Territory Records (Records Disposal Schedule – Procurement Records) Approval 2007 (No 1)

Notifiable instrument NI2007—312

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 2007 (No 1)

2. Approval

I approve the Records Disposal Schedule – Procurement Records.

3. Commencement

This instrument commences on the day after notification.

4. Revocation

I revoke Notifiable Instrument NI 2006–443 notified 13 December 2006.

David Wardle Director of Territory Records 4 October 2007



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 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 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 - Procurement 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 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;
- 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;
- 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:

Government Procurement Act 2001 Limitation Act 1985 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 – Procurement Records September 07

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.

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BUSINESS CLASSIFICATION SCHEME

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 005

The activities associated with offering opinions by or to the agency as to an action or judgement. Includes the process of advising. [TARDiS]

Agreements 006

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

Audit 013

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

Authorisation 014

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

Committees 020

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. [TARDiS]

Construction 024

The process of making or building something. [TARDiS]

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 322

Contract management 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;
- dispute resolution.

Tip. for all matters relating to the establishment of the contract see Tendering Services.

Enquiries 040

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

Joint Ventures 062

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. Also includes private sector ventures with public sector organisations, and co-research or collaboration between interdepartmental units, departments or agencies. [TARDiS]

Planning 079

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

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 080

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. [TARDiS]

Prequalification 323

Prequalification is the initial phase of procurement in what is normally a two stage process. The second stage is tendering.

Prequalification is the assessment of suppliers against a set of nationally agreed best practice benchmarks for supplier capacity and performance. It facilitates industry development as well as expediting the tender review process and minimising the cost of tendering to industry and government. It is a recognised risk management approach to sorting suppliers.

Use PROCUREMENT - Risk management for managing other risks

Procedures 082

Standard methods of operating laid down by the agency according to formulated policy. [TARDiS]

Reporting 088

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. [TARDiS]

Risk management 095

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

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.

Standards 100

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

Submissions 102

The preparation and submission of a formal statement (e.g. 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. [TARDiS]

Tendering services 324

The activities involved in preparing tenders and procurement documentation up to contract establishment by either the full execution of formal contract, or by the transmission of a letter of acceptance.

Works As Executed (WAE) 325

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.

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RECORDS DISPOSAL SCHEDULE

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 005

The activities associated with offering opinions by or to the agency as to an action or judgement. Includes the process of advising. [TARDiS]

Entry No. 153.005.001	Description of Records Advice, that resulted in major changes to the organisation or management of Procurement programs. Includes advice provided by consultants.	Disposal Action Retain as Territory Archives
153.005.002	Records documenting the receipt and provision of all other advice on Procurement. Includes advice provided by consultants.	Destroy 7 years after action completed
153.005.003	Working papers documenting the development of advice on Procurement.	Destroy 2 years after action completed

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 006

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

Entry No.	Description of Records	Disposal Action
153.006.001	Final version of significant agreements with government bodies or private organisations with implications for major liabilities or obligations.	Retain as Territory Archives
153.006.002	Negotiations, establishment, maintenance and review of significant agreements.	Retain as Territory Archives
153.006.003	Final version of other agreements.	Destroy 7 years after completion or other termination of agreement or contract
153.006.004	Negotiations, establishment, maintenance and review of other agreements.	Destroy 7 years after completion or other termination of agreement or contract

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.

Audit 013

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

Entry No.	Description of Records	Disposal Action
153.013.001	Final report of an external audit (e.g. conducted by an external authority such as the ACT Auditor General's Office) where: - The audit report is qualified by the auditor; or - There are major or significant changes to practices.	Retain as Territory Archives
153.013.002	Final report of an internal or external audit (e.g. conducted by an external authority such as the ACT Auditor General's Office) where: - The audit report has been accepted by auditor; or - There are no changes or only minor or routine changes to practices. Includes recommendations and implementation plans.	Destroy 10 years after action completed
153.013.003	Planning and conduct of internal and external audits.	Destroy 7 years after action completed

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 014

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

Entry No.	Description of Records	Disposal Action
153.014.001	Delegations of powers to agency staff to authorise administrative action relating to procurement.	Destroy 7 years after delegation expires
153.014.002	Requests and approvals for actions related to procurement. Includes permission for negotiating with vendors and suppliers.	Destroy 7 years after action completed

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 020

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. [TARDiS]

Entry No.	Description of Records	Disposal Action
153.020.001	External committees formed to manage or advise. Includes finals of documents: - Establishing the committee - Terms of reference - Appointment of members - Minutes - Reports - Recommendations - Supporting documents such as briefing and discussion papers.	Retain as Territory Archives
153.020.002	Internal committees formed to manage or advise. Includes final of documents: - Agenda - Notice of meetings - Draft minutes - Room bookings	Destroy 6 months after action completed

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 024

The process of making or building something. [TARDiS]

Entry No. 153.024.001

Description of Records

Records relating to the construction details of Retain as Territory infrastructure and capital works necessary for procurement. Includes works with heritage or territory significance.

Archives

Disposal Action

For tendering of work to support construction activities, use PROPERTY MANAGEMENT - Tendering.

For managing the performance of contractedout 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

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 322

Contract management 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;
- dispute resolution.

Tip. for all matters relating to the establishment of the contract see Tendering Services.

Entry No.	Description of Records	Disposal Action
153.322.001	Records documenting contract services	Retain as Territory
	processes and activities.	Archives

Enquiries 040

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

Entry No.	Description of Records	Disposal Action
153.040.001	Records documenting the handling of external	Destroy 2 years after
	agency enquiries about the function and its	action completed
	associated programs, products and services.	

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 062

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. Also includes private sector ventures with public sector organisations, and co-research or collaboration between inter-departmental units, departments or agencies. [TARDiS]

Entry No. 153.062.001	Description of Records Final signed version of joint venture agreements and working papers relating to the establishment and management of agreements or contracts of major significance to the agency. Includes those with implications for major liabilities or obligations for the agency.	Disposal Action Retain as Territory Archives
153.062.002	Working papers relating to the establishment, negotiations and management of other joint venture agreements or contracts.	Destroy 7 years after termination of agreement or contract

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 079

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

Entry No. 153.079.001	Description of Records Final version of plans for major projects, programs or operational activities.	Disposal Action Retain as Territory Archives
153.079.002	Final version of plans for other projects, programs and operational activities.	Destroy 5 years after action completed
153.079.003	Working papers used to develop plans for projects, programs and operational activities. Includes: - Draft plans; - Reports analysing issues; and - Comments on draft plans.	Destroy 1 year after adoption of final plan

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 080

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. [TARDiS]

Entry No. 153.080.001	Description of Records Final version of policies.	Disposal Action Retain as Territory Archives
153.080.002	Development and establishment of agency's policies. Includes: -Policy proposals; -Research papers; -Results of consultations and comments on proposals; -Supporting reports; and -Major drafts.	Destroy 5 years after policy is superseded
153.080.003	Comments made on the development of policies.	Destroy 3 years after promulgation of new policy
153.080.004	Working papers documenting the development of policies	t Destroy 3 years after promulgation of new policy

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 323

Prequalification is the initial phase of procurement in what is normally a two stage process. The second stage is tendering.

Prequalification is the assessment of suppliers against a set of nationally agreed best practice benchmarks for supplier capacity and performance. It facilitates industry development as well as expediting the tender review process and minimising the cost of tendering to industry and government. It is a recognised risk management approach to sorting suppliers.

Use PROCUREMENT - Risk management for managing other risks

Entry No.	Description of Records	Disposal Action
153.323.001	Records relating to the determination of specific financial limits, financial assessments and technical capacitor past performance history or suppliers.	Destroy 7 years after date of last action
153.323.002	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 date of last action
153.323.003	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 safety and rehabilitation, environmental and industrial relation. Also includes checks of insurances, licences and mandatory qualifications.	date of last action

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 082

Standard methods of operating laid down by the agency according to formulated policy. [TARDiS]

Entry No.	Description of Records	Disposal Action
153.082.001	Master set of agency manuals, handbooks, directives, etc. detailing procedures.	Retain as Territory Archives
153.082.002	Records documenting the development of agency procedures.	Destroy 2 years after action completed

Reporting 088

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. [TARDiS]

Entry No. 153.088.001	Description of Records Final version of internal formal reports and reports made to external agencies.	Disposal Action Destroy 5 years after action completed
153.088.002	Final versions of periodic internal reports on general administrative matters used to monitor and document recurring activities to support the procurement function. Includes the collection and reporting of statistical information.	Destroy 3 years after action completed
153.088.003	Responses to surveys.	Destroy 6 months after last action.

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 095

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

Entry No. 153.095.001	Description of Records Procurement risk register. Use PROPERTY MANAGEMENT - Risk register for risk register for property.	Disposal Action Retain as Territory Archives
153.095.002	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 100

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

Entry No.	Description of Records	Disposal Action
153.100.001	Records documenting the development of standards for procurement.	Retain as Territory Archives
153.100.002	Records documenting the implementation of industry and agency standards to support the procurement function.	Destroy 5 years after standard is replaced

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 102

The preparation and submission of a formal statement (e.g. 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. [TARDiS]

Entry No.	Description of Records	Disposal Action
153.102.001	Final version of successful agency submissions.	Retain as Territory Archives
153.102.002	Final version of unsuccessful agency submissions.	Destroy 3 years after action completed
153.102.003	Working papers documenting the development of agency submissions. Includes draft submissions.	Destroy 6 months after last date of action

Tendering services 324

The activities involved in preparing tenders and procurement documentation up to contract establishment by either the full execution of formal contract, or by the transmission of a letter of acceptance.

Entry No.	Description of Records	Disposal Action
153.324.001	Records documenting the development and issue of tender documentation. Includes: - statement of requirements - request for proposals - expression of interest - request for tender - draft contract	Destroy 7 years after tender process is completed

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.

Works As Executed (WAE) 325

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.

Entry No.	Description of Records	Disposal Action
153.325.001	Records relating to the final as built structure, including: -Construction briefs; and -Approved plans, schematics and drawings associated with the construction	Retain as Territory Archives
153.325.002	Heritage Structures - records relating to the final as built structures, including: -Construction briefs; -Approved plans, schematics and drawings associated with the construction; and -Practical completion, design and final certificates.	Retain as Territory Archives

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RETAIN AS TERRITORY ARCHIVES

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 005

The activities associated with offering opinions by or to the agency as to an action or judgement. Includes the process of advising. [TARDiS]

Entry No.	Description of Records	Disposal Action
153.005.001	Advice, that resulted in major changes to the organisation or management of Procurement programs. Includes advice provided by consultants.	Retain as Territory Archives

Agreements 006

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

Entry No.	Description of Records	Disposal Action
153.006.001	Final version of significant agreements with government bodies or private organisations with implications for major liabilities or obligations.	Retain as Territory Archives
153.006.002	Negotiations, establishment, maintenance and review of significant agreements.	Retain as Territory Archives

PROCUREMENT 153

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.

Audit 013

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

Entry No. 153.013.001

Description of Records

Disposal Action

Final report of an external audit (e.g. Retain as Territory conducted by an external authority such as the Archives ACT Auditor General's Office) where:

- The audit report is qualified by the auditor;
- There are major or significant changes to practices.

PROCUREMENT 153

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 020

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. [TARDiS]

Entry No. 153.020.001

Description of Records

External committees formed to manage or advise. Includes finals of documents:

- Establishing the committee
- Terms of reference
- Appointment of members
- Minutes
- Reports
- Recommendations
- Supporting documents such as briefing and discussion papers.

Disposal Action

Retain as Territory Archives

PROCUREMENT 153

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 024

The process of making or building something. [TARDiS]

Entry No. 153.024.001

Description of Records

Records relating to the construction details of Retain as Territory infrastructure and capital works necessary for procurement. Includes works with heritage or territory significance.

Disposal Action

Archives

For tendering of work to support construction activities, use PROPERTY MANAGEMENT - Tendering.

For managing the performance of contractedout 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

PROCUREMENT 153

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 322

Contract management 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;
- dispute resolution.

Tip. for all matters relating to the establishment of the contract see Tendering Services.

Entry No.	Description of Records	Disposal Action
153.322.001	Records documenting contract services	Retain as Territory
	processes and activities.	Archives

Joint Ventures 062

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. Also includes private sector ventures with public sector organisations, and co-research or collaboration between inter-departmental units, departments or agencies. [TARDiS]

Entry	, No.	Description of Records	Disposal Action
153.0	62.001	Final signed version of joint venture	Retain as Territory
		agreements and working papers relating to the	Archives
		establishment and management of agreements	
		or contracts of major significance to the	
		agency. Includes those with implications for	
		major liabilities or obligations for the agency.	

PROCUREMENT 153

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 079

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

Entry No.	Description of Records	Disposal Action
153.079.001	Final version of plans for major projects,	Retain as Territory
	programs or operational activities.	Archives

Policy 080

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. [TARDiS]

Entry No.	Description of Records	Disposal Action
153.080.001	Final version of policies.	Retain as Territory
		Archives

Procedures 082

Standard methods of operating laid down by the agency according to formulated policy. [TARDiS]

Entry No. Description of Records		Disposal Action
153.082.001	Master set of agency manuals, handbooks,	Retain as Territory
	directives, etc. detailing procedures.	Archives

PROCUREMENT 153

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 095

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

Entry No.	Description of Records	Disposal Action
153.095.001	Procurement risk register. Use PROPERTY	Retain as Territory
	MANAGEMENT - Risk register for risk	Archives
	register for property.	

Standards 100

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

Entry No.	Description of Records	Disposal Action
153.100.001	Records documenting the development of	Retain as Territory
	standards for procurement.	Archives

Submissions 102

The preparation and submission of a formal statement (e.g. 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. [TARDiS]

Entry No.	Description of Records	Disposal Action
153.102.001	Final version of successful agency	Retain as Territory
	submissions.	Archives

PROCUREMENT 153

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.

Works As Executed (WAE) 325

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.

Entry No.	Description of Records	Disposal Action
153.325.001	Records relating to the final as built structure, including: -Construction briefs; and -Approved plans, schematics and drawings associated with the construction	Retain as Territory Archives
153.325.002	Heritage Structures - records relating to the final as built structures, including: -Construction briefs; -Approved plans, schematics and drawings associated with the construction; and -Practical completion, design and final certificates.	Retain as Territory Archives

SCHEDULE OF AMENDMENTS – this information is provided for the assistance of users but does not form part of the Notifiable Instrument.

Changes to NI2006-443	Dated	14/12/2006
New Features (Insertions)		

New Features (Insertions)			
FUNCTION	ACTIVITY	Entry no.	Description
Procurement 153	Audit 013	001-003	New activity

Enhancements (Changes)			
FUNCTION	ACTIVITY	Entry no.	Description
All	All	All	All Records Disposal Schedule entry numbers are being systematically changed to reflect the adoption of a new unique number for record disposal schedules. The changes facilitate barcode technology that may be adopted in the future. This update applies the new numbering system.
Procurement 153	Advice 005	153.005.002	Replaces 1.1.2
Procurement 153	Authorisation 014	153.014.002	Replaces 1.3.2
Procurement 153	Committees 020	153.020.002	Replaces 1.4.2
Procurement 153	Procedures 082	153.082.002	Replaces 1.12.2
Procurement 153	Reporting 088	153.088.001	Replaces 1.13.1
Procurement 153	Reporting 088	153.088.002	Replaces 1.13.2
Corrections (Deletions)			

Corrections	(Deletions)

FUNCTION	ACTIVITY	Entry no.	Description