Territory Records (Records Disposal Schedule – ACT Government Veterinarian Records) Approval 2011 (No 1)

Notifiable instrument NI2011—87

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 – ACT Government Veterinarian Records) Approval 2011 (No 1)

2. Approval

I approve the Records Disposal Schedule – ACT Government Veterinarian Records.

3. Commencement

This instrument commences on the day after notification.

4. Revocation

I revoke Notifiable Instrument NI2008-253 notified 3 July 2008.

David Wardle Director of Territory Records 28 February 2011



Records Disposal Schedule

ACT Government Veterinarian Records

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INTRODUCTION

The Records Disposal Schedule - ACT Government Veterinarian Records is the official authority for the disposal of records relating to ACT Government Veterinarian 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 Schedules (TARDiS)*.

PURPOSE

The purpose of this Records Disposal Schedule is to provide for the authorised disposal of ACT Government Veterinarian 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 or if there is a current records disposal freeze in effect.

The Records Disposal Schedule - ACT Government Veterinarian 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 ACT Government Veterinarian 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.

Whole-of-Government Thesaurus

The Whole-of-Government Thesaurus is a controlled vocabulary of terms designed for use in the classifying, titling and indexing of records on creation.

The Whole-of-Government Thesaurus has been developed on the basis of the Territory Version of Keyword AAA (TVKAAA) (2010), a thesaurus incorporating 16 common Functions. All other Functions within the Whole-of-Government Thesaurus are considered Functions performed by the ACT Government and have been included following consultation with agencies and after consideration by the Territory Records Office (TRO) via a formal approval process.

The Whole-of-Government Thesaurus is mandated by the TRO for use by all ACT Government agencies as part of their classifying and titling of paper and electronic records. See also *Records Advice No.28 Functional directories on shared drives*.

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 Whole-of-Government Thesaurus. 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 - ACT Government Veterinarian Records:

- covers all ACT Government Veterinarian records;
- is intended to be used in conjunction with the 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:

Animal Diseases Act 2005 Animal Welfare Act 2002 Nature Conservation Act 1980 Territory Records Act 2002 Freedom of Information Act 1989

DEFINITIONS

Agency

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

Appraisal

The process of evaluating business activities to:

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

Business Classification Scheme

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

Principal Officer

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

Records

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

Records of an Agency

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

Records Disposal Schedule

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

Records Management Program

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

Recordkeeping Systems

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

Scope Note

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

Sentencing

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

Territory Archives

Records preserved for the benefit of present and future generations.

BUSINESS CLASSIFICATION SCHEME

VETERINARY SERVICES

The function of providing government veterinary services within the ACT, including the provision of advice, monitoring and reporting of issues relating to animal health, husbandry and diseases. Also includes managing disease outbreaks amongst animal populations, e.g. Equine Influenza.

Advice

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

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.

Animal Welfare

The activity of managing the control and humane treatment, and preservation of domestic animals, livestock and wildlife.

Appeals (decisions)

The activities involved in the process of appeals against decisions by application to a higher authority.

Authorisation

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

Committees

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

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.

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.

Customer service

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

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.

Fees and charges determination

The activities associated with determining fees and charges.

Grant funding

The activities associated with the application for and receipt of grants.

Implementation

The activities associated with carrying out or putting into action, plans, policies, procedures or instructions, all of which could be internally or externally driven. Includes manual or automated databases, applications or systems, but excludes installation of equipment. Also includes monitoring to ensure the implementation goes according to schedule and that standards are met.

Infringements

The activities associated with handling breaches of rules. Includes driving or traffic infringements and infringements of the agency's intellectual property.

Inspections

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

Liaison

The activities associated with maintaining regular general contact between the agency and professional associations, professionals in related fields, other private sector organisations and community groups. Includes sharing informal advice and discussions, membership of professional associations and collaborating on projects that are not joint ventures.

Licensing

The activities associated with the granting of authoritative permission, approval, consent or licence to undertake specific tasks. Includes the licensing of individuals, groups or corporations.

Maintenance

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

Mapping Programs

The activities associated with the collection, management and presentation of land information.

Notifications

The activities of notifying businesses and residents of a failure to comply with the Department's standards and regulations, inappropriate practices, or the Department's intention to take action. Includes the management of notices.

Planning

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

Policy

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

Procedures

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

Registration

The activities to record, catalogue, inventory or list. The establishment and maintenance of registers containing information required by legislation.

Regulation and monitoring

Activities that check, observe, or record the operation of equipment, infrastructure, services or systems.

Reporting

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

Research

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

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.

Service Provision

The activities relating to services provided by an agency on a long term basis or by other agencies. Includes requests and applications for services, assessment of eligibility and entitlements, liaison with other agencies regarding the provision of services. Also includes activities to lobby for services and to increase service provision. Also includes the installation, operation and removal of temporary facilities in parks and reserves, such as water, electricity, temporary toilets, etc. for special outdoor events.

Standards

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

Submissions

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.

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.

RECORDS DISPOSAL SCHEDULE

VETERINARY SERVICES

The function of providing government veterinary services within the ACT, including the provision of advice, monitoring and reporting of issues relating to animal health, husbandry and diseases. Also includes managing disease outbreaks amongst animal populations, e.g. Equine Influenza.

Advice

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

[For the provision of advice to the Minister or Chief Minister, use GOVERNMENT RELATIONS - Advice.

For legal advice, use LEGAL SERVICES - Advice.

For the development of submissions in relation to advice, use INDUSTRY DEVELOPMENT - Submissions.]

Entry No.	Description of Records	Disposal Action
176.005.001	Records documenting the receipt and provision of advice that resulted in major changes. Includes advice provided by consultants.	Retain as Territory Archives
176.005.002	Records documenting the receipt and provision of all other advice. Includes advice provided by consultants.	Destroy 5 years after action completed
176.005.003	Working papers documenting the development of advice.	Destroy 2 years after action completed

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 agreements with other governments, including international governments, use GOVERNMENT RELATIONS - Agreements.]

Entry No.	Description of Records	Disposal Action
176.006.001	Records relating to agreements that are of significance to the Territory, including supporting documents, contracts, project scope	Destroy 7 years after action completed
	documents.	
176.006.002	Records relating to agreements that are not of significance to the Territory, including supporting documents, contracts, project scope documents.	action completed

Animal Welfare

The activity of managing the control and humane treatment, and preservation of domestic animals, livestock and wildlife.

Entry No.	Description of Records	Disposal Action
176.270.001	Records documenting the management of exotic pest species.	Retain as Territory Archives
176.270.002	Records documenting the management of threatened species.	Retain as Territory Archives
176.270.003	Records documenting the routine management of domestic animals, livestock and wildlife.	Destroy 7 years after action completed

Appeals (decisions)

The activities involved in the process of appeals against decisions by application to a higher authority.

Entry No.	Description of Records	Disposal Action
176.009.001	Records documenting the process of appeals to higher authorities against decisions where the Territory is the major participant (e.g. Australian Capital Territory Civil and Administrative Tribunal (ACAT)).	•
176.009.002	Records documenting the process of appeals to higher authorities against decisions where the Territory is the minor participant (e.g. input into Development Application appeal defences).	• •
176.009.003	Records documenting appeals against a decision/order where the agency has provided input into the appeal.	Destroy 2 years after action completed
176.009.004	Records documenting appeals against infringement notices by general public.	Destroy 2 years after action completed

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
176.014.001	Delegations of power to agency staff to authorise administrative action.	Retain as Territory Archives
176.014.002	Documentation relating to the process of assessing and issuing authorisations to undertake administrative action.	Destroy 7 years after authorisation expires or is superseded

Committees

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

[For audit committees, use STRATEGIC MANAGEMENT - Committees.

For the establishment of advisory councils or governing boards with decision making responsibility for agency policy and/or planning, use STRATEGIC MANAGEMENT - Committees.]

Entry No.	Description of Records	Disposal Action
176.020.001	Records of high-level external and internal	Retain as Territory
	committees and task forces formed to manage	Archives
	or advise on matters relating to the function	
	that are of significance to the Territory,	

• Establishing the committee;

governmental and inter-agency committees. Also includes final versions of documents:

• Terms of reference;

including records relating to inter-

- Appointment of members;
- Minutes;
- Reports;
- Recommendations:
- Briefings papers; and
- Discussion papers.

176.020.002 Records documenting declarations of members' private interests.

Destroy 7 years after termination of appointment

Committees (Continued)

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.

[For audit committees, use STRATEGIC MANAGEMENT - Committees.

For the establishment of advisory councils or governing boards with decision making responsibility for agency policy and/or planning, use STRATEGIC MANAGEMENT -Committees.]

Entry No. 176.020.003

Description of Records

Records documenting the agency's involvement with other committees and task forces formed to consider specific matters relating to the function that are not of significance to the Territory. Includes final versions of documents:

- Establishing the committee;
- Terms of reference:
- Appointment of members;
- Minutes;
- Reports;
- Recommendations;
- Briefings papers; and
- Discussion papers.

176.020.004

Records of working papers and administration Destroy 6 months of committees. Includes:

after action completed

Disposal Action

action completed

Destroy 5 years after

- Agenda;
- Notice of meetings;
- Draft minutes; and
- Room bookings.

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. 176.021.001

Description of Records

Records relating to agency compliance with mandatory or optional standards or with statutory requirements.

Disposal Action

Destroy 7 years after action completed

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.	Description of Records	Disposal Action
176.025.001	Contract management records. Including: -	Destroy 7 years after
	Minutes of meetings with main stakeholders;	completion or other
	and - Performance and evaluation reports.	termination of
		agreement or
		contract

Customer service

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

Entry No. 176.030.001	Description of Records Final versions of customer service charters	Disposal Action Retain as Territory Archives
176.030.002	Records documenting the planning, monitoring and evaluation of customer services provided to customers. Includes customer surveys.	Destroy 3 years after action completed
176.030.003	Records documenting the management and use of translation services.	Destroy 1 year after action completed
176.030.004	Records documenting the development of service charters and directives.	Destroy 6 months after action completed
176.030.005	Records documenting the management of an enquiry desk or library.	Destroy 6 months after action completed

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.	Description of Records	Disposal Action
176.042.001	External and internal reports evaluating potential or existing services and systems.	Retain as Territory Archives
176.042.002	Other records documenting the evaluation and ongoing monitoring of the function.	Destroy 3 years after action completed
176.042.003	Working papers supporting external or internal reporting evaluation the function.	Destroy 6 months after action completed

Fees and charges determination

The activities associated with determining fees and charges.

Entry No.	Description of Records	Disposal Action
176.201.001	Records documenting the determination of	Destroy 7 years after
	fees and charges.	fee or charge
		superseded

Grant funding

The activities associated with the application for and receipt of grants.

Entry No.	Description of Records	Disposal Action
176.049.001	Records documenting successful applications made by the agency for grant funding.	Destroy 7 years after action completed
	[For the management of grant money received by the agency use FINANCIAL MANAGEMENT - Grant Funding]	
176.049.002	Records documenting unsuccessful applications made by the agency for grant funding.	Destroy 2 years after action completed

Implementation

The activities associated with carrying out or putting into action, plans, policies, procedures or instructions, all of which could be internally or externally driven. Includes manual or automated databases, applications or systems, but excludes installation of equipment. Also includes monitoring to ensure the implementation goes according to schedule and that standards are met.

Entry No.	Description of Records	Disposal Action
176.053.001	Records documenting the implementation of significant plans, policies and procedures.	Retain as Territory Archives
176.053.002	Records documenting the implementation of other plans, policies and procedures.	Destroy 3 years after action completed

Infringements

The activities associated with handling breaches of rules. Includes driving or traffic infringements and infringements of the agency's intellectual property.

Entry No.	Description of Records	Disposal Action
176.055.001	Documentation of serious offences that carry substantial penalties such as jail sentences.	Destroy 7 years after action completed
176.055.002	Documentation of other offences for which fines or infringement notices may be issued.	Destroy 5 years after action completed

Inspections

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

Entry No.	Description of Records	Disposal Action
176.057.001	Documentation of official inspections carried out by the agency to ensure compliance with standards related to the Veterinary Services	• •
	function.	

Liaison

The activities associated with maintaining regular general contact between the agency and professional associations, professionals in related fields, other private sector organisations and community groups. Includes sharing informal advice and discussions, membership of professional associations and collaborating on projects that are not joint ventures.

Entry No.	Description of Records	Disposal Action
176.067.001	Liaison with external agencies, professional associations and community groups on veterinarian issues of significance to the Territory.	Retain as Territory Archives
176.067.002	Liaison with external agencies, professional associations and community groups on veterinary issues which are not of significance to the Territory.	Destroy 7 years after action completed

Licensing

The activities associated with the granting of authoritative permission, approval, consent or licence to undertake specific tasks. Includes the licensing of individuals, groups or corporations.

Entry No.	Description of Records	Disposal Action
176.163.001	Records documenting the issuing of licenses	Destroy 7 years after
	related to the veterinary function.	license, or
		subsequent license
		expires

Maintenance

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

Entry No.	Description of Records	Disposal Action
176.069.003	Records documenting the maintenance of	Destroy 7 years after
	equipment used in providing veterinary	action completed
	services	

Mapping Programs

The activities associated with the collection, management and presentation of land information.

Entry No. Description of Records Disposal Action Final controlled versions of program outputs. 176.222.001 Retain as Territory Includes: Archives

- Aerial photographs;
- Maps;
- Plans;
- Survey data;
- Indexes;
- Film and digital images; and
- Reports or explanatory notes to program of mapping outputs.

176.222.002 Plan preparation, including:

Retain as Territory Archives

- Architecture;
- Land management;
- Surveying;
- Town planning; and
- Transport engineering.

176.222.003 Records relating to the project management of Destroy 10 years mapping programs. Includes:

after action completed

- Requests;
- Reproduction programs; and
- Maintenance systems.

Notifications

The activities of notifying businesses and residents of a failure to comply with the Department's standards and regulations, inappropriate practices, or the Department's intention to take action. Includes the management of notices.

Entry No.	Description of Records	Disposal Action
176.173.001	Records documenting the issuing of quarantine notifications.	Retain as Territory Archives
176.173.002	Records documenting the issuing of notices regarding failure to comply with statutory standards for incidents of significance to the Territory.	Retain as Territory Archives
176.173.003	Records documenting rural lessee failure to comply with the notification of conditions of land management agreements.	Destroy 10 years after action completed
176.173.004	Records relating to the placement and maintenance of warning and interpretive signs.	Destroy 7 years after action completed
176.173.005	Records documenting the issuing of notices regarding failure to comply with statutory standards for incidents, which are not of significance to the Territory.	Destroy 5 years after action completed

Planning

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

Entry No. 176.079.001	Description of Records Final versions of management plans for major projects.	Disposal Action Retain as Territory Archives
176.079.002	Final version of plans for other projects.	Destroy 5 years after plan is superseded
176.079.003	Working papers used in developing plans, draft plans and maps, reports analysing issues and comments on draft plans.	Destroy 1 year after adoption of final plan

Policy

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

Entry No. 176.080.001	Description of Records Final versions of policies.	Disposal Action Retain as Territory Archives
176.080.002	Development and establishment of agency's policies. Includes: • Policy proposals; • Research papers; • Results of consultations; • Supporting reports; and • Major drafts.	Destroy 5 years after policy expires or is superseded
176.080.003	Comments made on the development of policies.	Destroy 3 years after promulgation of new policy
176.080.004	Policy of documents and supporting papers.	Destroy 6 months after action completed

Procedures

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

Entry No. 176.082.001	Description of Records Master set of agency manuals, handbooks, directives etc detailing procedures.	Disposal Action Destroy 7 years after procedures are superseded
176.082.002	Records documenting the development of agency procedures.	Destroy 7 years after adoption of final procedure

Registration

The activities to record, catalogue, inventory or list. The establishment and maintenance of registers containing information required by legislation.

Entry No.	Description of Records	Disposal Action
176.155.001	Establishment and maintenance of registers containing information of significance to the Territory.	Retain as Territory Archives
176.155.002	Establishment and maintenance of other registers containing information, which are of lesser significance to the Territory.	Destroy 2 years after procedures are superseded

Regulation and monitoring

Activities that check, observe, or record the operation of equipment, infrastructure, services or systems.

Entry No. 176.166.001	Description of Records Activities related to the regulation and monitoring of issues of significance to the Territory.	Disposal Action Retain as Territory Archives
176.166.002	Other activities related to the regulation and monitoring of issues which are of lesser significance to the Territory.	Destroy 7 years after action completed

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.

[For the Annual Report drafting process, use PUBLICATIONS - Drafting.

For submissions of annual reports to the Portfolio Minister, use GOVERNMENT RELATIONS - Compliance.]

Entry No.	Description of Records	Disposal Action
176.088.001	Final versions of internal formal reports and reports made to external agencies.	Retain as Territory Archives
176.088.002	Final versions of periodic internal reports used to monitor and document recurring activities. Includes the collection and reporting of statistical information.	• •
176.088.003	Responses to surveys.	Destroy 3 years after action completed
176.088.004	Working papers associated with the development of all reports. Includes drafts and comments received.	Destroy 6 months after action completed

Research

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

Entry No.	Description of Records	Disposal Action
176.091.001	Major research carried out relating to veterinary services for the conservation and management of native fauna, captive wildlife, pest species and domestic animals. Including research carried out for contribution to nationally coordinated programs.	Retain as Territory Archives
176.091.002	Research carried out in partnership.	Destroy 7 years 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.

Entry No.	Description of Records	Disposal Action
176.095.001	Records documenting risk management relating to the function. Includes documentation covering each stage of the process, treatment schedules and action plans.	Destroy 7 years after next risk assessment
176.095.002	Risk register.	Destroy 7 years after next risk assessment

Service Provision

The activities relating to services provided by an agency on a long term basis or by other agencies. Includes requests and applications for services, assessment of eligibility and entitlements, liaison with other agencies regarding the provision of services. Also includes activities to lobby for services and to increase service provision. Also includes the installation, operation and removal of temporary facilities in parks and reserves, such as water, electricity, temporary toilets, etc. for special outdoor events.

Entry No. 176.169.001	Description of Records Records of diagnosis and treatment of endemic or exotic diseases as defined in legislation.	Disposal Action Retain as Territory Archives
176.169.002	Records of tagable stock (as defined in legislation) entered into the National Livestock Identification Scheme, or similar database	Destroy 7 years after action completed
176.169.003	Records of diagnosis and treatment of other diseases (i.e. not endemic or exotic as defined in legislation).	Destroy 5 years after action completed
176.169.004	Records of the management of chemical & drug residues in livestock	Destroy 5 years after action completed
176.169.005	Records documenting the visits and treatment of animals on-site. Includes the diary and veterinary consultation information.	Destroy 5 years after action completed

Standards

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

[For the adherence and monitoring of industry standards, use INDUSTRY DEVELOPMENT - Compliance.]

Entry No.	Description of Records	Disposal Action
176.100.001	Records documenting the implementation of industry and agency standards to support the function.	Destroy 7 years after action completed
176.100.002	Records documenting agency adoption of new work level standards.	Destroy 7 years after standards are superseded

Submissions

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.

Entry No. 176.102.001	Description of Records Final versions of submissions (other than Cabinet submissions) relating to significant issues.	Disposal Action Retain as Territory Archives
176.102.002	Working papers documenting the development of Cabinet submissions.	Retain as Territory Archives
176.102.003	Submissions (other than Cabinet submissions) made to the Chief Minister, Minister, and government bodies on issues directly relating to the agency's functions, concerning other matters of lesser importance with no far reaching impact on the social, economic and international standing of the country. Includes submissions concerning administrative matters.	Destroy 10 years after action completed
176.102.004	Working papers documenting the development of submissions (other than Cabinet submissions) relating to other matters of lesser importance.	after action
176.102.005	Final successful agency submission made to community organisations.	Destroy 7 years after action completed
176.102.006	Final unsuccessful agency submissions made to community organisations.	Destroy 7 years after action completed

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.	Description of Records	Disposal Action
176.104.001	Signed contracts under seal resulting from tenders and supporting records.	Destroy 12 years after completion or other termination of agreement or contract
176.104.002	 The development and issue of tender documentation. Includes: Statement of Requirements; Request for Proposals; Expression of Interest; Request for Tender (RFT) and draft contract. 	Destroy 7 years after tender process completed
176.104.003	Evaluation of tenders received against selection criteria. Includes records documenting arrangements for carrying out the evaluation process, evaluation report, recommendations, final report and public notices.	Destroy 7 years after tender process completed
176.104.004	Post-offer negotiations and due diligence checks for tenders.	Destroy 7 years after tender process completed or decision made not to continue with the tender
176.104.005	Tender register.	Destroy 7 years after last entry

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. 176.104.006	Description of Records Signed simple contracts and agreements resulting from tenders and supporting records.	Disposal Action Destroy 7 years after completion or other termination of agreement or
176.104.007	Records of unsuccessful tenders or a tender process where there is no suitable bidder, or where the tender process has been discontinued. Includes submissions, notification of outcome and reports on debriefing sessions.	Destroy 2 years after tender process completed or decision made not to continue with the tender

RETAIN AS TERRITORY ARCHIVES

VETERINARY SERVICES

The function of providing government veterinary services within the ACT, including the provision of advice, monitoring and reporting of issues relating to animal health, husbandry and diseases. Also includes managing disease outbreaks amongst animal populations, e.g. Equine Influenza.

Advice

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

[For the provision of advice to the Minister or Chief Minister, use GOVERNMENT RELATIONS - Advice.

For legal advice, use LEGAL SERVICES - Advice.

For the development of submissions in relation to advice, use INDUSTRY DEVELOPMENT - Submissions.]

Entry No.	Description of Records	Disposal Action
176.005.001	Records documenting the receipt and provision of advice that resulted in major changes. Includes advice provided by consultants.	Retain as Territory Archives

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 agreements with other governments, including international governments, use GOVERNMENT RELATIONS - Agreements.]

Entry No.	Description of Records	Disposal Action
176.006.001	Records relating to agreements that are of	Retain as Territory
	significance to the Territory, including	Archives
	supporting documents, contracts, project scop	e
	documents.	

Animal Welfare

The activity of managing the control and humane treatment, and preservation of domestic animals, livestock and wildlife.

Entry No.	Description of Records	Disposal Action
176.270.001	Records documenting the management of exotic pest species.	Retain as Territory Archives
176.270.002	Records documenting the management of threatened species.	Retain as Territory Archives

Appeals (decisions)

The activities involved in the process of appeals against decisions by application to a higher authority.

Entry No. Description of Records **Disposal Action**

176.009.001 Records documenting the process of appeals to Retain as Territory

higher authorities against decisions where the Archives

Territory is the major participant (e.g. Administrative Appeals Tribunal).

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** 176.014.001 Delegations of power to agency staff to Retain as Territory

authorise administrative action. Archives

Committees

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

[For audit committees, use STRATEGIC MANAGEMENT - Committees.

For the establishment of advisory councils or governing boards with decision making responsibility for agency policy and/or planning, use STRATEGIC MANAGEMENT -Committees.]

Disposal Action

Retain as Territory

Entry No. **Description of Records**

176.020.001 Records of high-level external and internal committees and task forces formed to manage Archives or advise on matters relating to the function that are of significance to the Territory, including records relating to intergovernmental and inter-agency committees.

Also includes final versions of documents:

- Terms of reference;
- Appointment of members;
- Minutes;
- Reports;
- Recommendations;
- Briefings papers; and
- Discussion papers.

Establishing the committee;

Customer service

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

Entry No.	Description of Records	Disposal Action
176.030.001	Final versions of customer service charters	Retain as Territory
		Archives

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.	Description of Records	Disposal Action
176.042.001	External and internal reports evaluating	Retain as Territory
	potential or existing services and systems.	Archives

Liaison

The activities associated with maintaining regular general contact between the agency and professional associations, professionals in related fields, other private sector organisations and community groups. Includes sharing informal advice and discussions, membership of professional associations and collaborating on projects that are not joint ventures.

Entry No.	Description of Records	Disposal Action
176.067.001	Liaison with external agencies, professional associations and community groups on veterinarian issues of significance to the Territory.	Retain as Territory Archives

Mapping Programs

The activities associated with the collection, management and presentation of land information.

Entry No.	Description of Records	Disposal Action
176.222.001	Final controlled versions of program outputs. Includes:	Retain as Territory Archives
	 Aerial photographs; Maps; Plans; Survey data; Indexes; Film and digital images; and Reports or explanatory notes to program of mapping outputs. 	
176.222.002	 Plan preparation, including: Architecture; Land management; Surveying; Town planning; and Transport engineering. 	Retain as Territory Archives

Notifications

The activities of notifying businesses and residents of a failure to comply with the Department's standards and regulations, inappropriate practices, or the Department's intention to take action. Includes the management of notices.

Entry No.	Description of Records	Disposal Action
176.173.001	Records documenting the issuing of quarantine notifications.	Retain as Territory Archives
176.173.002	Records documenting the issuing of notices regarding failure to comply with statutory standards for incidents of significance to the Territory.	Retain as Territory Archives

Planning

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

Entry No.	Description of Records	Disposal Action
176.079.001	Final versions of management plans for major	Retain as Territory
	projects.	Archives

Policy

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

Entry No.	Description of Records	Disposal Action
176.080.001	Final versions of policies.	Retain as Territory Archives

Registration

The activities to record, catalogue, inventory or list. The establishment and maintenance of registers containing information required by legislation.

Entry No.	Description of Records	Disposal Action
176.155.001	Establishment and maintenance of registers	Retain as Territory
	containing information of significance to the	Archives
	Territory.	

Regulation and monitoring

Activities that check, observe, or record the operation of equipment, infrastructure, services or systems.

Entry No.	Description of Records	Disposal Action
176.166.001	Activities related to the regulation and	Retain as Territory
	monitoring of issues of significance to the	Archives
	Territory.	

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.

[For the Annual Report drafting process, use PUBLICATIONS - Drafting.

For submissions of annual reports to the Portfolio Minister, use GOVERNMENT RELATIONS - Compliance.]

Entry No.	Description of Records	Disposal Action
176.088.001	Final versions of internal formal reports and	Retain as Territory
	reports made to external agencies.	Archives

Research

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

Entry No.	Description of Records	Disposal Action
176.091.001	Major research carried out relating to veterinary services for the conservation and management of native fauna, captive wildlife, pest species and domestic animals. Including research carried out for contribution to nationally coordinated programs.	Retain as Territory Archives

Service Provision

The activities relating to services provided by an agency on a long term basis or by other agencies. Includes requests and applications for services, assessment of eligibility and entitlements, liaison with other agencies regarding the provision of services. Also includes activities to lobby for services and to increase service provision. Also includes the installation, operation and removal of temporary facilities in parks and reserves, such as water, electricity, temporary toilets, etc. for special outdoor events.

Entry No.	Description of Records	Disposal Action
176.169.001	Records of diagnosis and treatment of endemic	Retain as Territory
	or exotic diseases as defined in legislation.	Archives

Submissions

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.

Entry No.	Description of Records	Disposal Action
176.102.001	Final versions of submissions (other than Cabinet submissions) relating to significant issues.	Retain as Territory Archives
176.102.002	Working papers documenting the development of Cabinet submissions.	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 NI2008-253		Dated	3 July 2008	
New Features (Insertions)				
FUNCTION	Activity	Entry no.	Description	
Enhancements (Changes)				
		T. 4	D 1.0	
FUNCTION VETERINARY	Activity Appeals	Entry no. 176.009.001	Description omit	
SERVICES	(decisions)		(e.g. Administrative Appeals Tribunal)	
			substitute	
			(e.g. Australian Capital Territory Civil and Administrative Tribunal (ACAT))	
VETERINARY SERVICES	Implementation	176.053.001 (Second class)	omit 176.053.001	
		Class)	170.033.001	
			substitute	
			176.053.002	
	Advice	Scope Note	Updated	
	Agreements	Scope Note	Updated	
	Committees	Scope Note	Updated	
	Compliance	Scope Note	Updated	
	Reporting	Scope Note	Updated	
	Standards	Scope Note	Updated	
Corrections (Deletions)				

Entry no.

Description

Activity

FUNCTION