

Australian Capital Territory

Territory Records (Records Disposal Schedule – Emergency Awareness Records) Approval 2012 (No 1)

Notifiable instrument NI2012—184

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 – Emergency Awareness Records) Approval 2012 (No 1)

2. Approval

I approve the Records Disposal Schedule – Emergency Awareness Records.

3. Commencement

This instrument commences on the day after notification.

4. Revocation

I revoke Notifiable Instrument:

NI2011-91 notified 7 March 2011.

David Wardle
Director of Territory Records
28 March 2012



Records Disposal Schedule

Emergency Awareness Records

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INTRODUCTION

The *Records Disposal Schedule – Emergency Awareness Records* is the official authority for the disposal of these ACT Government 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 other Territory Records Disposal Schedules.

PURPOSE

The purpose of this Records Disposal Schedule is to provide for the authorised disposal of 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 such as a records disposal freeze. Current records disposal freezes can be found at the Territory Records Office Internet site <http://www.territoryrecords.act.gov.au/recordsadvice>.

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 WHOLE OF GOVERNMENT THESAURUS

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 – Emergency Awareness 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 Whole of Government Thesaurus originally based on the Territory Version of Keyword AAA. The Records Disposal Schedule is designed to be applicable to all ACT Government 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 which incorporated 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 original Territory Version of Keyword AAA. Essentially, appraisal involves attaching record retention periods and disposal decisions (and even records creation requirements and rules) to the same classification scheme.

GUIDELINES FOR USE

Coverage of authority

The *Records Disposal Schedule - Emergency Awareness Records*:

- covers all ACT Government records;
- is intended to be used in conjunction with other Territory Records Disposal Schedules;
- 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 record classes covered by this Records Disposal Schedule:

Emergencies Act 2004

Evidence Act 1971

Freedom of Information Act 1989

Health Records (Privacy and Access) Act 1997

Occupational Health and Safety Act 1989

Privacy Act 1998 (Commonwealth)

Public Sector Management Act 1994

Territory Records Act 2002

DEFINITIONS

Agency

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

Appraisal

The process of evaluating business activities to:

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

Business Classification Scheme

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

Principal Officer

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

Records

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

Records of an Agency

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

Records Disposal Schedule

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

EMERGENCY AWARENESS

The function of raising the awareness of the community about emergencies and authorisation and inspections of activities, premises and equipment. Includes community education programs, schools visits, public displays at the Canberra Show etc.

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.

Arrangements

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

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 the agency 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.

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.

Community Education

The activities associated with all aspects of public education and community awareness programs. Includes the development, planning and delivery of programs.

Compliance

The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements to which the agency is subject. 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.

Enquiries

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

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 and includes first aid treatment.

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.

Joint Ventures

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

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.

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 organisation according to formulated policy.

Public Reaction

The process of handling public reaction to an organisation's policies or services. Includes anonymous letters, letters of complaint and letters of congratulations or appreciation received from the public.

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.

Reviewing

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

Standards

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

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

Arrangements

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
088.011.001 ■■■■■■■■■■■■■■■■■■■■	Records detailing arrangements made to support the Emergency Awareness function.	Destroy 2 years 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 the agency in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
088.013.001 ■■■■■■■■■■■■■■■■■■■■	Final audit reports relating to operational audits of the Emergency Awareness function that result in substantial changes to policy or have a significant impact on operations.	Retain as Territory Archives
088.013.002 ■■■■■■■■■■■■■■■■■■■■	Other final audit reports relating to operational audits of the Emergency Awareness function.	Destroy 7 years after audit competed
088.013.003 ■■■■■■■■■■■■■■■■■■■■	Working papers relating to operational audits of the Emergency Awareness function.	Destroy 2 years after audit competed

Authorisation

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
088.014.001 ■■■■■■■■■■■■■■■■■■■■	Records relating to applications for permits to burn off, hold fireworks display, etc. Includes tasks associated with	Destroy 7 years after last action

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.

Amendments to the Emergency Awareness Records Disposal Schedule

Dated March 2012

Function (Amendments)

The EMERGENCY AWARENESS disposal schedule reissued as a separate Instrument due to removal of the MATERIEL SUPPORT Function from NI2011-91 Emergency Services Records and according to current procedures.

New Features (Insertions)

Activity	Entry no.	Description

Enhancements (Changes)

Activity	Entry no.	Description