

Australian Capital Territory

Territory Records (Records Disposal Schedule – Workplace & Safety Policy Records) Approval 2011 (No 1)

Notifiable instrument NI2011—96

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 – Workplace and Safety Policy Records) Approval 2011 (No 1)

2. Approval

I approve the Records Disposal Schedule – Workplace and Safety Policy Records.

3. Commencement

This instrument commences on the day after notification.

4. Revocation

I revoke Notifiable Instrument NI2006-446 notified 13 December 2006.

David Wardle
Director of Territory Records
28 February 2011



Records Disposal Schedule

Workplace & Safety Policy Records

Table of Contents

INTRODUCTION	5
PURPOSE	5
SCOPE	5
AUTHORITY	5
STRUCTURE AND RELATIONSHIP TO THE TERRITORY VERSION OF KEYWORD AAA	5
<i>Whole-of-Government Thesaurus</i>	6
GUIDELINES FOR USE	6
<i>Coverage of authority</i>	6
<i>Layout of the schedule</i>	7
FORMAT OF RECORD	8
<i>Electronic records</i>	8
DESTRUCTION OF RECORDS	8
UPDATING THE RECORDS DISPOSAL SCHEDULE	8
ASSISTANCE IN USING THE RECORDS DISPOSAL SCHEDULE	8
RELATED LEGISLATION	9
DEFINITIONS	10
<i>Agency</i>	10
<i>Appraisal</i>	10
<i>Business Classification Scheme</i>	10
<i>Principal Officer</i>	10
<i>Records</i>	10
<i>Records of an Agency</i>	10
<i>Records Disposal Schedule</i>	11
<i>Records Management Program</i>	12
<i>Recordkeeping Systems</i>	12
<i>Scope Note</i>	12
<i>Sentencing</i>	12
<i>Territory Archives</i>	12
BUSINESS CLASSIFICATION SCHEME	13
<i>WORKPLACE & SAFETY POLICY</i>	14
RECORDS DISPOSAL SCHEDULE	17
<i>WORKPLACE & SAFETY POLICY</i>	18
<i>Advice</i>	18
<i>Agreements</i>	19
<i>Analysing</i>	19
<i>Authorisation</i>	20
<i>Committees</i>	20
<i>Meetings</i>	21
<i>Planning</i>	21

Records Disposal Schedule – Workplace & Safety Policy Records February 2011

<i>Policy</i>	22
<i>Procedures</i>	22
<i>Reporting</i>	23
<i>Research</i>	24
<i>Reviewing</i>	24
<i>Tendering</i>	25
<i>Training Approval</i>	27
RETAIN AS TERRITORY ARCHIVES	28
<i>WORKPLACE & SAFETY POLICY</i>	29
<i>Advice</i>	29
<i>Agreements</i>	30
<i>Committees</i>	30
<i>Planning</i>	31
<i>Policy</i>	31
<i>Procedures</i>	31
<i>Reporting</i>	31
<i>Research</i>	32
<i>Reviewing</i>	32
SCHEDULE OF AMENDMENTS – this information is provided for the assistance of users but does not form part of the Notifiable Instrument	33

INTRODUCTION

The *Records Disposal Schedule – Workplace & Safety Policy Records* is the official authority for the disposal of records relating to Workplace & Safety Policy 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 Workplace & Safety Policy 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 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 replaced 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 – Workplace & Safety Policy 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 Workplace & Safety Policy 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 – Workplace & Safety Policy Records:

- covers all Workplace & Safety Policy 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;
- microfiche;
- COM (computer output microfiche);
- electronic records, including various electronic media, and
- any other formats.

Electronic records

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

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

DESTRUCTION OF RECORDS

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

UPDATING THE RECORDS DISPOSAL SCHEDULE

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

ASSISTANCE IN USING THE RECORDS DISPOSAL SCHEDULE

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

RELATED LEGISLATION

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

Annual Leave Act, 1973

Dangerous Substances Act, 2004

Evidence Act, 1971

Financial Management Act, 1986

Freedom of Information Act, 1989

Gas Safety Act, 2000

Holidays Act, 1958

Long Service Leave Act, 1976

Long Service Leave (Contract Cleaning Industry), Act 1981

Long Service Leave (Building and Construction Industry) Act, 1981

Machinery Act, 1949

Occupational Health and Safety Act, 1989

Parental Leave (Private Sector Employees) Act, 1992

Privacy Act, 1988

Public Sector Management Act, 1994

Road Transport Reform (Dangerous Goods) Act, 1995 (Cwlth)

Scaffolding and Lifts Act, 1912

Standard Time and Summer Time Act, 1912

Territory Records Act, 2002

Utilities Act, 2000

Workers Compensation Act, 1951

and subordinate legislation.

DEFINITIONS

Agency

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

Appraisal

The process of evaluating business activities to:

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

Business Classification Scheme

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

Principal Officer

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

Records

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

Records of an Agency

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

Records Disposal Schedule – Workplace & Safety Policy Records February 2011

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

WORKPLACE & SAFETY POLICY

The function of providing workplace and safety policy to the Territory Government and agencies and to private sector organisations. Includes the development and provision of policy and advice on private sector workplace relations issues, work safety, workers' compensation and labour policy. Also includes administering the statutory obligations of the Occupational Health and Safety Act 1989, including secretariat services for occupational health and safety and workplace safety committees and councils, such as preparing minutes of meeting, undertaking research, developing submissions and papers and activities associated with the nomination, appointment and resignation of council members.

[Use OCCUPATIONAL HEALTH & SAFETY (OH&S) for programs that relate to the agency's workplace and employees.

Use PUBLIC SERVICE MANAGEMENT for the activities involved in workforce planning, service-wide industrial negotiations, government injury prevention and management strategies, and service-wide workplace agreement making.

Use WORKCOVER for records relating to occupational health and safety, workers compensation and the regulation of dangerous goods in the ACT.]

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.

Analysing

The activities associated with systematically applying statistical and logical techniques to describe, summarise and compare data and/or information collected. Includes the process of analysis. NI2006-138 - Treasury Management Records

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.

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.

Planning

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

Policy

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

Procedures

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

Reporting

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

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 agency programs, projects, working papers, literature searches etc.

Reviewing

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

Tendering

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

Training approval

The activities involved in approving training programs developed and implemented by external service providers. Includes assessing training content and material and maintaining a list of approved training providers.

RECORDS DISPOSAL SCHEDULE

Records Disposal Schedule – Workplace & Safety Policy Records February 2011

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
155.006.001 ■■■■■■■■■■■■■■■■■■■■	Final version of significant agreements with government bodies or private organisations with implications for major liabilities or obligations	Retain as Territory Archives
155.006.002 ■■■■■■■■■■■■■■■■■■■■	Negotiations, establishment, maintenance and review of significant agreements.	Retain as Territory Archives
155.006.003 ■■■■■■■■■■■■■■■■■■■■	Final version of other agreements.	Destroy 7 years after completion or other termination of agreement or contract
155.006.004 ■■■■■■■■■■■■■■■■■■■■	Negotiations, establishment, maintenance and review of other agreements.	Destroy 7 years after signing of agreement

Analysing

The activities associated with systematically applying statistical and logical techniques to describe, summarise and compare data and/or information collected. Includes the process of analysis.

Entry No.	Description of Records	Disposal Action
155.280.001 ■■■■■■■■■■■■■■■■■■■■	Data collected on workers' compensation and workplace accidents used for analysis of trends and the creation of statistics and other reports.	Destroy 40 years after date of last action

Records Disposal Schedule – Workplace & Safety Policy Records February 2011

- Draft minutes.

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.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
155.072.001 ■■■■■■■■■■■■■■■■■■■■	Final version of minutes and supporting documents tabled at meetings held to support the function. Includes meetings with external agencies.	Destroy 3 years after action completed
155.072.002 ■■■■■■■■■■■■■■■■■■■■	Working papers documenting the conduct and administration of meetings held to support the function. Includes agenda, notices of meetings and draft minutes.	Destroy 6 months after last action

Planning

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
155.079.001 ■■■■■■■■■■■■■■■■■■■■	Final versions of plans for major projects.	Retain as Territory Archives
155.079.002 ■■■■■■■■■■■■■■■■■■■■	Final version of plans for other projects.	Destroy 5 years after action completed
155.079.003 ■■■■■■■■■■■■■■■■■■■■	Working papers used to develop plans for projects. Includes draft plans, reports analysing issues, and comments on draft plans.	Destroy 1 year after adoption of final plan

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.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
155.088.001 ■■■■■■■■■■■■■■■■■■■■	Final version of internal formal reports and reports made to external agencies relating to workplace and safety and industrial policy.	Retain as Territory Archives
155.088.002 ■■■■■■■■■■■■■■■■■■■■	Final version of periodic internal reports used to monitor and document recurring activities. Includes the collection and reporting of statistical information.	Destroy 7 years after action completed
155.088.003 ■■■■■■■■■■■■■■■■■■■■	Working papers documenting the development of reports. Includes drafts and comments received.	Destroy 2 years after action completed
155.088.004 ■■■■■■■■■■■■■■■■■■■■	Responses to surveys, questionnaires etc. carried out for workplace safety and industrial relations policy.	Destroy 2 years after action completed

RETAIN AS TERRITORY ARCHIVES

Records Disposal Schedule – Workplace & Safety Policy Records February 2011

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

Changes to NI2006-446

Dated

13 December 2006

New Features (Insertions)

FUNCTION	Activity	Entry no.	Description

Enhancements (Changes)

FUNCTION	Activity	Entry no.	Description
WORKPLACE & SAFETY POLICY	Scope Note of Activity Training Approval		<i>omit</i> TARDiS STAFF DEVELOPMENT <i>substitute</i> PERSONNEL
WORKPLACE & SAFETY POLICY	All	All	Class numbers updated to latest format.
	Advice	Scope Note	Updated
	Agreements	Scope Note	Updated
	Committees	Scope Note	Updated
	Meetings	Scope Note	Updated
	Reporting	Scope Note	Updated

Corrections (Deletions)

FUNCTION	Activity	Entry no.	Description