

Australian Capital Territory

Territory Records (Records Disposal Schedule – Procurement Records) Approval 2006 (No 1)

Notifiable instrument NI2006—443

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 – Procurement Records) Approval 2006 (No 1)

2. Approval

I approve the Records Disposal Schedule – Procurement Records.

3. Commencement

This instrument commences on the day after notification.

David Wardle
Director of Territory Records
11 December 2006



Records Disposal Schedule Procurement Records

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INTRODUCTION

The *Records Disposal Schedule – Procurement Records* is the official authority for the disposal of records relating to Procurement 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 to be 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 Procurement Records created or maintained by ACT Government agencies.

SCOPE

This Records Disposal Schedule applies to all ACT Government agencies as defined in the Territory Records Act 2002.

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 – Procurement Records* has a hierarchical structure that reflects its arrangement according to functions and activities, rather than by subject, and its close relationship to

the Territory Version of Keyword AAA. The Records Disposal Schedule is designed to be applicable to all Procurement 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 – Procurement Records covers all Procurement records and:

- is intended to cover most Procurement records common to all ACT Government agencies;
- 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 and codes of practice are related to the records classes covered by this Records Disposal Schedule:

Government Procurement Act 2001

Limitation Act 1985

Territory Records Act 2002

and subordinate legislation.

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

PROCUREMENT

The function of managing the entire procurement process by which all classes of resources (human, material, facilities and services) are obtained generally for a specific program or project. Includes the activities of planning, design, standards determination, developing specifications, drawing up, issuing and receiving tenders, establishing Service Level Agreements and Memoranda of Understanding. Also includes providing advice, conducting supplier's audits, reporting on the performance of external service providers and suppliers, providing contract and risk management services, conducting post implementation reviews.

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 activities 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.

Audit

The activities 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 agency in a specified period. Includes compliance audits, financial audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

Committees

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

Construction

The process of making or building something.

Contract Services

The activities associated with the management of contract services including:

- The creation of a contract record;
- The electronic registration of the contract including the receipt and release of securities;
- Publication of the contract;
- Monitoring the currency of insurances and licences;
- Approval and processing of contract variations;
- Monitoring and managing contract performance; and
- Dispute resolution.

Enquiries

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

Joint ventures

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

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.

Prequalification

Prequalification is the initial phase of procurement in what is normally a two-stage process. The second stage is tendering. It includes the assessment of suppliers against a set of nationally agreed best practice benchmarks for supplier capacity and performance and facilitates procurement as well as expediting the tender review process and minimising the cost of tendering to industry and government.

Procedures

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

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.

Risk management

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

Standards

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

Submissions

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

Tendering Services

The activities involved in preparing tenders and procurement documentation; receiving and assessing tenders; of negotiating and finalising contract arrangements for the disposal of works, goods and services; and the determination of the sufficiency of the proposed tenderer's insurance cover and licences. Up to contract establishment by either the full execution of formal contract or by the transmission of a letter of acceptance.

Works as Executed

Activities relating to the preparation of final records (e.g. paper, electronic, film, etc.) for a constructed asset based upon the approved design drawings, as amended to reflect the actual constructed works.




RECORDS DISPOSAL SCHEDULE

PROCUREMENT

The function of managing the entire procurement process by which all classes of resources (human, material, facilities and services) are obtained generally for a specific program or project. Includes the activities of planning, design, standards determination, developing specifications, drawing up, issuing and receiving tenders, establishing Service Level Agreements and Memoranda of Understanding. Also includes providing advice, conducting supplier's audits, reporting on the performance of external service providers and suppliers, providing contract and risk management services, conducting post implementation reviews.

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>	<i>Description of Records</i>	<i>Disposal Action</i>
1.1.1 	Advice, that resulted in major changes to the organisation or management of Procurement programs. Includes advice provided by consultants.	Retain as Territory Archives
1.1.2 	Records documenting the receipt and provision of all other advice on Procurement. Includes advice provided by consultants.	Destroy 7 years after date of last action.
1.1.3 	Working papers documenting the development of advice on Procurement.	Destroy 2 years after date of last action.

PROCUREMENT

The function of managing the entire procurement process by which all classes of resources (human, material, facilities and services) are obtained generally for a specific program or project. Includes the activities of planning, design, standards determination, developing specifications, drawing up, issuing and receiving tenders, establishing Service Level Agreements and Memoranda of Understanding. Also includes providing advice, conducting supplier's audits, reporting on the performance of external service providers and suppliers, providing contract and risk management services, conducting post implementation reviews.

Agreements

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



<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.2.1 	Final version of significant agreements with government bodies or private organisations with implications for major liabilities or obligations.	Retain as Territory Archives
1.2.2 	Negotiations, establishment, maintenance and review of significant agreements.	Retain as Territory Archives
1.2.3 	Final version of other agreements.	Destroy 7 years after completion or other termination of agreement or contract
1.2.4 	Negotiations, establishment, maintenance and review of other agreements.	Destroy 7 years after completion or other termination of agreement or contract

PROCUREMENT

The function of managing the entire procurement process by which all classes of resources (human, material, facilities and services) are obtained generally for a specific program or project. Includes the activities of planning, design, standards determination, developing specifications, drawing up, issuing and receiving tenders, establishing Service Level Agreements and Memoranda of Understanding. Also includes providing advice, conducting supplier's audits, reporting on the performance of external service providers and suppliers, providing contract and risk management services, conducting post implementation reviews.

Authorisation

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



<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.3.1 	Delegations of powers to agency staff to authorise administrative action relating to procurement.	Destroy 7 years after delegation expires
1.3.2 	Requests and approvals for actions related to procurement. Includes permission for negotiating with vendors and suppliers.	Destroy 7 years after last action

PROCUREMENT

The function of managing the entire procurement process by which all classes of resources (human, material, facilities and services) are obtained generally for a specific program or project. Includes the activities of planning, design, standards determination, developing specifications, drawing up, issuing and receiving tenders, establishing Service Level Agreements and Memoranda of Understanding. Also includes providing advice, conducting supplier's audits, reporting on the performance of external service providers and suppliers, providing contract and risk management services, conducting post implementation reviews.

Committees

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

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.4.1 	External committees formed to manage or advise. Includes finals of documents: <ul style="list-style-type: none">• Establishing the committee• Terms of reference• Appointment of members• Minutes• Reports• Recommendations• Supporting documents such as briefing and discussion papers.	Retain as Territory Archives
1.4.2 	Internal committees formed to manage or advise. Includes final of documents: <ul style="list-style-type: none">• Agenda• Notice of meetings• Draft minutes• Room bookings	Destroy 6 months after last action


PROCUREMENT

The function of managing the entire procurement process by which all classes of resources (human, material, facilities and services) are obtained generally for a specific program or project. Includes the activities of planning, design, standards determination, developing specifications, drawing up, issuing and receiving tenders, establishing Service Level Agreements and Memoranda of Understanding. Also includes providing advice, conducting supplier's audits, reporting on the performance of external service providers and suppliers, providing contract and risk management services, conducting post implementation reviews.

Construction

The process of making or building something.

For tendering of work to support construction activities, use PROPERTY MANAGEMENT – Tendering. For managing the performance of contracted-out services to support the construction process, use PROPERTY MANAGEMENT – Contracting-out. For the planning of construction programs, use PROPERTY MANAGEMENT – Planning. For submissions to Cabinet seeking support for construction projects, use GOVERNMENT RELATIONS – Submissions, use GOVERNMENT RELATIONS – Submissions. Use ROADS MANAGEMENT – Construction for the making of roads. Use TRAFFIC & TRANSPORT for the function of developing policy and planning for transport infrastructure and the efficient movement of parking of traffic.

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.5.1 	Records relating to the construction details of infrastructure and capital works necessary for procurement. Includes works with heritage or territory significance. For tendering of work to support construction activities, use PROPERTY MANAGEMENT – Tendering. For managing the performance of contracted-out services to support the construction process, use PROPERTY MANAGEMENT – Contracting-out For the planning of construction programs, use PROPERTY MANAGEMENT – Planning. For submissions to Cabinet seeking support for construction projects, use GOVERNMENT RELATIONS – Submissions. Use ROADS MANAGEMENT – Construction for the making of roads - Use TRAFFIC & TRANSPORT for the function of developing policy and planning for transport infrastructure and the efficient movement and parking of traffic	Retain as Territory Archives


PROCUREMENT

The function of managing the entire procurement process by which all classes of resources (human, material, facilities and services) are obtained generally for a specific program or project. Includes the activities of planning, design, standards determination, developing specifications, drawing up, issuing and receiving tenders, establishing Service Level Agreements and Memoranda of Understanding. Also includes providing advice, conducting supplier's audits, reporting on the performance of external service providers and suppliers, providing contract and risk management services, conducting post implementation reviews.

Contract Services


The activities associated with the management of contract services including:

- The creation of a contract record;
- The electronic registration of the contract including the receipt and release of securities;
- Publication of the contract;
- Monitoring the currency of insurances and licences;
- Approval and processing of contract variations;
- Monitoring and managing contract performance; and
- Dispute resolution.

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.6.1 	Records documenting contract services processes and activities.	Retain as Territory Archives

Enquiries

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



<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.7.1 	Records documenting the handling of external agency enquiries about the function and its associated programs, products and services.	Destroy 2 years after last action.

PROCUREMENT

The function of managing the entire procurement process by which all classes of resources (human, material, facilities and services) are obtained generally for a specific program or project. Includes the activities of planning, design, standards determination, developing specifications, drawing up, issuing and receiving tenders, establishing Service Level Agreements and Memoranda of Understanding. Also includes providing advice, conducting supplier's audits, reporting on the performance of external service providers and suppliers, providing contract and risk management services, conducting post implementation reviews.

Joint ventures

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




<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.8.1 	Final signed version of joint venture agreements or contracts of major significance to the agency. Includes those with implications for major liabilities or obligations for the agency.	Retain as Territory Archives
1.8.2 	Working papers relating to the establishment, negotiations and management of joint venture agreements or contracts.	Destroy 7 years after termination of agreement or contract.

PROCUREMENT

The function of managing the entire procurement process by which all classes of resources (human, material, facilities and services) are obtained generally for a specific program or project. Includes the activities of planning, design, standards determination, developing specifications, drawing up, issuing and receiving tenders, establishing Service Level Agreements and Memoranda of Understanding. Also includes providing advice, conducting supplier's audits, reporting on the performance of external service providers and suppliers, providing contract and risk management services, conducting post implementation reviews.

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>	<i>Description of Records</i>	<i>Disposal Action</i>
1.9.1 	Final version of plans for major projects, programs or operational activities.	Retain as Territory Archives
1.9.2 	Final version of plans for other projects, programs and operational activities.	Destroy 5 years after date of last action.
1.9.3 	Working papers used to develop plans for projects, programs and operational activities. Includes <ul style="list-style-type: none">• Draft plans,• Reports analysing issues, and• Comments on draft plans.	Destroy 1 year after adoption of final plan

PROCUREMENT

The function of managing the entire procurement process by which all classes of resources (human, material, facilities and services) are obtained generally for a specific program or project. Includes the activities of planning, design, standards determination, developing specifications, drawing up, issuing and receiving tenders, establishing Service Level Agreements and Memoranda of Understanding. Also includes providing advice, conducting supplier's audits, reporting on the performance of external service providers and suppliers, providing contract and risk management services, conducting post implementation reviews.

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>	<i>Description of Records</i>	<i>Disposal Action</i>
1.10.1 	Final version of policies.	Retain as Territory Archives
1.10.2 	Development and establishment of agency's policies. Includes: <ul style="list-style-type: none">- Policy proposals;- Research papers;- Results of consultations and comments on proposals;- Supporting reports; and- Major drafts.	Destroy 5 years after policy is superseded
1.10.3 	Comments made on the development of policies.	Destroy 3 years after the promulgation of the new policy
1.10.4 	Working papers documenting the development of policies	Destroy 3 years after the promulgation of the new policy

PROCUREMENT

The function of managing the entire procurement process by which all classes of resources (human, material, facilities and services) are obtained generally for a specific program or project. Includes the activities of planning, design, standards determination, developing specifications, drawing up, issuing and receiving tenders, establishing Service Level Agreements and Memoranda of Understanding. Also includes providing advice, conducting supplier's audits, reporting on the performance of external service providers and suppliers, providing contract and risk management services, conducting post implementation reviews.

Prequalification

Prequalification is the initial phase of procurement in what is normally a two-stage process. The second stage is tendering. It includes the assessment of suppliers against a set of nationally agreed best practice benchmarks for supplier capacity and performance and facilitates procurement as well as expediting the tender review process and minimising the cost of tendering to industry and government.



<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.11.1 	Records relating to the determination of specific financial limits, financial assessments and technical capacitor past performance history or suppliers.	Destroy 7 years after last action
1.11.2 	Records relating to cyclical review and renewal of prequalification. Includes audits for compliance, either by third party auditors or ACT Government accredited second party auditors.	Destroy 7 years after last action
1.11.3 	Records relating to suppliers that demonstrate that they have the technical and financial capacity to undertake works, as well as having appropriate management systems in place such as quality assurance, occupational health and safety and rehabilitation, environmental and industrial relation. Also includes checks of insurances, licences and mandatory qualifications.	Destroy 7 years after last action

PROCUREMENT

The function of managing the entire procurement process by which all classes of resources (human, material, facilities and services) are obtained generally for a specific program or project. Includes the activities of planning, design, standards determination, developing specifications, drawing up, issuing and receiving tenders, establishing Service Level Agreements and Memoranda of Understanding. Also includes providing advice, conducting supplier's audits, reporting on the performance of external service providers and suppliers, providing contract and risk management services, conducting post implementation reviews.




Procedures

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

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.12.1 	Master set of agency manuals, handbooks, and directives etc detailing procedures.	Retain as Territory Archives
1.12.2 	Records documenting the development of agency procedures.	Destroy 2 years after last action

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>	<i>Description of Records</i>	<i>Disposal Action</i>
1.13.1 	Final version of internal formal reports and reports made to external agencies.	Destroy 5 years after last action
1.13.2 	Final version of periodic internal reports used to monitor and document recurring activities to support Procurement. Includes the collection and reporting of statistical information.	Destroy 3 years after last action
1.13.3 	Responses to surveys.	Destroy 6 months after last action

PROCUREMENT

The function of managing the entire procurement process by which all classes of resources (human, material, facilities and services) are obtained generally for a specific program or project. Includes the activities of planning, design, standards determination, developing specifications, drawing up, issuing and receiving tenders, establishing Service Level Agreements and Memoranda of Understanding. Also includes providing advice, conducting supplier's audits, reporting on the performance of external service providers and suppliers, providing contract and risk management services, conducting post implementation reviews.



Risk Management

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

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.14.1 	Procurement risk register. Use PROPERTY MANAGEMENT – Risk register for risk register for property.	Retain as Territory Archives
1.14.2 	Records documenting risk management including each stage of the process, risk assessments, treatment schedules and action plans. Includes risk assessment reports. Use PROCUREMENT – Prequalification for risk assessment of high risk industries in the tender process	Destroy 7 years after date of next risk assessment

Standards

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




<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.15.1 	Records documenting the development of standards for procurement.	Retain as Territory Archives
1.15.2 	Records documenting the implementation of industry and agency standards to support the procurement function.	Destroy 5 years after standard is replaced.

PROCUREMENT

The function of managing the entire procurement process by which all classes of resources (human, material, facilities and services) are obtained generally for a specific program or project. Includes the activities of planning, design, standards determination, developing specifications, drawing up, issuing and receiving tenders, establishing Service Level Agreements and Memoranda of Understanding. Also includes providing advice, conducting supplier's audits, reporting on the performance of external service providers and suppliers, providing contract and risk management services, conducting post implementation reviews.

Submissions

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


<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.16.1 	Final version of successful agency submissions.	Retain as Territory Archives
1.16.2 	Final version of unsuccessful agency submissions.	Destroy 3 years after action completed
1.16.3 	Working papers documenting the development of submissions. Includes draft submissions.	Destroy 6 months after date of last action.

PROCUREMENT

The function of managing the entire procurement process by which all classes of resources (human, material, facilities and services) are obtained generally for a specific program or project. Includes the activities of planning, design, standards determination, developing specifications, drawing up, issuing and receiving tenders, establishing Service Level Agreements and Memoranda of Understanding. Also includes providing advice, conducting supplier's audits, reporting on the performance of external service providers and suppliers, providing contract and risk management services, conducting post implementation reviews.

Tendering Services

The activities involved in preparing tenders and procurement documentation; receiving and assessing tenders; of negotiating and finalising contract arrangements for the disposal of works, goods and services; and the determination of the sufficiency of the proposed tenderer's insurance cover and licences. Up to contract establishment by either the full execution of formal contract or by the transmission of a letter of acceptance.



<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.17.1 	Records documenting the development and issue of tender documentation. Includes: <ul style="list-style-type: none">• Statement of requirements• Request for proposals• Expression of interest• Request for tender• Draft contract	Destroy 7 years after tender process is completed

PROCUREMENT

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Works as Executed

Activities relating to the preparation of final records (e.g. paper, electronic file, etc) for a constructed asset based upon the approved design drawings, as amended to reflect the actual constructed works.

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.18.1 	Records relating to the final as built structure, including: <ul style="list-style-type: none">• Construction briefs; and• Approved plans, schematics and drawings associated with the construction	Retain as Territory Archives
1.18.2 	Heritage structures – records relating to the final as built structures, including: <ul style="list-style-type: none">• Construction briefs;• Approved plans, schematics and drawings associated with the construction; and• Practical completion, design and final certificates.	Retain as Territory Archives

CLASSES FOR RETENTION AS TERRITORY ARCHIVES


Classes for Retention as Territory Archives

PROCUREMENT

The function of managing the entire procurement process by which all classes of resources (human, material, facilities and services) are obtained generally for a specific program or project. Includes the activities of planning, design, standards determination, developing specifications, drawing up, issuing and receiving tenders, establishing Service Level Agreements and Memoranda of Understanding. Also includes providing advice, conducting supplier's audits, reporting on the performance of external service providers and suppliers, providing contract and risk management services, conducting post implementation reviews.



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>	<i>Description of Records</i>	<i>Disposal Action</i>
1.1.1 	Advice, that resulted in major changes to the organisation or management of Procurement programs. Includes advice provided by consultants.	Retain as Territory Archives

Agreements

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


<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.2.1 	Final version of significant agreements with government bodies or private organisations with implications for major liabilities or obligations.	Retain as Territory Archives
1.2.2 	Negotiations, establishment, maintenance and review of significant agreements.	Retain as Territory Archives

Classes for Retention as Territory Archives
PROCUREMENT

The function of managing the entire procurement process by which all classes of resources (human, material, facilities and services) are obtained generally for a specific program or project. Includes the activities of planning, design, standards determination, developing specifications, drawing up, issuing and receiving tenders, establishing Service Level Agreements and Memoranda of Understanding. Also includes providing advice, conducting supplier's audits, reporting on the performance of external service providers and suppliers, providing contract and risk management services, conducting post implementation reviews.

Committees

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

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.4.1 	External committees formed to manage or advise. Includes finals of documents: <ul style="list-style-type: none">• Establishing the committee• Terms of reference• Appointment of members• Minutes• Reports• Recommendations• Supporting documents such as briefing and discussion papers.	Retain as Territory Archives

Classes for Retention as Territory Archives


PROCUREMENT

The function of managing the entire procurement process by which all classes of resources (human, material, facilities and services) are obtained generally for a specific program or project. Includes the activities of planning, design, standards determination, developing specifications, drawing up, issuing and receiving tenders, establishing Service Level Agreements and Memoranda of Understanding. Also includes providing advice, conducting supplier's audits, reporting on the performance of external service providers and suppliers, providing contract and risk management services, conducting post implementation reviews.

Construction

The process of making or building something.

For tendering of work to support construction activities, use PROPERTY MANAGEMENT – Tendering. For managing the performance of contracted-out services to support the construction process, use PROPERTY MANAGEMENT – Contracting-out. For the planning of construction programs, use PROPERTY MANAGEMENT – Planning. For submissions to Cabinet seeking support for construction projects, use GOVERNMENT RELATIONS – Submissions, use GOVERNMENT RELATIONS – Submissions. Use ROADS MANAGEMENT – Construction for the making of roads. Use TRAFFIC & TRANSPORT for the function of developing policy and planning for transport infrastructure and the efficient movement of parking of traffic.

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.5.1 	Records relating to the construction details of infrastructure and capital works necessary for procurement. Includes works with heritage or territory significance. For tendering of work to support construction activities, use PROPERTY MANAGEMENT – Tendering. For managing the performance of contracted-out services to support the construction process, use PROPERTY MANAGEMENT – Contracting-out For the planning of construction programs, use PROPERTY MANAGEMENT – Planning. For submissions to Cabinet seeking support for construction projects, use GOVERNMENT RELATIONS – Submissions. Use ROADS MANAGEMENT – Construction for the making of roads - Use TRAFFIC & TRANSPORT for the function of developing policy and planning for transport infrastructure and the efficient movement and parking of traffic	Retain as Territory Archives


Classes for Retention as Territory Archives
PROCUREMENT

The function of managing the entire procurement process by which all classes of resources (human, material, facilities and services) are obtained generally for a specific program or project. Includes the activities of planning, design, standards determination, developing specifications, drawing up, issuing and receiving tenders, establishing Service Level Agreements and Memoranda of Understanding. Also includes providing advice, conducting supplier's audits, reporting on the performance of external service providers and suppliers, providing contract and risk management services, conducting post implementation reviews.

Contract Services

The activities associated with the management of contract services including:

- The creation of a contract record;
- The electronic registration of the contract including the receipt and release of securities;
- Publication of the contract;
- Monitoring the currency of insurances and licences;
- Approval and processing of contract variations;
- Monitoring and managing contract performance; and
- Dispute resolution.


<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.6.1 	Records documenting contract services processes and activities.	Retain as Territory Archives

Classes for Retention as Territory Archives
PROCUREMENT

The function of managing the entire procurement process by which all classes of resources (human, material, facilities and services) are obtained generally for a specific program or project. Includes the activities of planning, design, standards determination, developing specifications, drawing up, issuing and receiving tenders, establishing Service Level Agreements and Memoranda of Understanding. Also includes providing advice, conducting supplier's audits, reporting on the performance of external service providers and suppliers, providing contract and risk management services, conducting post implementation reviews.


Joint ventures

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

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.8.1 	Final signed version of joint venture agreements or contracts of major significance to the agency. Includes those with implications for major liabilities or obligations for the agency.	Retain as Territory Archives

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>	<i>Description of Records</i>	<i>Disposal Action</i>
1.9.1 	Final version of plans for major projects, programs or operational activities.	Retain as Territory Archives

Classes for Retention as Territory Archives

PROCUREMENT

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Policy

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

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.10.1 	Final version of policies.	Retain as Territory Archives


Procedures

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

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.12.1 	Master set of agency manuals, handbooks, and directives etc detailing procedures.	Retain as Territory Archives

Risk Management

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

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.14.1 	Procurement risk register. Use PROPERTY MANAGEMENT – Risk register for risk register for property.	Retain as Territory Archives


Classes for Retention as Territory Archives

PROCUREMENT

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Standards

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

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.15.1 	Records documenting the development of standards for procurement.	Retain as Territory Archives

Submissions

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

<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.16.1 	Final version of successful agency submissions.	Retain as Territory Archives



Classes for Retention as Territory Archives

PROCUREMENT

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<i>Entry</i>	<i>Description of Records</i>	<i>Disposal Action</i>
1.18.1 	Records relating to the final as built structure, including: <ul style="list-style-type: none">• Construction briefs; and• Approved plans, schematics and drawings associated with the construction	Retain as Territory Archives
1.18.2 	Heritage structures – records relating to the final as built structures, including: <ul style="list-style-type: none">• Construction briefs;• Approved plans, schematics and drawings associated with the construction; and• Practical completion, design and final certificates.	Retain as Territory Archives