## Territory Records (Records Disposal Schedule – Publication Records) Approval 2013 (No 1)

Notifiable instrument NI2013—370

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 – Publication Records) Approval 2013 (No 1)

#### 2. Approval

I approve the Records Disposal Schedule – Publication Records.

#### 3. Commencement

This instrument commences on the day after notification.

#### 4. Revocation

I revoke Notifiable Instrument:

NI2009-450 notified 11 September 2009

Danielle Wickman Director of Territory Records 27 August 2013



# **Records Disposal Schedule**

# **Publication Records**

## **Table of Contents**

INTRODUCTION	5
PURPOSE	5
SCOPE	5
AUTHORITY	
STRUCTURE AND RELATIONSHIP TO THE TERRITORY VERSION OF	
KEYWORD AAA	5
Whole-of-Government Thesaurus	
GUIDELINES FOR USE	
Coverage of authority	
Layout of the schedule	
FORMAT OF RECORD	
<i>Electronic records</i>	
DESTRUCTION OF RECORDS	
UPDATING THE RECORDS DISPOSAL SCHEDULE	
ASSISTANCE IN USING THE RECORDS DISPOSAL SCHEDULE	8
RELATED LEGISLATION	
Evidence Act 2011	9
DEFINITIONS	10
Agency	10
Appraisal	
Business Classification Scheme	10
Principal Officer	10
Records	
Records of an Agency	
Records Disposal Schedule	
Records Management Program	
Recordkeeping Systems	
Scope Note Sentencing	
Territory Archives	
BUSINESS CLASSIFICATION SCHEME	
PUBLICATION	
RECORDS DISPOSAL SCHEDULE	
PUBLICATION	
Advice	
Agreements	
Agreements (Continued)	
Audit Committees	
Committees Compliance	
Compliance	
Corporate Style	
Disposal	

Distribution	23
Drafting	23
Enquiries	24
Evaluation	24
Intellectual Property	25
Joint Ventures	25
Joint Ventures (Continued)	26
Marketing	26
Marketing (Continued)	27
Meetings	27
Planning	27
Planning (Continued)	28
Policy	
Policy (Continued)	29
Procedures	29
Production	30
Production (Continued)	
Production (Continued)	32
Production (Continued)	33
Reporting	33
Research	34
Reviewing	34
Risk Management	
Stocktake	35
Tendering	35
Tendering (Continued)	
Tendering (Continued)	37
RETAIN AS TERRITORY ARCHIVES	38
PUBLICATION	39
Production	
Production (Continued)	
SCHEDULE OF AMENDMENTS – this information is provided for the assistance of users but does not form part of the Notifiable Instrument	

## **INTRODUCTION**

The *Records Disposal Schedule – Publication 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 <u>http://www.territoryrecords.act.gov.au/recordsadvice</u>.

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 – Publication 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 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 Director of Territory Records 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 - Publication Records:

- covers all records related to the function;
- 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 records classes covered by this Records Disposal Schedule:

Copyright Act 1968 Copyright Amendment (Digital Agenda) Act 2000 Evidence Act 2011 Financial Management Act 1996 Freedom of Information Act 1989 Government Procurement Act 2001 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**

#### Records Disposal Schedule – Publication Records 27 August 2013

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** 

#### **PUBLICATION**

The function of having works, irrespective of format, issued for sale or distribution internally or to the public. Includes drafting, manual or electronic production (design, layout, typesetting, printing etc.), marketing and supply of publications by the agency. Also includes external publications (such as technical papers, issues papers, articles for professional journals and reports) and leaflets which aim to promote the services and public image of the agency; and internal publications (such as newsletters, circulars, procedure manuals etc.), which are not produced for public relations reasons. Also includes multi media publications, CD-ROM and on-line information services.

#### **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.

#### Audit

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

#### **Committees**

The activities associated with the establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agendas, etc. of committees and task forces.

#### *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.

#### Corporate Style

The activity of compiling and administering guidelines on the consistency in written style, graphic design, corporate wardrobe etc within the agency. Includes designing logos, letterhead, stationery, publications etc that incorporate the corporate image of the agency.

#### Disposal

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

#### **Distribution**

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

#### Drafting

The activities associated with preparing preliminary drafts or outlines of addresses, reports, articles, plans, sketches, etc prior to production.

#### **Enquiries**

The activities associated with handling requests for information about the agency and its services, programs and activities.

#### **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.

#### **Intellectual Property**

The activities involved in managing the agency's intellectual property, both published and unpublished, and the use of material held by the agency in which another party owns the intellectual property. Includes management of copyright, design, patents and trademarks, royalties and matters of confidentiality, such as trade secrets, which are not available to the public under Freedom of Information (FOI) legislation.

#### Joint Ventures

The activities involved in managing joint operations between the agency and 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.

#### Marketing

The process of analysing, creating and selling products and services. Includes market research, sales forecasting, advertising, media releases, promotion, pricing and product evaluation.

#### 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.

#### **Procedures**

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

#### **Production**

The activities involved in producing material into an end result or output (e.g. a product or publication). Includes design, layout, typesetting, desktop publishing, printing, binding etc.

#### 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.

#### 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 business activities in general. Includes following up enquiries relating to 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.

#### **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.

#### Stocktake

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

#### **Tendering**

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

## **RECORDS DISPOSAL SCHEDULE**

#### **PUBLICATION**

The function of having works, irrespective of format, issued for sale or distribution internally or to the public. Includes drafting, manual or electronic production (design, layout, typesetting, printing etc.), marketing and supply of publications by the agency. Also includes external publications (such as technical papers, issues papers, articles for professional journals and reports) and leaflets which aim to promote the services and public image of the agency; and internal publications (such as newsletters, circulars, procedure manuals etc.), which are not produced for public relations reasons. Also includes multimedia publications, CD-ROM and on-line information services.

#### Advice

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

Entry No.	Description of Records	Disposal Action
014.005.001	Records documenting the receipt and provision of advice provided on the publication function.	Destroy 3 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 contracts and agreements entered into for publishing joint ventures, use PUBLICATION - Joint Ventures.

For contracts concluded through carrying out a tendering process, use PUBLICATION - Tendering.]

Entry No.	Description of Records	Disposal Action
	Records documenting agreements made when an agency vests Crown copyright in another author or person/organisation.	Destroy 50 years after date of agreement or after the expiry date as specified in the agreement
014.006.002	Final version of agreements made to support the agency's publication function.	Destroy 7 years after expiry or completion or termination of agreement

#### Agreements (Continued)

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 contracts and agreements entered into for publishing joint ventures, use PUBLICATION - Joint Ventures.

For contracts concluded through carrying out a tendering process, use PUBLICATION - Tendering.]

Entry No.	Description of Records	Disposal Action
014.006.003	Records documenting negotiations, establishment, maintenance and review of agreements.	Destroy 7 years after expiry or completion or termination of
		agreement

#### Audit

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

Entry No.	Description of Records	Disposal Action
	Final internal and external audit reports relating to the publication function. Includes the final reports from audits conducted by the ACT Auditor General's Office.	Destroy 5 years after action completed
014.013.002	Records documenting the planning and conduct of internal and external audits relating to the publication function. Includes:	Destroy 5 years after action completed
	<ul> <li>liaison with the auditing body</li> <li>notes taken at opening and exit interviews</li> <li>draft reports</li> <li>comments.</li> </ul>	

#### **Committees**

The activities associated with the establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agendas, etc. of committees and task forces.

*Entry No.* 014.020.001

#### **Description of Records**

Records of internal and external committees formed to consider matters relating to the publication function. Includes:

- documents establishing the committee
- final versions of minutes
- reports
- recommendations
- supporting documents such as briefing papers and discussion papers.

Includes both internal and external committees.

014.020.002

Working papers documenting the conduct Destroy 6 months and administration of committees which after last action consider matters relating to the publication function. Includes:

**Disposal** Action

action completed

Destroy 3 years after

- agendas
- notices of minutes
- draft minutes.

#### Authorised by the ACT Parliamentary Counsel-also accessible at www.legislation.act.gov.au

#### *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.

014.021.001 

#### **Description of Records**

Records documenting agency compliance Destroy 7 years after with mandatory or optional standards or with statutory requirements for the publication function. Includes:

- lodgements of agency publications under Section 201 of the Copyright Act 1968
- allocation of ISBN, ISSN, barcodes and URL addresses
- the attachment of privacy statements to websites
- notifications to lead agencies of ٠ new titles
- use of official symbols
- Internet domain names. •

#### 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.

014.025.001 

#### **Description of Records**

Records documenting contract management relating to the publication function. Includes:

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

# **Disposal** Action

**Disposal** Action

termination of agreement or

contract

Destroy 7 years after

completion or other

action completed

#### Corporate Style

The activity of compiling and administering guidelines on the consistency in written style, graphic design, corporate wardrobe etc within the agency. Includes designing logos, letterhead, stationery, publications etc that incorporate the corporate image of the agency.

Entry No.	Description of Records	Disposal Action
014.027.001	Agency style manuals.	Destroy 6 months after last action
014.027.002	Records documenting the development and approval of designs for:	Destroy 6 months after last action
	<ul> <li>agency logos</li> <li>letterheads</li> <li>stationery</li> <li>publications incorporating the corporate image of the organisation.</li> </ul>	
	[For records documenting the production process, use PUBLICATION - Production.	
	For records documenting forms design, use INFORMATION MANAGEMENT - Control.]	
014.027.003	Records documenting rejected designs.	Destroy 6 months after last action
014.027.004	Records documenting the implementation and administration of the approved corporate style for:	Destroy 6 months after last action
	<ul><li> agency documents</li><li> stationery</li></ul>	

• publications.

#### Disposal

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

Entry No.	Description of Records	Disposal Action
014.034.001	Duplicate agency publications.	Destroy 6 months after last action

#### **Distribution**

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

Entry No.	Description of Records	Disposal Action
014.036.001	Records documenting the distribution activity for agency publications. Includes address lists.	Destroy 6 months after last action
	[For accounting records supporting the sale of publications, use FINANCIAL MANAGEMENT - Accounting.]	

#### Drafting

The activities associated with preparing preliminary drafts or outlines of addresses, reports, articles, plans, sketches, etc prior to production.

Entry No.	Description of Records	Disposal Action
014.038.001	Records documenting the drafting process of agency publications, including annual reports.	•
	[For final electronic/paper drafts, use PUBLICATION - Production.	
	For the drafting of legislation, use STRATEGIC MANAGEMENT - Legislation.]	

#### Enquiries

The activities associated with handling requests for information about the agency and its services, programs and activities.

*Entry No.* 014.040.001

#### **Description of Records**

Enquiries received from the public or another government agency seeking information about the agency's publications.

#### **Disposal** Action

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
014.042.001	Records documenting the evaluation of publication programs and products (e.g. websites and publications).	Destroy 5 years after evaluation completed
014.042.002	Records documenting the evaluation of manuscripts against the agency's publication plan and selection criteria.	Destroy 2 years after evaluation completed
	[For manuscripts chosen for publication, use PUBLICATION - Production.]	

#### **Intellectual Property**

The activities involved in managing the agency's intellectual property, both published and unpublished, and the use of material held by the agency in which another party owns the intellectual property. Includes management of copyright, design, patents and trademarks, royalties and matters of confidentiality, such as trade secrets, which are not available to the public under Freedom of Information (FOI) legislation.

[For handling infringements of an organisation's intellectual property, use LEGAL SERVICES - Infringements.

For the establishment and general management of intellectual property, use LEGAL SERVICES - Intellectual Property.

For the payment and receipt of royalties, use FINANCIAL MANAGEMENT - Accounting and/or FINANCIAL MANAGEMENT - Payments.]

Entry No.	Description of Records	Disposal Action
014.060.001	Requests from the public and other agencies for permission to reproduce either published or unpublished material in which the agency retains copyright. Includes liaison with the lead agency.	Destroy 7 years after action completed
014.060.002	Applications made by the agency to reproduce published material held under copyright by another agency, organisation or individual.	Destroy 7 years after action completed
	[For agreements undertaken to vest Crown copyright in another author or person/organisation, use PUBLICATION - Agreements.]	

#### Joint Ventures

The activities involved in managing joint operations between the agency and 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.

# *Entry No.* 014.062.001

#### **Description of Records**

Signed joint venture contracts under seal and supporting records.

#### **Disposal** Action

Destroy 12 years after completion or other termination of agreement or contract

#### Joint Ventures (Continued)

The activities involved in managing joint operations between the agency and 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.

Entry No.	Description of Records	Disposal Action
014.062.002	Records documenting the management of publishing joint ventures. Includes records relating to the establishment, maintenance and review of joint venture agreements and contracts.	
014.062.003	Signed simple joint venture contracts and agreements and supporting records.	Destroy 7 years after completion or other termination of agreement or contract

#### Marketing

The process of analysing, creating and selling products and services. Includes market research, sales forecasting, advertising, media releases, promotion, pricing and product evaluation.

Entry No.	Description of Records	Disposal Action
014.070.001	Records documenting the marketing of publications. Includes:	Destroy 5 years after action
	<ul> <li>research and assessment of products against market trends</li> <li>sales forecasting</li> <li>pricing and liaison with retailers.</li> </ul>	completed
	[For the development of a marketing plan, use PUBLICATION - Planning.]	
014.070.002	<ul> <li>Records documenting the promotion of agency publications. Includes:</li> <li>arranging advertising</li> <li>product launches</li> <li>displays at appropriate venues</li> <li>photographs.</li> </ul>	Destroy 3 years after action completed

#### Marketing (Continued)

The process of analysing, creating and selling products and services. Includes market research, sales forecasting, advertising, media releases, promotion, pricing and product evaluation.

*Entry No.* 014.070.003

#### **Description of Records**

Records documenting the sale of an agency's publications. Includes the receipt and processing of orders.

[For managing financial transactions supporting the sale of the agency's publications, use FINANCIAL MANAGEMENT - Accounting.]

#### **Disposal** Action

Destroy 1 year after sale

#### Meetings

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

Entry No.	Description of Records	Disposal Action
014.072.001	Final versions of minutes and supporting documents tabled at meetings held to support the publication function. Includes meetings with external agencies.	Destroy 3 years after action completed
014.072.002	<ul><li>Working papers documenting the conduct and administration of meetings held to support the publication function. Includes:</li><li>agendas</li></ul>	after last action
	<ul> <li>notices of meetings</li> </ul>	

• draft minutes.

#### Planning

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

*Entry No.* 014.079.001

**Description of Records** 

Final version of agency-wide publication plans.

#### **Disposal Action**

Destroy 3 years after plan is superseded

#### **Planning** (Continued)

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
014.079.002	Final versions of a section or business unit's publication plans, including state, regional or overseas office.	Destroy 3 years after plan is superseded
014.079.003	Final versions of marketing plans for a specific product or publication.	Destroy 3 years after action completed
014.079.004	Final versions of publication project plans for the production of a specific product or publication.	
014.079.005	<ul> <li>Working papers used to develop all publication plans. Includes:</li> <li>draft plans</li> <li>reports analysing issues</li> <li>comments received and input made by other areas of the agency.</li> </ul>	Destroy 1 year after adoption of final plan
014.079.006	Copies of all publication plans.	Destroy 6 months after superseded

#### **Policy**

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

Entry No.	Description of Records	Disposal Action
014.080.001	Records documenting the development and establishment of the agency's publication policies. Includes:	Destroy 5 years after policy is superseded
	<ul> <li>policy proposals</li> <li>research papers</li> <li>results of consultations</li> <li>supporting reports</li> <li>major drafts</li> <li>final policy documents.</li> </ul>	

#### **Policy** (Continued)

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

Entry No.	Description of Records	Disposal Action
	Records documenting comments made on the development of government-wide publication policies.	Destroy 2 years after promulgation of new policy
014.080.003	Working papers documenting the development of all publication policies.	Destroy 2 years after promulgation of new policy
014.080.004	Copies of policy documents and supporting papers.	Destroy 6 months after last action

#### **Procedures**

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

Entry No.	Description of Records	Disposal Action
014.082.001	Master set of agency manuals, handbooks, directives, etc. detailing procedures supporting the publication function.	Destroy 1 year after procedures are superseded
014.082.002	Records documenting the development of agency procedures supporting the publication function.	Destroy 1 year after production of procedures
014.082.003	Copies of manuals, handbooks, directives etc.	Destroy 6 months after last action

#### **Production**

The activities involved in producing material into an end result or output (e.g. a product or publication). Includes design, layout, typesetting, desktop publishing, printing, binding etc.

<i>Entry No.</i> 014.083.001	Description of Records Master set of agency publications produced before 1968 (i.e. before the commencement of legal deposit under the Copyright Act 1968). [For the disposal of duplicate agency publications produced before 1968, use PUBLICATIONS - Disposal.]	<i>Disposal Action</i> Retain as Territory Archives
014.083.002	Master copy of agency-produced films.	Retain as Territory Archives
	Snapshot of agency's public website. [For carrying out a risk analysis to determine the timing of taking a snapshot of an agency's website, use PUBLICATIONS - Risk Management. For system logs recording changes to websites and intranet site, use TECHNOLOGY & TELECOMMUNICATIONS - Control.]	Retain as Territory Archives
014.083.004	Publications produced only in an electronic format on an agency's public website.	Retain as Territory Archives
014.083.005	Agency publications other than those paper publications lodged with the National Library of Australia (NLA) under legal deposit or electronic publications lodged with the NLA's Pandora project (e.g. procedures, manuals and circulars).	Retain as Territory Archives

The activities involved in producing material into an end result or output (e.g. a product or publication). Includes design, layout, typesetting, desktop publishing, printing, binding etc.

Entry No.

014.083.006 

#### **Description of Records**

Agency publications produced after 1968 Retain as Territory (i.e. after commencement of legal deposit Archives with the National Library of Australia under the Copyright Act 1968). Includes all publications on CD-ROMs, disks, videos, audio tapes produced for the public using Territory funding and covers:

#### **Disposal** Action

- books •
- booklets •
- brochures
- conference proceedings •
- pamphlets
- programs •
- newsletters
- published reports (e.g. annual • reports)
- published training material •
- maps •
- plans •
- charts •
- posters •
- greeting cards •
- calendars .
- reprints of journal articles. •

[For the disposal of duplicate agency publications produced after 1968, use PUBLICATIONS - Disposal.]

The activities involved in producing material into an end result or output (e.g. a product or publication). Includes design, layout, typesetting, desktop publishing, printing, binding etc.

*Entry No.* 014.083.007

#### **Description of Records**

Records documenting the production process.

For paper-based publications includes:

- graphic design
- indexing
- final drafts of publications (electronic/paper version)
- proof-reading
- printing/binding.

For electronic publications includes:

- graphic design
- preparation of source files
- marking-up of document, including applying metadata
- quality assurance and testing of final HTML files
- creation of master version
- production of electronic media products (e.g. CD-ROMs, diskettes)
- updating and maintaining information and websites.

For films and videos includes:

- production scripts
- selection of a production company
- liaison with production companies.

[For the activities associated with the preparation of drafts prior to publication, use PUBLICATION - Drafting.

For documenting the assignment of identifiers (e.g. URL, ISSN and ISBN), use PUBLICATION - Compliance.

For planning the production of a specific product or publication, use PUBLICATION - Planning.]

#### **Disposal** Action

Destroy 3 years after production

The activities involved in producing material into an end result or output (e.g. a product or publication). Includes design, layout, typesetting, desktop publishing, printing, binding etc.

*Entry No.* 014.083.008

**Description of Records** 

Snapshot of an agency's intranet sites, extranet sites and websites hosted on behalf of other organisations.

**Disposal Action** 

Destroy 6 months after last action

#### Reporting

The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies, regulation, or legislation, e.g. Annual Report). Includes statistics and returns.

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

Entry No.	Description of Records	Disposal Action
014.088.001	Final versions of formal internal reports and reports made to external agencies relating to the publication function.	Destroy 5 years after action completed
014.088.002	Final versions of periodic internal reports on general administrative matters used to monitor and document recurring activities to support the publication function. Includes:	Destroy 3 years after action completed
	<ul> <li>work progress reports</li> <li>production reports</li> <li>reports against work plans</li> <li>reports on statistical and other surveys.</li> </ul>	
014.088.003	Working papers documenting the development of all reports. Includes drafts and comments received.	Destroy 1 year after action completed
014.088.004	Copies of publication reports.	Destroy 6 months after last action

#### 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 business activities in general. Includes following up enquiries relating to programs, projects, working papers, literature searches, etc.

Entry No.	Description of Records	Disposal Action
014.091.001	Records documenting research undertaken to support major publications of the agency.	Destroy 6 years after action completed
014.091.002	Records documenting routine research undertaken to support other publications of the agency.	Destroy 1 year after action completed

#### **Reviewing**

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

Entry No.	Description of Records	Disposal Action
014.093.001	Records documenting a review of agency programs and operations supporting the publication function. Includes:	Destroy 5 years after action completed
	<ul><li>documents establishing the review</li><li>final reports</li><li>action plans.</li></ul>	
014.093.002	Working papers documenting a review of agency programs and operations supporting the publication function.	Destroy 2 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.

<i>Entry No.</i> 014.095.001	<i>Description of Records</i> Records documenting risk management analysis undertaken to support the publication function. Includes:	<i>Disposal Action</i> Destroy 7 years after next risk assessment
	<ul> <li>records covering each stage of the process</li> <li>treatment schedules</li> <li>action plans.</li> </ul>	
014.095.002	Publications risk register.	Destroy 7 years after last risk assessment

#### Stocktake

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

Entry No.	Description of Records	Disposal Action
	Records documenting stocktakes of agency's publications (e.g. stocktake lists). Includes recommendations for the reprint/reproduction of a publication.	Destroy 2 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.

014.104.001

#### **Description of Records**

Signed contracts under seal and supporting records.

**Disposal Action** 

Destroy 12 years after completion or other termination of agreement or contract

#### **Tendering** (Continued)

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

Entry No.	Description of Records	Disposal Action	
014.104.002			
	<ul> <li>statements of requirements</li> <li>requests for proposals</li> <li>expressions of interest</li> <li>requests for tender (RFT)</li> <li>draft contracts.</li> </ul>		
014.104.003	Evaluation of tenders received against selection criteria. Includes:	Destroy 7 years after tender process	
	<ul> <li>records documenting arrangements for carrying out the evaluation process</li> <li>evaluation reports</li> <li>recommendations</li> <li>final reports</li> <li>public notices.</li> </ul>	completed	
014.104.004	Records documenting post-offer negotiations and due diligence checks.	Destroy 7 years after tender process completed	
014.104.005	Tender registers.	Destroy 7 years after last entry	
014.104.006	Signed simple contracts and agreements resulting from tenders and supporting records.	Destroy 7 years after completion or other termination of agreement or contract	
014.104.007	Contract registers.	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.

014.104.008

#### **Description of Records**

Records of unsuccessful tenders or a tender process where there is no suitable bidder, or where the tender process has been discontinued. Includes:

- submissions
- notifications of outcome
- reports on debriefing sessions.

#### **Disposal** Action

Destroy 2 years after tender process completed or decision made not to continue with the tender

## **RETAIN AS TERRITORY ARCHIVES**

#### **PUBLICATION**

The function of having works, irrespective of format, issued for sale or distribution internally or to the public. Includes drafting, manual or electronic production (design, layout, typesetting, printing etc.), marketing and supply of publications by the agency. Also includes external publications (such as technical papers, issues papers, articles for professional journals and reports) and leaflets which aim to promote the services and public image of the agency; and internal publications (such as newsletters, circulars, procedure manuals etc.), which are not produced for public relations reasons. Also includes multimedia publications, CD-ROM and on-line information services.

#### **Production**

The activities involved in producing material into an end result or output (e.g. a product or publication). Includes design, layout, typesetting, desktop publishing, printing, binding etc.

Entry No.	Description of Records	Disposal Action	
014.083.001	Master set of agency publications produced before 1968 (i.e. before the commencement of legal deposit under the <i>Copyright Act 1968</i> ).	Retain as Territory Archives	
	[For the disposal of duplicate agency publications produced before 1968, use PUBLICATIONS - Disposal.]		
014.083.002	Master copy of agency-produced films.	Retain as Territory Archives	
	Snapshot of agency's public website. [For carrying out a risk analysis to determine the timing of taking a snapshot of an agency's website, use PUBLICATIONS - Risk Management. For system logs recording changes to websites and intranet site, use TECHNOLOGY & TELECOMMUNICATIONS - Control.]	Retain as Territory Archives	
014.083.004	Publications produced only in an electronic format on an agency's public website.	Retain as Territory Archives	

The activities involved in producing material into an end result or output (e.g. a product or publication). Includes design, layout, typesetting, desktop publishing, printing, binding etc.

Entry No.	Description of Records	Disposal Action		
014.083.005	Agency publications other than those paper publications lodged with the National Library of Australia (NLA) under legal deposit or electronic publications lodged with the NLA's Pandora project (e.g. procedures, manuals and circulars).	Retain as Territory Archives		
	Agency publications produced after 1968 Retain as Territory (i.e. after commencement of legal deposit with the National Library of Australia under the <i>Copyright Act 1968</i> ). Includes all publications on CD-ROMs, disks, videos, audio tapes produced for the public using Territory funding and covers:			
	<ul> <li>Books</li> <li>Booklets</li> <li>Brochures</li> <li>conference proceedings</li> <li>pamphlets</li> <li>programs</li> <li>newsletters</li> <li>published reports (e.g. annual reports)</li> <li>published training material</li> <li>maps</li> <li>plans</li> <li>charts</li> <li>posters</li> <li>greeting cards</li> <li>calendars</li> <li>reprints of journal articles.</li> </ul> [For the disposal of duplicate agency publications produced after 1968, use PUBLICATIONS - Disposal.]			

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

Changes to Publication Records RDS		Dated	## August 2013	
New Features (Insertions)				
FUNCTION	Activity	Entry no.	Description	

#### **Enhancements (Changes)**

FUNCTION	Activity	Entry no.	Description
Publication	Production	014.083.006	Class was incorrect in Retain as Territory Archives section as the Scope Note duplicated class 014.083.005. Scope Note changed to reflect that in the body of the disposal schedule.
	Production	014.083.007	Scope Note and disposal action for this class were incorrectly included in the Retain as Territory Archives section. Class removed from the Retain as Territory Archives section.

#### **Corrections (Deletions)**

FUNCTION	Activity	Entry no.	Description