes the collection and reporting of statistical information.	Destroy 3 years after last action
1.13.3	Working papers documenting the development of all reports. Includes drafts and comments received.	Destroy after reference ceases

The function of administering the statutory obligations of the Commissioner for Public Administration and the Public Service Commissioner.

Includes providing advice, approving administrative arrangements, reporting on reviews, investigating disclosures and alleged complaints. Also includes developing whole-of-government standards and activities associated with the appointment of the Commissioner.

#### Research

The activities involved in investigating or enquiring into a subject or area of interest in order to discover facts, principles etc. Used to support development of projects, standards, guidelines etc and the business activities of the agency in general. Includes following up enquiries relating to organisational programs, projects, working papers, literature searches etc.

<i>Entry</i> 1.14.1	<i>Description of Records</i> Records documenting detailed research carried out to support the Public Administration function.	<b>Disposal Action</b> Destroy 5 years after last action
1.14.2	Records documenting routine research carried out to support the Public Administration function.	Destroy after reference ceases

#### **Standards**

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

# EntryDescription of RecordsL1.15.1Records documenting the development of Public SectorDManagement Standards for use across the TerritoryaGovernment.Standards for use across the Territory

#### **Disposal** Action

Destroy 3 years after standard is superseded or revoked

The central agency function of providing public sector employment policy services to the Government and government agencies. Includes the development of policy and the provision of advice in relation to the administration of public sector employment legislation; the development of service-wide strategic policies and frameworks on industrial relations; workforce planning; leadership development; learning and development; ethics, fraud and anti-corruption; performance management and reporting; and service-wide human resource projects. Also includes service-wide industrial negotiations; service-wide injury prevention and injury management strategies, including maintenance of accident report and compensation databases.

#### Advice

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

<i>Entry</i> 2.1.1	<i>Description of Records</i> Records documenting the receipt and provision of general advice on Public Service Management.	<b>Disposal Action</b> Destroy 5 years after last action
2.1.2	Records documenting the receipt and provision of potentially significant or controversial advice on Public Service Management such as industrial bargaining.	Destroy 15 years after last action

#### Agreements

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

<i>Entry</i> 2.2.1	<i>Description of Records</i> Master copies of the Territory's certified agreements.	<i>Disposal Action</i> Retain as Territory Archives
2.2.2	Records documenting contract management relating to the function. Includes: minutes of meetings with main stakeholders, performance and evaluation reports.	Destroy 7 years after completion or other termination of contract
2.2.3	Records relating to the negotiations, establishment, maintenance and review of significant agreements.	Destroy 7 years after completion or other termination of contract
2.2.4	Final versions of other agreements	Destroy 7 years after completion or other termination of contract

The central agency function of providing public sector employment policy services to the Government and government agencies. Includes the development of policy and the provision of advice in relation to the administration of public sector employment legislation; the development of service-wide strategic policies and frameworks on industrial relations; workforce planning; leadership development; learning and development; ethics, fraud and anti-corruption; performance management and reporting; and service-wide human resource projects. Also includes service-wide industrial negotiations; service-wide injury prevention and injury management strategies, including maintenance of accident report and compensation databases.

#### **Arrangements**

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.

# Entry<br/>2.4.1Description of RecordsDi<br/>DescriptionDistributionRecords detailing arrangements carried out to support the<br/>public service management function. Includes arrangementsDistributionfor guest speakers.DistributionDistribution

#### **Disposal** Action

Destroy 2 years after event

#### **Committees**

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

<i>Entry</i> 2.4.1	<i>Description of Records</i> Records of internal and external committees formed to consider matters relating to the function. Includes: documents establishing the committee, final versions of minutes, reports, recommendations, supporting documents such as briefing papers and discussion papers.	<b>Disposal Action</b> Destroy 5 years after last action
2.4.2	Working papers documenting the conduct and administration of committees which consider matters relating to the function. Includes: agenda, notices of meetings, draft minutes.	Destroy after reference ceases

The central agency function of providing public sector employment policy services to the Government and government agencies. Includes the development of policy and the provision of advice in relation to the administration of public sector employment legislation; the development of service-wide strategic policies and frameworks on industrial relations; workforce planning; leadership development; learning and development; ethics, fraud and anti-corruption; performance management and reporting; and service-wide human resource projects. Also includes service-wide industrial negotiations; service-wide injury prevention and injury management strategies, including maintenance of accident report and compensation databases.

#### **Contracting out**

The activities involved in managing the performance of work or the provision of goods and services by an external contractor, vendor or consultant, or by using external bureau services. Includes outsourcing.

#### Entry Description of Records

2.5.1

Records documenting contract management relating to the function. Includes: minutes of meetings with main stakeholders, performance and evaluation reports.

#### **Disposal** Action

Destroy 7 years after completion or other termination of contract

#### **Evaluation**

2.6.1

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

#### **Entry Description of Records**

Records documenting the evaluation and ongoing monitoring of public service management programs and services.

#### **Disposal** Action

Destroy 5 years after last action

The central agency function of providing public sector employment policy services to the Government and government agencies. Includes the development of policy and the provision of advice in relation to the administration of public sector employment legislation; the development of service-wide strategic policies and frameworks on industrial relations; workforce planning; leadership development; learning and development; ethics, fraud and anti-corruption; performance management and reporting; and service-wide human resource projects. Also includes service-wide industrial negotiations; service-wide injury prevention and injury management strategies, including maintenance of accident report and compensation databases.

#### Meetings

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

<i>Entry</i> 2.7.1	<i>Description of Records</i> Final version of minutes and supporting documents tabled at meetings held to support the function. Includes meetings with external agencies. Excludes committee meetings.	<i>Disposal Action</i> Destroy 3 years after last action
2.7.2	Working papers documenting the conduct and administration of meetings held to support the function. Includes agenda, notices of meetings and draft minutes. Excludes committee meetings.	Destroy after reference ceases

#### Planning

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

<i>Entry</i> 2.8.1	<i>Description of Records</i> Final version of public service management plans. Includes: Strategic Human Resources Planning for the ACT Public Service.	<b>Disposal Action</b> Destroy 3 years after plan is superseded
2.8.2	Final version of public service management plans at business unit, state, regional or overseas office level.	Destroy 2 years after plan is superseded
2.8.3	Working papers used to develop all public service management plans. Includes draft plans, reports analysing issues, and comments received from other areas of the agency.	Destroy year after 1 adoption of final plan

The central agency function of providing public sector employment policy services to the Government and government agencies. Includes the development of policy and the provision of advice in relation to the administration of public sector employment legislation; the development of service-wide strategic policies and frameworks on industrial relations; workforce planning; leadership development; learning and development; ethics, fraud and anti-corruption; performance management and reporting; and service-wide human resource projects. Also includes service-wide industrial negotiations; service-wide injury prevention and injury management strategies, including maintenance of accident report and compensation databases.

#### **Policy**

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

<i>Entry</i> 2.9.1	<i>Description of Records</i> Records documenting the development and establishment of Territory wide public service management policies that may be significant or controversial, such Industrial Relations policy. Includes: policy proposals, research papers, results of consultations, supporting reports, major drafts, final policy documents.	<i>Disposal Action</i> Retain as Territory Archives
2.9.2	Records documenting the development and establishment of Territory wide public service management policies. Includes: policy proposals, research papers, results of consultations, supporting reports, major drafts, final policy documents.	Destroy 5 years after policy is superseded
2.9.3	Records documenting comments made on the development of government-wide public service management policies.	Destroy year after 1 promulgation of new policy
2.9.4	Working papers documenting the development of all public service management policies.	Destroy year after 1 promulgation of the new policy

The central agency function of providing public sector employment policy services to the Government and government agencies. Includes the development of policy and the provision of advice in relation to the administration of public sector employment legislation; the development of service-wide strategic policies and frameworks on industrial relations; workforce planning; leadership development; learning and development; ethics, fraud and anti-corruption; performance management and reporting; and service-wide human resource projects. Also includes service-wide industrial negotiations; service-wide injury prevention and injury management strategies, including maintenance of accident report and compensation databases.

#### **Procedures**

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

<i>Entry</i> 2.10.1	<i>Description of Records</i> Master set of manuals, handbooks, directives etc detailing procedures supporting the public service management function. Includes Public Sector Management (PSM) advices and guidelines.	<b>Disposal Action</b> Destroy 5 years after procedures revoked
2.10.2	Records documenting the development of agency procedures supporting the public service management function.	Destroy year after 1 production of procedures

#### Reporting

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

<i>Entry</i> 2.11.1	<i>Description of Records</i> Final version of internal formal reports and reports made to external agencies relating to the function.	<i>Disposal Action</i> Destroy 5 years after last action
2.11.2	Final versions of periodic internal reports on general administrative matters used to monitor and document recurring activities to support the advisory council. Includes the collection and reporting of statistical information relating to visits.	Destroy 3 years after last action
2.11.3	Working papers documenting the development of all reports. Includes drafts and comments received.	Destroy after reference ceases
2.11.4	Responses to surveys carried out to support the function.	Destroy 3 years after last action

The central agency function of providing public sector employment policy services to the Government and government agencies. Includes the development of policy and the provision of advice in relation to the administration of public sector employment legislation; the development of service-wide strategic policies and frameworks on industrial relations; workforce planning; leadership development; learning and development; ethics, fraud and anti-corruption; performance management and reporting; and service-wide human resource projects. Also includes service-wide industrial negotiations; service-wide injury prevention and injury management strategies, including maintenance of accident report and compensation databases.

#### **Representatives**

The activities associated with the nomination, appointment or resignation of individuals or groups of personnel appointed by the organisation or their co-workers as official representatives to organisations, offices, unions, workers participation committees, councils or groups. Includes organisational legal representatives. Use LEGAL SERVICES -Advice for legal advice furnished to the organisation by internal or external sources.

#### **Description of Records**

Records documenting the nomination, appointment and resignation from and/or termination of agency representatives in community organisations.

#### **Disposal** Action

Destroy 3 years after cessation of or termination of appointment

#### Research

*Entry* 2.12.1

The activities involved in investigating or enquiring into a subject or area of interest in order to discover facts, principles etc. Used to support development of projects, standards, guidelines etc and the business activities of the agency in general. Includes following up enquiries relating to organisational programs, projects, working papers, literature searches etc.

<i>Entry</i> 2.13.1	<b>Description of Records</b> Records documenting detailed research carried out to support the public service management function.	<b>Disposal Action</b> Destroy 5 years after last action
2.13.2	Records documenting routine research carried out to support the public service management function.	Destroy after reference ceases

The central agency function of providing public sector employment policy services to the Government and government agencies. Includes the development of policy and the provision of advice in relation to the administration of public sector employment legislation; the development of service-wide strategic policies and frameworks on industrial relations; workforce planning; leadership development; learning and development; ethics, fraud and anti-corruption; performance management and reporting; and service-wide human resource projects. Also includes service-wide industrial negotiations; service-wide injury prevention and injury management strategies, including maintenance of accident report and compensation databases.

#### Reviewing

The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities. Use Evaluation for initial evaluation and monitoring.

<i>Entry</i> 2.14.1	<i>Description of Records</i> Records documenting a review of agency programs and operations supporting the public service management function. Includes documents establishing the review, final report and action plan.	<i>Disposal Action</i> Destroy 5 years after last action
2.14.2	Working papers documenting a review of agency programs and operations supporting the public service management function.	Destroy year after 1 last action
2.14.3	Records documenting a review of agency programs and operations supporting the public service management function. Includes documents establishing the review, final report and action plan.	Destroy 5 years after last action
2.14.4	Working papers documenting a review of agency programs and operations supporting the public service management function.	Destroy year after 1 last action

The central agency function of providing public sector employment policy services to the Government and government agencies. Includes the development of policy and the provision of advice in relation to the administration of public sector employment legislation; the development of service-wide strategic policies and frameworks on industrial relations; workforce planning; leadership development; learning and development; ethics, fraud and anti-corruption; performance management and reporting; and service-wide human resource projects. Also includes service-wide industrial negotiations; service-wide injury prevention and injury management strategies, including maintenance of accident report and compensation databases.

#### Tendering

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

<i>Entry</i> 2.15.1	<i>Description of Records</i> Records documenting the development and issue of tender documentation. Includes Statement of Requirements, Request for Proposals, Expression of Interest, Request for Tender (RFT) and draft contract.	<i>Disposal Action</i> Destroy 7 years after tender process completed
2.15.2	Evaluation of tenders received against selection criteria. Includes records documenting arrangements for carrying out the evaluation process, evaluation report, recommendations, final report and public notices.	Destroy 7 years after tender process completed
2.15.3	Records documenting post-offer negotiations and due diligence checks.	Destroy 7 years after tender process completed
2.15.4	Records of unsuccessful tenders or a tender process where there is no suitable bidder, or where the tender process has been discontinued. Includes submissions, notification of outcome and reports on debriefing sessions.	Destroy after tender process completed or decision made not to continue with the tender
2.15.5	Tender register.	Destroy 7 years after last entry
2.15.6	Signed contracts under seal resulting from tenders and supporting records.	Destroy 12 years after completion or other termination of contract
2.15.7	Signed simple contracts and agreements resulting from tenders and supporting records.	Destroy 7 years after completion or other termination of contract
2.15.8	Contract register.	Destroy 7 years after last entry

#### **REMUNERATION ADMINISTRATION**

The function of administering the statutory obligations of the Remuneration Act 1995 to determine and review the remuneration, allowances and other entitlements for a particular public sector office or appointment, or matter. Includes the processes involved in making and handing down determinations and statements, which affect the salaries and/or employment conditions of Territory public sector employees. Also includes seeking advice and activities associated with the nomination, appointment or resignation of the Remuneration Tribunal members.

#### Planning

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

<i>Entry</i> 3.1.1	<i>Description of Records</i> Final version of remuneration administration plans.	<i>Disposal Action</i> Destroy 3 years after plan superseded
3.1.2	Working papers used to develop all remuneration administration plans. Includes draft plans, reports analysing issues, and comments received from other areas of the agency.	Destroy 1 year after adoption of final plan

#### **Policy**

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

<i>Entry</i> 3.2.1	<i>Description of Records</i> Records documenting the development and establishment of remuneration policies. Includes: policy proposals, research papers, results of consultations, supporting reports, major drafts, final policy documents.	<b>Disposal Action</b> Destroy 5 years after policy superseded
3.2.2	Records documenting comments made on the development of government-wide remuneration policies.	Destroy 1 year after promulgation of new policy
3.2.3	Working papers documenting the development of all remuneration policies.	Destroy 1year after promulgation of new policy

#### **REMUNERATION ADMINISTRATION**

The function of administering the statutory obligations of the Remuneration Act 1995 to determine and review the remuneration, allowances and other entitlements for a particular public sector office or appointment, or matter. Includes the processes involved in making and handing down determinations and statements, which affect the salaries and/or employment conditions of Territory public sector employees. Also includes seeking advice and activities associated with the nomination, appointment or resignation of the Remuneration Tribunal members.

#### **Procedures**

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

<i>Entry</i> 3.3.1	<i>Description of Records</i> Master set of agency manuals, handbooks, directives etc detailing procedures supporting the Remuneration Administration function.	<i>Disposal Action</i> Destroy 5 years after procedures superseded
3.3.2	Records documenting the development of agency procedures supporting the Remuneration Administration function.	Destroy year after 1 production of procedures

#### **Tribunal** Appointments

The process of appointing members to the remuneration tribunal. Includes nominations, appointment and resignation of individuals.

<b>Entry</b>	<b>Description</b> of	f Records
	Description	110001.005

3.4.1 Records documenting the appointment of individuals to committees and boards. Includes resignation and other forms of separation

#### **Disposal** Action

Destroy 3 years after expiry or other termination of appointment

#### **Tribunal Hearings**

The activities associated with the formal process of reviewing written and/or oral submissions and decisions and determinations made on entitlements and remuneration as a result. Includes agenda and minutes of hearing meetings.

#### Entry Description of Records

3.5.1 Records documenting tribunal hearings and decisions and determinations on entitlements for remuneration.

**Disposal** Action

Destroy 7 years after last action

# **CLASSES FOR RETENTION AS TERRITORY ARCHIVES**

#### Classes for retention as Territory Archives PUBLIC ADMINISTRATION

The function of administering the statutory obligations of the Commissioner for Public Administration and the Public Service Commissioner.

Includes providing advice, approving administrative arrangements, reporting on reviews, investigating disclosures and alleged complaints. Also includes developing whole-of-government standards and activities associated with the appointment of the Commissioner.

#### Agreements

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

EntryDescription of Records1.3.1Final version of significant agreements with government<br/>bodies.

**Disposal Action** Retain as Territory Archives

#### Ceremonies

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

EntryDescription of RecordsDisposal Action1.5.1Programs, invitations, guest lists and photographs relating to<br/>ceremonies held to mark a special occasion e.g. the opening of<br/>a building or major facility, or the conferring of<br/>Commissioners awards.Disposal Action<br/>Retain as Territory<br/>Archives

#### **Committees**

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

*Entry* 1.6.1

#### **Description of Records**

Records of external high level inter-government (both State/Territory and overseas) or high level inter-agency committees where the agency provides the Secretariat, is the Territory's main representative, or plays a significant role. Includes:

- \* Documents establishing the committee
- \* Agendas
- \* Minutes
- \* Reports
- \* Recommendations
- \* Supporting documents such as briefing and discussion papers.

#### **Disposal** Action

Retain as Territory Archives

#### Classes for retention as Territory Archives PUBLIC ADMINISTRATION

The function of administering the statutory obligations of the Commissioner for Public Administration and the Public Service Commissioner.

Includes providing advice, approving administrative arrangements, reporting on reviews, investigating disclosures and alleged complaints. Also includes developing whole-of-government standards and activities associated with the appointment of the Commissioner.

#### Inquiries

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

<i>Entry</i> 1.8.1	<i>Description of Records</i> Records documenting Commissioners Inquiries. Includes: statements and submissions responses to final reports transcripts of oral evidence given by government officers	<i>Disposal Action</i> Retain as Territory Archives
1.8.2	Working papers documenting the Commissioner's contribution and involvement	Retain as Territory Archives

#### **Policy**

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

#### *Entry Description of Records* 1.11.1 Records documenting th

Records documenting the development and establishment of policies related to public service administration. Includes: policy proposals, research papers, results of consultations, supporting reports, major drafts, final policy documents.

#### **Disposal** Action

Retain as Territory Archives

#### Reporting

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

#### Entry Description of Records

1.13.1

Final version of internal formal reports and reports made to external agencies relating to the function. Includes State of the Service Report.

#### **Disposal** Action

Retain as Territory Archives

#### Classes for retention as Territory Archives PUBLIC SERVICE MANAGEMENT

The central agency function of providing public sector employment policy services to the Government and government agencies. Includes the development of policy and the provision of advice in relation to the administration of public sector employment legislation; the development of service-wide strategic policies and frameworks on industrial relations; workforce planning; leadership development; learning and development; ethics, fraud and anti-corruption; performance management and reporting; and service-wide human resource projects. Also includes service-wide industrial negotiations; service-wide injury prevention and injury management strategies, including maintenance of accident report and compensation databases.

#### Agreements

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

EntryDescription of Records2.2.4Master copies of the Territory's certified agreements.

*Disposal Action* Retain as Territory

Archives

#### **Policy**

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

*Entry* 2.9.1

#### **Description of Records**

Records documenting the development and establishment of Territory wide public service management policies that may be significant or controversial, such Industrial Relations policy. Includes: policy proposals, research papers, results of consultations, s **Disposal** Action

Retain as Territory Archives