Territory Records (Records Disposal Schedule – Territory Administrative Records Disposal Schedules – Equipment & Stores Records) Approval 2009 (No 1)

Notifiable instrument NI2009—436

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 – Territory Administrative Records Disposal Schedules – Equipment & Stores Records) Approval 2009 (No 1)

2. Approval

I approve the Records Disposal Schedule – Territory Administrative Records Disposal Schedules - Equipment & Stores Records.

3. Commencement

This instrument commences on the day after notification.

4. Revocation

I revoke Notifiable Instrument NI2003-262 notified 3 July 2003.

David Wardle Director of Territory Records 8 September 2009



TARDiS

Territory Administrative Records Disposal Schedules Equipment & Stores Records

Disposal schedules for records of common administrative functions linked to the Territory Version of Keyword AAA.

The Territory Records Office wishes to thank for their assistance, and acknowledge the permission of the National Archives of Australia in adapting the Commonwealth Administrative Functions Disposal Authority to create this document. The terms in the business classification scheme, taken from the *Territory Version of Keyword AAA* are produced under a licence agreement between the Territory Records Office and the State Records Authority of New South Wales.

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Background

The Territory Administrative Records Disposal Schedules (TARDiS) authorise the disposal of records, in whatever format, relating to common administrative functions carried out by most Territory agencies. The Schedules are issued in accordance with Section 19 of the *Territory Records Act 2002*. The Schedules have been developed using the methodologies of the Australian Standard AS ISO 15489, *Records Management*, and their functional structure is based on the business classification scheme *Keyword AAA: A Thesaurus of General Terms* produced by the State Records Authority of NSW. In 2001 the Territory Records Office purchased a whole-of-government licence for the Thesaurus for free distribution to all Territory agencies. The relationship between the Thesaurus and the Schedules is explained in this introduction.

In compliance with the requirements of the *Territory Records Act 2002*, the TARDiS was reviewed in 2008/2009 and modified to reflect the results of the review and to support the whole-of-government paradigm. Modifications were made to the business classification scheme, to better suit the Territory environment, by adding or removing functions and/or activities and varying scope notes of some activities and functions. The updated business classification scheme is presented at the end of this introduction.

Best Practice in Territory Recordkeeping

The Australian Standard on Records Management AS ISO 15489 has been adopted as the model for best practice recordkeeping. It promotes consistent management of records and sets out strategies, procedures and practices to ensure that records which provide evidence of business, legal and fiscal activities are captured and managed in an efficient and accountable manner. The Territory Records Office has produced guidelines and standards based on AS ISO 15489 to assist agencies to implement these recordkeeping strategies. While AS ISO 15489 provides a strategic direction in Territory recordkeeping, the *Territory Records Act 2002*, and other key pieces of legislation, provides a legal framework for consistent and accountable recordkeeping practices.

Territory records and the law

The *Territory Records Act 2002* applies to all records owned by the Territory. Territory records are defined in Section 9 of the *Territory Records Act 2002* as being:

'a record, in written, electronic or any other form, under the control of the 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 are created and kept as evidence of agencies functions, activities and transactions and can be stored and managed in any format (e.g. paper, video, photograph, microfilm, on computer). Under Section 23 (1) of the *Territory Records Act 2002* it is illegal to abandon or dispose of a record, transfer, damage a record or

neglect a record in a way that causes, or is likely to cause, damage to a Territory record. However, an agency does not contravene this section by doing:

- anything in accordance with the agency's normal administrative practice;
- anything authorised or required to be done under this Act, or a provision of another Act, or a subordinate law, prescribed under the regulations;
- anything with the written approval of the Director of Territory Records or in accordance with a practice or procedure approved by the Director;
- anything in accordance with a resolution of the Legislative Assembly; or
- anything in accordance with an order or decision of a court or tribunal

The *Territory Records Act 2002* also grants a right of free public access to records which survive for more than 20 years. Some records may not be open for public access if they contain material that is still sensitive. As well as the *Territory Records Act 2002*, other general legislation which also applies to keeping and using Territory records such as the *Freedom of Information Act 1989*. The access section of the *Territory Records Act 2002* came into affect on 1 July 2008.

The Freedom of Information Act 1989 provides a right of public access to, and correction of, Territory records. The Freedom of Information Act 1989 sets out procedures and principles controlling the granting of this access. It states when and how records may be made available, corrected, updated or annotated. If a request for access under the Freedom of Information Act 1989 has been lodged, all files relevant to the request must be identified and preserved until action on the request, and on any subsequent reviews, is completed.

Purpose and Scope of the Territory Administrative Records Disposal Schedules

Purpose

These Records Disposal Schedules allow the disposal of Territory records as required by Section 19 of the *Territory Records Act 2002* and are issued for use across the Territory.

Scope

These Records Disposal Schedules cover the records relating to the common administrative functions performed by the Territory and its agencies. It applies to all records regardless of format. It covers the following 16 common administrative functions, listed by their identifying number, based on the *Territory Version of Keyword AAA* business classification scheme:

- 1. COMMUNITY RELATIONS
- 2. COMPENSATION
- 3. EQUIPMENT & STORES
- 4. ESTABLISHMENT
- 5. FINANCIAL MANAGEMENT
- 6. FLEET MANAGEMENT
- 7. GOVERNMENT RELATIONS

- 8. INDUSTRIAL RELATIONS
- 9. INFORMATION MANAGEMENT
- 10. LEGAL SERVICES
- 11. OCCUPATIONAL HEALTH & SAFETY (OH&S)
- 12. PERSONNEL
- 13. PROPERTY MANAGEMENT
- 14. PUBLICATION
- 16. STRATEGIC MANAGEMENT
- 17. TECHNOLOGY & TELECOMMUNICATIONS

More information on the 16 common administrative functions and the activities which relate to them is provided in the section on the Business Classification Schemes.

Methodology

These Records Disposal Schedules were produced after a detailed analysis of each administrative function carried out in the Territory. This included examining relevant legislation, regulations and directives from agencies which have 'lead agency' responsibilities for administering functions across portfolios. Consultations with stakeholders assisted in identifying recordkeeping requirements and risk analysis was used to assess how long the records should be retained. The appraisal also identified which records should be "Retained as Territory Archives" based on the objectives and criteria set out in *Territory Records Office Standard for Records Management No.2 – Appraisal*.

Some functions and activities covered in these Records Disposal Schedules will also be part of an agency's core functions. In these circumstances agencies may use the Schedule whose functional term best describes their own administrative responsibility where it meets their business needs.

Records already sentenced under old disposal schedules

After 1 July 2003, sentencing activities undertaken by an agency must use these Records Disposal Schedules for disposing of all common administrative records. If records have already been sentenced for destruction before the issue of these Records Disposal Schedules, the sentences may remain and agencies need not re-sentence those records.

Agency Specific Records Disposal Schedules

Operational-specific Records Disposal Schedules must be developed for records relating to business activities carried out by agencies to support core functional responsibilities not covered by these Schedules.

Relationship of the Records Disposal Schedule to the Thesaurus

The whole-of-government functional analysis approach cuts across departments and organisational structures, with functions not just seen as belonging to those agencies and areas in an agency which may have prime responsibility for their administration. For example, training may be managed at an organisational level by the Human

Resource area of an agency, but it is probable that most business areas would carry out activities to support the planning of staff training and development requirements for their own employees. Other agencies may also have an operational responsibility to provide training and can use the activity term Training in their own classification schemes.

The outcome of the functional analysis is the business classification scheme which is hierarchical and based on the following three levels:

- 1. The business function.
- 2. The activities constituting the function.
- 3. Further refinements of the activities or groups of transactions which take place within each activity.

According to the classification model of the *Territory Version of Keyword AAA*:

- functions represent broad business functions of an agency;
- activity descriptors describe the more specific activities taking place within those functions; and
- subject descriptors are added as a means of describing the more specific subjects or topics relating to the matter to be documented within an activity

In these Records Disposal Schedules the first two levels of the *Territory Version of Keyword AAA* structure have been used: the function and activity levels. The records description covers the third level transactions if they have been identified in the analysis of the function. The class description comprises four components: the function and the activity with their scope notes, the description of the records and the disposal action.

Diagram 1 shows this relationship.

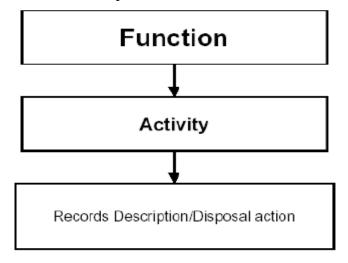


Diagram 1 – Class description

Diagram 2 shows the relationship between the different disposal classes. Each unique function/activity pair can have one or many records descriptions and disposal actions.

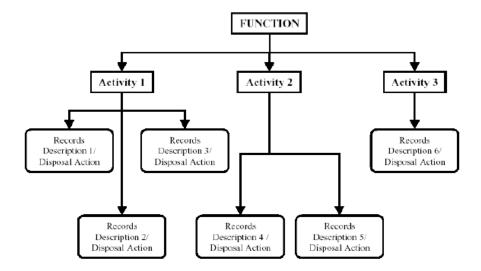


Diagram 2 - Model of disposal classes

Sometimes one class description can look the same as another but have a different retention period. This is because a record's value depends on the context of the functions and activity. For example, the activity 'Policy' in FLEET MANAGEMENT is less important than 'Policy' in STRATEGIC MANAGEMENT.

Layout of the schedules

These Records Disposal Schedules are divided into sections. They begin with an introduction incorporating a glossary and the business classification scheme. Then the function and activity disposal sets or 'disposal classes' relating to one of the 16 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. Specific directions relating to Territory use of a function have occasionally been added to the <i>Territory Version of Keyword AAA</i> scope note.
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 this activity. Activities can relate to many functions with the scope notes covering all of these relationships (e.g. the activity 'Distribution' is linked to the functions EQUIPMENT & STORES, INFORMATION MANAGEMENT and PUBLICATION). 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.
'For' Statements	'For' statements provide guidance on the inter-related links to other function and activity sets. 'For' statements positioned under the activity scope note belong to the particular function/activity set and all the records descriptions. The 'For' statements underneath a particular description relate to that record description alone.

How to Sentence Records Using the Schedules

Sentencing is the process of identifying and classifying records according to a Records Disposal Schedule and applying the disposal action specified in it. In Diagram 2 an overview is presented of sentencing procedures that can be used for:

- records titled using the Territory Version of Keyword AAA terms and sentenced from creation using this linked Territory Administrative Records Disposal Schedules;
- records titled using the *Territory Version of Keyword AAA* terms but not sentenced from creation; and
- records where the *Territory Version of Keyword AAA* terms have not been used

These Records Disposal Schedules can be used on all active and inactive records.

Sentencing from creation is the process of allocating a disposal action at the point of creating a record. This means adding the disposal class number to a paper file or to the metadata attached to an electronic record. If you plan to introduce sentencing from creation in your agency you will also need strategies to manage this process. For example, you will need to resolve who will be responsible for making the disposal decisions, either a central records management unit or action officers. If it is to be the individual action officers, the agency will need to consider training requirements and make sure that responsibilities are clearly defined and allocated. Training should include familiarisation with the scope notes of the 16 functions detailed in theses Schedules (see the Business Classification Schemes). Diagram 3 shows steps that can be followed to sentence all records using these Schedules.

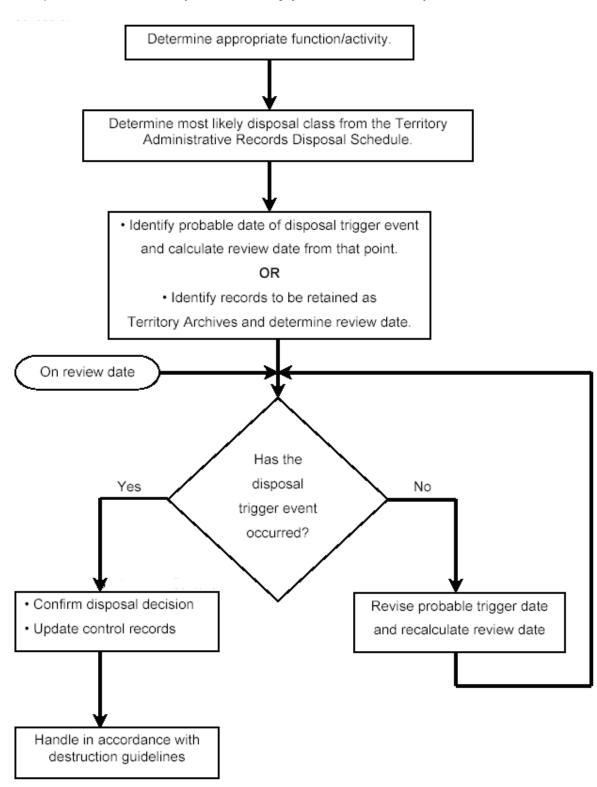


Diagram 3 - Procedures for Sentencing

Determine the appropriate administrative function/activity.

- Using the Territory Version of Keyword AAA and/or these Records Disposal Schedules, determine the appropriate administrative function and activity either to sentence a record from creation, or to link the terms to a record created not using these tools.
- **Read the scope notes thoroughly** rather than just depend on what is considered to be an appropriate term based on the title of the function and activity.
- Note that most activities are generic and can be linked to many functions, with
 the scope notes reflecting this multi-function relationship and functions providing
 the context of the activities. For example, the scope note for the activity
 'Arrangements' reads:

'The activities involved in arranging for a journey or trip or for the delivery of equipment or goods and the usage made of facilities, vehicles, equipment and space. Includes preparing travel itineraries, authorisations, entitlements, etc.'

This activity descriptor is linked to the functions COMMUNITY RELATIONS; EQUIPMENT AND STORES; FLEET MANAGEMENT; PERSONNEL and PROPERTY MANAGEMENT. The activity scope note uses words relating to the different aspects of each function.

- There are occasions when the activity scope note describes a transaction which is also raised to the level of an independent activity in the Business Classification Scheme. For example, the scope note for the activity 'Customer Service' reads 'The activities associated with the planning, monitoring and evaluation of services provided to customers by the agency' but Planning' and 'Evaluation' are also both separate activity terms in the scheme. In such instances the individual activities 'Planning' and 'Evaluation' should not be used for records documenting the 'Customer Service' activity. As a general rule, where there is overlap in activity boundaries, sentencing should be done on the whole activity rather than components of the activity scope.
- If records to be sentenced have not been titled using the *Territory Version of Keyword AAA* but an agency uses a classification scheme, then *a mapping exercise may assist in linking the agency's terms to the 16 functional terms*. For example, 'People Management' could be linked to 'Personnel Management'; and 'Human Resource Management' may be linked to 'PERSONNEL' 'and 'COMPENSATION'.
- Free text titling will usually have a word(s) that should give some indication of the function. For example, in the free text title 'Request for Purchase of Laptops', 'purchase' indicates the activity 'Acquisition' and 'laptops' the 'TECHNOLOGY' & TELECOMMUNICATIONS function.

Determine the most likely disposal class in the Territory Administrative Records Disposal Schedules

• Examine the activities and the classes available in the Schedules under the relevant function.

To assist with good file management, records documenting the same set of transactions have often been divided into two classes: the key documents, and the general working and administrative records. Often the two classes will have the same retention period, which indicates that the supporting documentation is expected to provide important contextual information to manage the business activity. In such instances it is still recommended that the records be kept on two files (either 'paper' files or electronic 'containers') to facilitate retrieval. If an agency decides to raise only one file containing all records, the highest retention period should be used. Agencies may also wish to place all records relating to a function/activity set on one file rather than break them into transaction sets reflected in the 'Description of Records'. Again, if this decision is made, the highest retention period should be allocated and the appropriate entry number used.

• In sentencing records not titled according to the *Territory Version of Keyword AAA*, or where the initial classification is no longer appropriate, many functions and activities may be found on the one record. In such instances records should not be culled or rearranged; rather, *nominate the highest retention period for all functions and activities included*.

Identify probable date of a disposal trigger event and calculate review date from that point. Or identify records to be retained as Territory Archives and determine a review date.

- A trigger is *the point from which the disposal action is calculated*.

 Some trigger dates may be easily identified (e.g. date of separation), but others will be more complex, and it may be necessary to consult the action area or creating officer for advice (e.g. 'destroy 5 years after policy is superseded' or 'destroy when action completed'). The consultation may provide you with a likely trigger date or assist with a risk assessment to determine a reasonable period. Some of the triggers in the Schedules include:
 - when action is completed
 - ♦ the last action
 - ♦ the last entry
 - the date the next risk assessment occurs
 - an event (e.g. when property is sold; when separation occurs)
- A review date should be added to the record and noted in the control system (e.g. TARDIS 017.010.004 R2013, to note that disposal class entry number TARDIS 017.010.004 has been allocated to this record and that it should be reviewed in 2013).

- Where sentencing is carried out from creation, an agency may choose to allocate a review period for all records and not attempt to determine a review date for each record at the time of creation (e.g. review all records after 5 years). In such cases the disposal class entry number (e.g. TARDiS 017.010.004 R2013) should be noted on the record and the control system.
- When the review is undertaken, the event or date the trigger is based on may have passed. If this has occurred, the disposal action may be implemented.
- For some inactive records this step may finalise the process, as the trigger date may have been met and the calculated disposal date passed. If this is the case then *the final disposal date can be entered on the record* and the control records (e.g. TARDiS 017.010.004 D2013 where D refers to the final disposal date).
- It should be noted that the retention periods in the Schedules are only minimum requirements.

If these periods are too short to meet an agency's particular business requirements, they should be adjusted accordingly.

On the review date, examine records asking the question: 'Has the disposal trigger event occurred?'

• For a sentence allocated from creation this may be some years hence, or it may be a shorter time frame for records already in existence.

If the answer is NO, revise probable trigger date and recalculate a review date

• If on review it is determined that the trigger point has not occurred, then the review date should be recalculated and altered on the record and control system.

If the answer is YES, confirm the disposal decision and update the control records

- If on review it is determined that the trigger point has been reached, *the disposal decision should be confirmed*, taking into account any change that may have occurred in the nature of the record since the allocation of the review date. The disposal date should then be entered on the record and in the control system (e.g. TARDIS 017.010.04, D2013). If the nature of the record has changed, *the record should be re-sentenced* with a new review date.
- Records which relate to any exempt clauses under Section 28 of the *Territory Records Act 2002*, or are subject to a request for access under the *Freedom of Information Act 1989*, the *Territory Records Act 2002* or any other Act should not be destroyed until the action has been completed.

Special notes to the schedules

Establishment and personnel records

A number of agencies manage their establishment structures and employ staff under their own enabling legislation rather than the *Public Sector Management Act 1994*. Such agencies are not excluded from using the sections of the Schedules relating to the ESTABLISHMENT and PERSONNEL functions, but before doing so should check their own enabling legislation and other regulatory directives for major variations in scope and requirements. In cases where the variations are great, these Schedules are not applicable. Coverage in such circumstances must be included under operational Records Disposal Schedules. Where there is doubt if these schedules cover ESTABLISHMENT or PERSONNEL records contact the Territory Records Office for advice.

Normal administrative practice (NAP)

Some records may be destroyed without records disposal coverage under the 'normal administrative practice' (NAP) provisions of the *Territory Records Act 2002*. Records can be disposed of as a normal administrative practice if they are:

- duplicate (e.g. an information copy)
- obviously unimportant (e.g. telephone message slips)
- of short term facilitative value (e.g. compliment slips)
- a combination of these

The guiding principle is that agencies should always be sure that destroying the record will not destroy evidence that might be needed. Records that have been captured into a recordkeeping system should not be destroyed as NAP unless the reason for their destruction is recorded in full on the relevant control records. NAP can apply to electronic records as well as paper records (e.g. information on word processing systems where a hard copy has been captured into a recordkeeping system). It is designed to allow for sensible business practices. Further information on NAP can be obtained from the *Territory Records Office Records Advice No.2- Normal administrative practice (NAP)*.

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BUSINESS CLASSIFICATION SCHEME

EQUIPMENT & STORES

The function of acquiring, supplying, maintaining, repairing and disposing of equipment and stores used by the agency. Items of equipment include instruments, implements, tools, machines, plant, furniture and furnishings. Stores include chemicals, hardware, homeware items, kitchen/cleaning items, medical supplies and stationery.

Acquisition

The process of gaining ownership or use of property and other items or the provision of services required in the conduct of business through purchase or requisitions.

Agreements

The processes associated with the establishment, maintenance, review and negotiation of agreements. Includes records associated with preparing agreements/contracts and settling those agreements/contracts. Includes contracts, memoranda of understanding (MOU), deeds, leases, licences and mortgages.

Allocation

The process of assigning of money, items, or equipment.

Arrangements

The activities involved in arranging for a journey or trip or for the delivery of equipment or goods and the usage made of facilities, vehicles, equipment and space. Includes preparing travel itineraries, authorisations, entitlements, etc.

Audit

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 an agency, company or other organisation in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

Authorisation

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

Claims

The process of administering and managing payments demanded in accordance with an insurance policy as compensation for injury, death, or denial of rights of a person, or damage to or destruction of property. Includes disputes over rights and ownership, and recompense sought for stolen or lost property.

Compliance

The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements. Includes compliance with legislation and with national and international standards, such as the ISO 9000 series.

Construction

The process of making or building something.

Contracting out

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

Disposal

The process of disposing of property no longer required by the agency, by sale, transfer, termination of lease, auction, donation or destruction. Includes destruction or transfer, and the program of activities to facilitate the orderly transfer of semi-active and inactive records from current office space into storage.

Distribution

The activities associated with disseminating items, correspondence or publications through sales, deliveries, or other customer services.

Evaluation

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

Inspections

The process of official examinations of facilities, equipment and items, to ensure compliance with agreed standards and objectives.

Installation

Activities involved in placing equipment in position and connecting and adjusting it for use.

Insurance

The process of taking out premiums to cover loss or damage to property or premises, and to cover customers and staff against injury or death resulting from incidents on the agency's premises or whilst engaged during employment.

Inventory

The activities associated with listing and preparing lists of items and assets in the possession of the agency.

Leasing

The activities involved in leasing items, equipment, accommodation, premises or real estate. Includes the process of chartering.

Leasing out

The activities involved in leasing-out items, equipment, accommodation, premises or real estate to another agency, organisation, group or person for a specified period and agreed price. Includes the formal documentation setting out conditions, rights, responsibilities, etc. of both parties. Also includes subleasing.

Maintenance

The activities associated with the upkeep, repair, servicing, modification and preservation of internal/external conditions of premises, equipment, vehicles etc.

Meetings

The activities associated with regular or ad hoc gatherings held to formulate, discuss, update or resolve issues and matters pertaining to the function. Includes staff meetings, arrangements, agenda, taking of minutes, etc. Excludes committee meetings.

Policy

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making.

Procedures

Standard methods of operating laid down by the 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, regulation, or legislation, e.g. Annual Report). Includes statistics and returns.

Reviewing

The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.

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.

Security

The activities associated with measures taken to protect people, premises, equipment or information from accidental or intentional damage or from unauthorised access. Includes the security classification of personnel and criminal record checks.

Stocktake

The activities associated with the examination, counting and valuing of goods with the view to reassessing the need for replacing those goods and to identify missing items and determine the condition of the existing items.

Tendering

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

Territory Administrative Records Disposal Schedules – Equipment & Stores Records July 2009

RECORDS DISPOSAL SCHEDULE

EQUIPMENT & STORES

The function of acquiring, supplying, maintaining, repairing and disposing of equipment and stores used by the agency. Items of equipment include instruments, implements, tools, machines, plant, furniture and furnishings. Stores include chemicals, hardware, homeware items, kitchen/cleaning items, medical supplies and stationery.

Acquisition

The process of gaining ownership or use of property and other items or the provision of services required in the conduct of business through purchase or requisitions.

[For the acquisition of equipment and stores through a tender process, use EQUIPMENT & STORES - Tendering.

For managing financial transactions supporting acquisition activities, use FINANCIAL MANAGEMENT - Accounting and/or FINANCIAL MANAGEMENT -Payments.

For entry of equipment and stores into the agency's Asset Register, use FINANCIAL MANAGEMENT - Asset Register.]

Entry No.
003.003.001

Description of Records

Records documenting the acquisition of equipment and stores where there is no tender or contracting-out process (i.e. where the cost of the acquisition is below the threshold for tendering or where a purchase is made against a period contract). Includes:

- formal requests for quotes
- orders
- handover reports
- correspondence relating to the acquisition.

[For the assessment of suitability of equipment and stores and the preparation of specifications, use EQUIPMENT & STORES - Evaluation.]

003.003.002 Investigations into acquisition of equipment and stores not proceeded with. action completed

Destroy 1 year after

Disposal Action

action completed

Destroy 7 years after

003.003.003 Information provided by vendors relating Destroy 6 months to equipment and stores.

after last action

Agreements

The processes associated with the establishment, maintenance, review and negotiation of agreements. Includes records associated with preparing agreements/contracts and settling those agreements/contracts. Includes contracts, memoranda of understanding (MOU), deeds, leases, licences and mortgages.

[For leasing of equipment and stores, use EQUIPMENT & STORES - Leasing and/or EQUIPMENT & STORES - Leasing out.]

Entry No.	Description of Records	Disposal Action
003.006.001	Final version of agreements with vendors or other agencies to provide equipment and stores (e.g. Memoranda of Understanding).	Destroy 7 years after expiry or other termination of agreement
003.006.002	Records documenting negotiations, establishment, maintenance and review of agreements.	Destroy 7 years after expiry or other termination of agreement

Allocation

The process of assigning of money, items, or equipment.

Entry No. 003.007.001	Description of Records Records held by the area responsible for the management of the function relating to the allocation of equipment or stores to individuals or organisational units. Includes requests for issue of equipment or stores.	Disposal Action Destroy 2 years after action completed
	[For the distribution of equipment and stores, use EQUIPMENT & STORES - Distribution.]	
003.007.002	Records held by the requesting area relating to the allocation of equipment or stores to individuals or organisational units.	Destroy 6 months after reference ceases

Arrangements

The activities involved in arranging for a journey or trip or for the delivery of equipment or goods and the usage made of facilities, vehicles, equipment and space. Includes preparing travel itineraries, authorisations, entitlements, etc.

[For arrangements for the removal and/or storage of personal effects, use PERSONNEL - Moving.]

Entry No.	Description of Records	Disposal Action
003.011.001	Records documenting the storage of hazardous equipment and stores (i.e. unused material) within an agency. Includes location management.	Destroy 5 years after action completed
	[For storage of hazardous waste prior to disposal, use PROPERTY MANAGEMENT - Maintenance.	
	For Hazardous Substance Register, use OCCUPATIONAL HEALTH & SAFETY - Compliance.]	
003.011.002	Records documenting arrangements for the delivery of equipment and stores to an agency.	Destroy 6 months after last action
	[For the dispatch of equipment or stores within an agency or from an agency, use EQUIPMENT & STORES - Distribution.]	
003.011.003	Records documenting the storage of equipment and stores (excluding hazardous materials) within an agency. Includes location management and stock control.	Destroy 6 months after last action

Audit

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 an agency, company or other organisation in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

Entry No. 003.013.001	Description of Records Final internal and external audit reports relating to the equipment and stores function.	Disposal Action Destroy 5 years after action completed
003.013.002	Records documenting the planning and conduct of internal and external audits relating to the equipment and stores function. Includes:	Destroy 2 years after action completed
	 liaison with the auditing body minutes of meetings notes taken at opening and exit interviews draft reports comments. 	

Authorisation

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

Entry No.	Description of Records	Disposal Action
003.014.001	Delegations of power to agency staff to authorise administrative action relating to the equipment and stores function.	Destroy 7 years after delegation expires
003.014.002	Authorisations for administrative action supporting the equipment and stores function.	Destroy 7 years after action completed

Claims

The process of administering and managing payments demanded in accordance with an insurance policy as compensation for injury, death, or denial of rights of a person, or damage to or destruction of property. Includes disputes over rights and ownership, and recompense sought for stolen or lost property.

Entry No. 003.019.001

Description of Records

Records documenting insurance claims for Destroy 7 years after damage and loss incurred to equipment finalisation or and stores. withdrawal of claim

[For the management of insurance policies, use EQUIPMENT & STORES -

Insurance.]

Compliance

The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements. Includes compliance with legislation and with national and international standards, such as the ISO 9000 series.

Entry No. 003.021.001

Description of Records

Records documenting agency compliance Destroy 7 years after with mandatory or with optional standards action completed or with statutory requirements relating to the equipment and stores function.

Disposal Action

Disposal Action

[For the licensing processes for the operation of plant items, use OCCUPATIONAL HEALTH AND SAFETY (OH&S) - Compliance.]

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.]

Entry No. 003.024.001

Description of Records

Records documenting the in-house construction of equipment and plant.

[For the design of equipment and plant, use EOUIPMENT & STORES -Evaluation.

For establishing and managing the intellectual property of agency-designed equipment and plant, use LEGAL SERVICES - Intellectual Property.]

Disposal Action

Destroy 7 years after disposal of asset

Contracting out

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

Entry No. 003.025.001

Description of Records

Records documenting contract management relating to the equipment and completion or other stores function. Includes:

- minutes of meetings with main stakeholders
- performance and evaluation reports.

Disposal Action

Destroy 7 years after termination of agreement or contract

Disposal

The process of disposing of property no longer required by the agency, by sale, transfer, termination of lease, auction, donation or destruction. Includes destruction or transfer, and the program of activities to facilitate the orderly transfer of semi-active and inactive records from current office space into storage.

[For the disposal of real property through a tendering process, use PROPERTY MANAGEMENT - Tendering.

For the disposal of real property through an agreement, use PROPERTY MANAGEMENT - Agreements.]

Entry No. 003.034.001

Description of Records

Records documenting the disposal of Territory-owned equipment and stores. Includes:

- independent valuation certificates verifying that work undertaken on assets was done prior to valuation
- written quotes
- auction records and routine forms
- correspondence relating to the disposal of equipment and stores.

[For the disposal of equipment and stores by tender, use EQUIPMENT & STORES - Tendering.

For the removal of items from the agency's asset register, use FINANCIAL MANAGEMENT - Asset Register.]

003.034.002

Records documenting the disposal of leased equipment and stores. Includes:

- written notices and correspondence to and from leasing companies in relation to return of equipment and stores
- handover reports
- notifications that an agency or their nominee wish to purchase equipment and stores.

Disposal Action

Destroy 7 years after disposal

Destroy 3 years after disposal

Distribution

The activities associated with disseminating items, correspondence or publications through sales, deliveries, or other customer services.

Entry No. 003.036.001

Description of Records

Records documenting the distribution of equipment and stores to other locations, including other offices of the agency. Includes consignment notes.

[For arrangements relating to the receipt of equipment and stores, use EQUIPMENT & STORES - Arrangements.

For arrangements relating to the distribution of equipment and stores via mail services, use INFORMATION MANAGEMENT - Distribution.

For managing financial transactions supporting the distribution activities, use FINANCIAL MANAGEMENT - Accounting and/or FINANCIAL MANAGEMENT - Payments.]

003.036.002

Records documenting the distribution of equipment and stores within an office of an agency.

[For requests for issue of equipment and stores, use EQUIPMENT & STORES - Allocation.]

Disposal Action

Destroy 7 years after action completed

Destroy 6 months after last action

Evaluation

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

Entry No.
003.042.001

Description of Records

Initial evaluation of equipment and stores Destroy 7 years after requirements. Includes assessment of whole-of-government solutions (i.e. period contracts, buyer's guides, endorsed suppliers). Includes justification of decision not to proceed with such solutions.

[For the acquisition of equipment and stores, use EQUIPMENT & STORES -Acquisition.

For the re-evaluation of existing equipment and stores, use EQUIPMENT & STORES - Reviewing.]

003.042.002 Records documenting the development and issue of specifications for equipment and stores, including purpose-built equipment and stores.

Destroy 7 years after action completed

Disposal Action

action completed

Inspections

The process of official examinations of facilities, equipment and items, to ensure compliance with agreed standards and objectives.

Entry No.
003.057.001

Description of Records

Records documenting inspections of equipment and stores.

[For formal audits, use EQUIPMENT & STORES - Audit.

For stocktakes, use EQUIPMENT & STORES - Stocktake.

For inspections relating to occupational health and safety, use OCCUPATIONAL HEALTH AND SAFETY (OH&S) -Inspections.]

Disposal Action

Destroy 3 years after action completed

Installation

Activities involved in placing equipment in position and connecting and adjusting it for use.

Entry No.	Description of Records	Disposal Action
003.058.001	Records documenting the installation and initial configuration of equipment and plant.	Destroy 2 years after action completed
	[For the installation of equipment and plant within a building, use PROPERTY MANAGEMENT - Installation.]	
003.058.002	Records documenting the reconfiguration and adjustment of equipment and plant after initial installation.	Destroy 1 year after either the next reconfiguration or when the equipment is disposed of, whichever is the earlier

Insurance

The process of taking out premiums to cover loss or damage to property or premises, and to cover customers and staff against injury or death resulting from incidents on the agency's premises or whilst engaged during employment.

[For insurance claims lodged, use EQUIPMENT & STORES - Claims.

For managing financial transactions supporting insurance activities, use FINANCIAL MANAGEMENT - Accounting and/or FINANCIAL MANAGEMENT - Payments.]

Entry No.	Description of Records	Disposal Action
003.059.001	Insurance policies covering equipment and stores.	Destroy 7 years after policy expires
003.059.002	Records documenting the annual renewal of insurance policies.	Destroy 1 year after action completed

Inventory

The activities associated with listing and preparing lists of items and assets in the possession of the agency.

Entry No. 003.061.001

Description of Records

Records documenting the listing of equipment and stores items.

[For formal stocktakes of equipment and stores, use EQUIPMENT & STORES - Stocktake.

For making subsequent changes to the agency's asset register, use FINANCIAL MANAGEMENT - Asset Register.]

Disposal Action

Destroy 6 months after last action

Leasing

The activities involved in leasing items, equipment, accommodation, premises or real estate. Includes the process of chartering.

Entry No. 003.063.001

Description of Records

Records documenting the administration and management of leased equipment. Includes reports received from leasing companies and signed leases.

[For the activities associated with acquiring leased equipment, use EQUIPMENT & STORES - Acquisition.

For the disposal of leased equipment, use EQUIPMENT & STORES - Disposal.

For the maintenance of leased equipment, use EQUIPMENT & STORES - Maintenance.

For Fringe Benefit Tax reports received from a leasing company, use PERSONNEL - Salaries.

For managing financial transactions supporting leasing activities, use FINANCIAL MANAGEMENT - Accounting and/or FINANCIAL MANAGEMENT - Payments.]

Disposal Action

Destroy 7 years after lease expires or is terminated

Leasing out

The activities involved in leasing-out items, equipment, accommodation, premises or real estate to another agency, organisation, group or person for a specified period and agreed price. Includes the formal documentation setting out conditions, rights, responsibilities, etc. of both parties. Also includes subleasing.

Entry No. 003.064.001

Description of Records

Arrangements for the leasing-out of agency equipment to other bodies. Includes signed leases.

[For managing financial transactions supporting leasing-out activities, use FINANCIAL MANAGEMENT -Accounting and/or FINANCIAL MANAGEMENT - Payments.]

Disposal Action

Destroy 7 years after lease expires or is terminated

Maintenance

The activities associated with the upkeep, repair, servicing, modification and preservation of internal/external conditions of premises, equipment, vehicles etc.

Entry No.
003.069.001

Description of Records

Records documenting the maintenance of Destroy 3 years after equipment and stores.

[For the management of contracts relating to maintenance, use **EQUIPMENT & STORES - Contracting** out.]

Disposal Action

action completed

Meetings

The activities associated with regular or ad hoc gatherings held to formulate, discuss, update or resolve issues and matters pertaining to the function. Includes staff meetings, arrangements, agenda, taking of minutes, etc. Excludes committee meetings.

Entry No.
003.072.001

Description of Records

Final versions of minutes and supporting documents tabled at meetings held to support the equipment and stores function. Includes meetings with external agencies.

Disposal Action

Destroy 5 years after action completed

Meetings (Continued)

The activities associated with regular or ad hoc gatherings held to formulate, discuss, update or resolve issues and matters pertaining to the function. Includes staff meetings, arrangements, agenda, taking of minutes, etc. Excludes committee meetings.

Entry No. 003.072.002

Description of Records

Disposal Action

Working papers documenting the conduct Destroy 6 months and administration of meetings to support after last action the equipment and stores function.

Includes:

- agendas
- notices of meetings
- draft minutes.

Policy

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making.

Entry No. 003.080.001	Description of Records Records documenting the development and establishment of the agency's equipment and stores policies. Includes:	Disposal Action Destroy 3 years after policy is superseded
	 policy proposals research papers working papers results of consultations supporting reports major drafts final policy documents. 	
003.080.002	Copies of policy documents and supporting papers.	Destroy 6 months after last action

Procedures

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

Entry No.	Description of Records	Disposal Action
003.082.001	Records documenting the development of agency procedures supporting the equipment and stores function.	Destroy 1 year after production of procedures
003.082.002	Copies of manuals, handbooks, directives, etc.	Destroy 6 months after last action
003.082.003	Operating manuals and instructions for equipment, plant and stores.	Destroy 6 months after last action
003.082.004	Master set of agency manuals, handbooks, directives, etc. detailing procedures supporting the equipment and stores function.	Destroy after procedures are superseded

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, regulation, or legislation, e.g. Annual Report). Includes statistics and returns.

Note: Reports resulting from a routine activity (e.g. inspection reports), form part of that activity, i.e. reports resulting from an inspection are part of the inspection and not the activity of Reporting. Reports of these types should be classified as part of the greater activity generating the report.

Entry No.	Description of Records	Disposal Action
003.088.001	Records relating to reporting on activities	Destroy 2 years after
	involved in the equipment and stores	action completed
	function. Includes:	

- working papers
- comments received
- draft reports
- final documents.

Reviewing

The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.

Entry No.	Description of Records	Disposal Action
003.093.001	Records documenting a review of agency programs and operations supporting the equipment and stores function. Includes:	Destroy 3 years after action completed
	 documents establishing the review final reports action plans identification of further problems needing rectification. 	
003.093.002	Working papers documenting a review of agency programs and operations supporting the equipment and stores function.	Destroy 1 year after action completed

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.

[See also the OCCUPATIONAL HEALTH & SAFETY (OH&S) function.]

Entry No.	Description of Records	Disposal Action
003.095.001	Records documenting risk management relating to the equipment and stores function. Includes:	Destroy 7 years after next risk assessment
	 records covering each stage of the process treatment schedules action plans. 	
003.095.002	Equipment and stores risk register.	Destroy 7 years after next risk assessment

Security

The activities associated with measures taken to protect people, premises, equipment or information from accidental or intentional damage or from unauthorised access. Includes the security classification of personnel and criminal record checks.

[For disciplinary action taken for theft or damage involving agency staff use, PERSONNEL - Discipline.]

Entry No. 003.097.001

Description of Records

Disposal Action

Records documenting the management of Destroy 5 years after activities undertaken to protect equipment action completed and stores. Includes investigations into theft or intentional damage and referral of an alleged incident to law enforcement authorities.

[For disciplinary action resulting from a breach of the law involving ACTPS employees, use PERSONNEL - Discipline.

For breaches involving information, use INFORMATION MANAGEMENT - Security.

For breaches involving technology, use TECHNOLOGY & TELECOMMUNICATIONS - Security.]

003.097.002

Records documenting combinations and/or keys for equipment or plant, such as safes, filing cabinets. Includes key register.

[For combinations or keys to security containers which are built into the building, use PROPERTY MANAGEMENT - Security.]

Destroy 6 months after last action

Stocktake

The activities associated with the examination, counting and valuing of goods with the view to reassessing the need for replacing those goods and to identify missing items and determine the condition of the existing items.

Entry No.	Description of Records	Disposal Action
003.101.001	Records documenting the stocktake of equipment and stores.	Destroy 3 years after action completed
	[For lists of equipment and stores, use EQUIPMENT & STORES - Inventory.]	

Tendering

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

Entry No. 003.104.001	Description of Records Signed contracts under seal resulting from tenders and supporting records.	Disposal Action Destroy 12 years after completion or other termination of agreement or contract
003.104.002	Records documenting the development and issue of tender documentation. Includes: • statements of requirements • requests for proposals • expressions of interest • requests for tender (RFT) • draft contracts.	Destroy 7 years after tender process completed
003.104.003	Evaluation of tenders received against selection criteria. Includes: • records documenting arrangements for carrying out the evaluation process • evaluation reports • recommendations • final reports • public notices.	Destroy 7 years after tender process completed

Tendering (Continued)

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

Entry No.	Description of Records	Disposal Action
003.104.004	Records documenting post-offer negotiations and due diligence checks.	Destroy 7 years after tender process completed
003.104.005	Tender registers.	Destroy 7 years after last entry
003.104.006	Signed simple contracts and agreements resulting from tenders and supporting records.	Destroy 7 years after completion or other termination of agreement or contract
003.104.007	Contract registers.	Destroy 7 years after last entry
003.104.008	Records of unsuccessful tenders or a tender process where there is no suitable bidder, or where the tender process has been discontinued. Includes: • submissions • notifications of outcome • reports on debriefing sessions.	Destroy 2 years after tender process completed or decision made not to continue with the tender

RETAIN AS TERRITORY ARCHIVES

There are currently no Retain as Territory Archives classes under Equipment & Stores.

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

Changes to **TARDiS** Dated July 2009

New Features (Insertions)			
FUNCTION	Activity	Entry no.	Description

Enhancements (Changes)

FUNCTION	Activity	Entry no.	Description
Equipment & Stores	All	All	Classes renumbered.
Equipment & Stores			Scope note changed.
	Acquisition		Classification and sentencing guide added to scope note.
	Acquisition	003.003.003	Disposal action changed.
	Acquisition	003.007.002	Disposal action changed.
	Agreements		Scope note changed.
	Arrangements		Scope note changed.
	Arrangements		Classification and sentencing guide added to scope note.
	Arrangements	All	Renumbered
	Arrangements	003.011.002	Disposal action changed.
	Arrangements	003.011.003	Disposal action changed.
	Compliance		Scope note changed.
	Construction		Classification and sentencing guide added to scope note.
	Disposal	All	Renumbered.
	Distribution	All	Renumbered.
	Distribution	003.036.002	Disposal action changed.
	Insurance		Classification and sentencing guide added to scope note.
	Inventory	003.061.001	Disposal action changed.
	Leasing		Scope note changed.
	Leasing out		Scope note changed.
	Meetings		Scope note changed.
	Meetings	003.072.002	Disposal action changed.
	Policy		Scope note changed.
	Policy	003.080.002	Disposal action changed.
	Procedures	All	Renumbered.

Enhancements (Changes)

FUNCTION	Activity	Entry no.	Description
	Reporting		Scope note changed. Classification and sentencing guide added to scope note.
	Security	003.097.002	Disposal action changed.
	Tendering	All	Renumbered.

Corrections (Deletions)

FUNCTION	Activity	Entry no.	Description
Staff Development	All	All	Removed