

Australian Capital Territory

Territory Records (Records Disposal Schedule – Personnel Records) Approval 2015 (No 1)

Notifiable instrument NI2015-358

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 – Personnel Records) Approval 2015 (No 1)

2. Approval

I approve the Records Disposal Schedule – Personnel Records.

3. Commencement

This instrument commences on the day after notification.

4. Revocation

I revoke Notifiable Instrument NI2011-97.

Danielle Wickman
Director of Territory Records
3 July 2015



Records Disposal Schedule

Personnel Records

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INTRODUCTION

The *Records Disposal Schedule - Personnel Records* is the official authority for the disposal of these ACT Government records.

It is one of a series of Whole of Government 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 Personnel records created or maintained by ACT Government Agencies.

SCOPE

This Records Disposal Schedule applies to records created or maintained by ACT Government Agencies. It applies to records in any format, including electronic records.

AUTHORITY

The Director of Territory Records, in consultation with stakeholders and the Territory Records Advisory Council, has approved this Records Disposal Schedule for use. The schedule does not take effect until it has been incorporated into an agency's Records Management Program that has been signed off by the Principal Officer of the agency.

Even so, officers using this Records Disposal Schedule should apply it with caution. They should be aware that the authorisations for disposal are given in terms of the *Territory Records Act 2002* only. Officers must not dispose of records in contravention of this Records Disposal Schedule or other requirements.

This Records Disposal Schedule will remain in force until a new schedule supersedes it or the Director of Territory Records withdraws it from use.

STRUCTURE AND RELATIONSHIP TO THE TERRITORY VERSION OF KEYWORD AAA

A Records Disposal Schedule generally specifies retention periods. That is, how long records are to be retained by the agency before being destroyed or retained as Territory Archives.

Retention periods set down in this schedule are minimum periods only and an agency may keep records for a longer period if considered necessary for business requirements. Reasons for longer retention could include legal requirements, administrative need or agency directives. **An agency must not dispose of any**

records where it is aware of possible legal action for which the records may be required as evidence or if there is a current records disposal freeze in effect.

The *Records Disposal Schedule - Personnel 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 Personnel 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 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 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 - Personnel 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:

ACT Civil and Administrative Tribunal Act 2008
Administrative Decisions (Judicial Review) Act 1989
Discrimination Act 1991
Electronic Transactions Act 2001
Evidence Act 2011
Freedom of Information Act 1989
Information Privacy Act 2014
Long Service Leave (Portable Schemes) Act 2009
Long Service Leave Act 1976
Statutory Declarations Act 1959 (Cwlth)
Territory Superannuation Provision Protection Act 2000
Work Health and Safety Act 2011
Workers Compensation Act 1951
Working with Vulnerable People (Background Checking) Act 2011
Workplace Privacy Act 2011

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.

Last Action

The moment an activity carried out on a record ceases. An activity can be a modification, an addition, a deletion or any other action carried out on a record.

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

PERSONNEL

The function of managing all employees and volunteer workers in the agency. Including encouraging staff to develop their skills and abilities (through activities, programs and events) to maximise their potential and increase their productivity by identifying and implementing all aspects of training and development needs and programs (internal and external) available. Also includes reviews of actions, overtime, salaries, superannuation, working hours.

Accidents

The activities involved in dealing with mishaps causing injury or damage. Includes damage or injury to the organisation's property or member of staff incurred while coming to, at, or leaving work, or to the general public or visitors whilst on the organisation's premises. Also includes measures to prevent accidents occurring.

Acquisition

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

Addresses (presentations)

The activity of giving addresses for training, professional, community relations or sales purposes. Includes speeches and multi-media presentations.

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.

Allowances

The activities involved in arranging and managing money paid to employees in addition to salary to cover expenses incurred in the course of employment (e.g. travelling allowances).

Arrangements

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

Audit

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

Authorisation

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

Claims

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

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.

Conferences

The activities involved in arranging or attending conferences held either by the agency or by other agencies or organisations. Includes registrations, publicity, and reports of participants, etc.

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.

Counselling

The activities associated with giving advice or guidance to an employee or client for various reasons.

Customer service

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

Discipline

The activities and actions associated with the disciplinary process. Includes investigation, charges, formal inquiries, and punishment.

Employment Conditions

The activities associated with managing the general conditions of employment for personnel.

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.

Grievances

The activities associated with the handling and resolution of grievances. Includes handling complaints over perceived discrimination, or those arising over work environment, work organisation or distribution, peers, supervisors or subordinates. Also includes complaints regarding the provision of access to opportunities such as training, equipment, promotion, or higher duties.

Infringements

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

Insurance

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

Leave

The process of administering leave for which staff are eligible. Includes unauthorised leave taken by staff.

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.

Mentoring

The activities involved in managing mentoring programs within the agency.

Moving

The process of relocation of an agency, business unit, workgroup or individual.

Performance Management

The process of identifying, evaluating, and developing corporate and employee work performance so that the agency's goals and objectives are achieved and also benefiting employees through recognition, performance feedback, catering for work needs and offering career guidance.

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.

Recruitment

The process of recruiting which includes applying for approval to fill existing vacancies, advertising vacant positions and handling applications, interviews, selection, culling and appointment. Also includes recruiting volunteers.

Rehabilitation

The process of managing programs designed to restore the injured worker to the fullest physical, psychological, social, vocational and economic usefulness of which they are capable - consistent with pre-injury status. Includes early intervention with appropriate, adequate and timely services through the use of a rehabilitation coordinator.

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.

Representatives

The activities associated with the nomination, appointment or resignation of individuals or groups of personnel appointed by the organisation or their co-workers as official representatives to organisations, offices, unions, workers participation committees, councils or groups. Includes organisational legal representatives.

Reviewing

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

Reviews (decisions)

The activities involved in the process of reviewing actions both by an agency, or an external body. Includes reviews of promotion decisions.

Salaries

The process of managing the payment of salaries to personnel.

Security

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

Separations

The activities associated with managing any method of leaving an agency. Includes resignation, transfer to another agency, retirement, dismissal, death, redundancy, retrenchment and dispensations of services of temporary personnel.

Social Clubs

The activities involved in the agency's relationship with social clubs.

Suggestions

The process of using suggestions from personnel and the public to improve the services and processes 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.

Training

The activities associated with all aspects of the provision of training and development (external/internal).

RECORDS DISPOSAL SCHEDULE

Acquisition

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

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

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

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

Entry No.	Description of Records	Disposal Action
012.003.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting the acquisition of goods (e.g. training packages) and services (e.g. training consultants) required to support the personnel function where there is no tender or contracting-out process (i.e. where the cost of the acquisition is below the threshold for tendering or where a purchase is made against a period contract). <i>[For the acquisition of staff development goods and services through a tender process, use PERSONNEL - Tendering.</i> <i>For managing contracted services supporting the acquisition process, use PERSONNEL - Contracting-out.]</i>	Destroy 7 years after last action

Addresses (presentations)

The activity of giving addresses for training, professional, community relations or sales purposes. Includes speeches and multi-media presentations.

[For the publication of addresses in conference proceedings or training material, use PUBLICATION - Production.]

Entry No.	Description of Records	Disposal Action
012.004.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting the preparation of addresses and final versions of addresses delivered to conferences and training courses supporting staff training and development. Includes working papers and drafts.	Destroy 6 months after last action

Authorisation

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

Entry No.	Description of Records	Disposal Action
012.014.001 ■■■■■■■■■■■■■■■■■■■■	Delegations of power to agency staff to authorise administrative action and relating to the personnel function.	Destroy 7 years after delegation expires
012.014.002 ■■■■■■■■■■■■■■■■■■■■	Authorisations for administrative actions relating to the personnel function (e.g. authorisations to collect group certificates).	Destroy 7 years after last action

Claims

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

[For records of statistical reporting on claims, use GOVERNMENT INSURANCE SERVICES - Reporting.]

Entry No.	Description of Records	Disposal Action
012.019.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting insurance claims. Includes copies of claims, reports and related correspondence. <i>[For compensation claims covering personal injury lodged by ACTPS personnel, use COMPENSATION – Case Management.</i> <i>For compensation claims covering personal injury lodged by volunteer workers, use this activity.]</i>	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 Personnel Records Disposal Schedule

Dated xxxxx 2015

Function (Amendments)

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New Features (Insertions)

Activity	Entry no.	Description
Customer Service	012.030.001	New class to cover help desk voice recordings and associated records.

Enhancements (Changes)

Activity	Entry no.	Description
Acquisition	Scope Note	Classification and disposal guidance added.
Addresses (presentations)	012.004.002	Class combined with 012.004.001.
Advice	Scope Note	Classification and disposal guidance added.
Agreements	Scope Note	Classification and disposal guidance added.
Audit	012.013.002	Class combined with 012.013.001.
Claims	Scope Note	Classification and disposal guidance added.
Committees	Scope Note	Classification and disposal guidance added.
Conferences	012.022.002	Class combined with 012.022.001.
Conferences	012.022.003	Moved to class 012.022.002.
Conferences	012.022.004	Moved to class 012.022.003.
Conferences	012.022.006	Class combined with 012.022.005 and deleted.
Discipline	012.033.001	Disposal action changed to correct the incorrect retention period.
Leave	012.065.002	Class combined with 012.065.001.
Leave	012.065.003	Moved to class 012.065.002.
Performance Management	012.078.002	Class combined with 012.078.001.
Performance Management	012.078.003	Moved to class 012.078.002.
Planning	012.079.002	Class combined with 012.079.001.
Planning	012.079.003	Classes combined and moved to 012.079.002.

Enhancements (Changes)		
Activity	Entry no.	Description
	012.079.004	
Planning	012.079.005 012.079.006	Classes combined and moved to 012.079.003.
Planning	012.079.007	Moved to class 012.079.004.
Security	012.097.003	Disposal action changed to correct the incorrect retention period.
Tendering	012.097.001	Class description changed.
Tendering	012.097.002 012.097.003 012.097.004	Classes combined and moved to 012.097.002.
Tendering	012.097.006	Moved to class 012.097.002.
Tendering	012.097.005 012.097.007	Classes combined and moved to 012.097.003.
Training	012.105.007	Class combined with 012.105.006.
Training	012.105.008 012.105.009	Classes combined and moved to 012.105.007.
Training	012.105.010	Moved to class 012.105.008.
Training	012.105.011	Moved to class 012.105.009.