

Territory Records (Records Disposal Schedule – Records & Information Management Records) Approval 2017 (No 1)

Notifiable instrument NI2017—87

made under the

Territory Records Act 2002, s 19 (Approval of schedules for the disposal of records)

1 Name of instrument

This instrument is the Territory Records (Records Disposal Schedule – Records & Information Management Records) Approval 2017 (No 1).

2 Commencement

This instrument commences on 27 February 2017.

3 Approval

I approve the Records Disposal Schedule – Records & Information Management Records.

4 Revocation

This instrument revokes:

Territory Records (Records Disposal Schedules - Information Management Records) Approval 2011 (No 1) NI2011-92

Danielle Wickman
Director of Territory Records
16 February 2017



Records Disposal Schedule

Records & Information Management Records

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INTRODUCTION

The *Records Disposal Schedule – Records & Information Management 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 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 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 take all reasonable steps to ensure that no legal action is contemplated in relation to its records and 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 - Records & Information Management 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 Whole of Government Thesaurus. The Records Disposal Schedule is designed to be applicable to all records relating to the function described in this schedule regardless of titling conventions used, so that records, which have not been classified and 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 former Territory Version of Keyword AAA (TVKAAA) (2010). In the Whole of Government Thesaurus all functions are considered to be functions performed by the ACT Government and have been included following consultation with stakeholder 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 classifying and titling of their 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 (Records, Information and Data) Standard 2016*. Appraisal is based upon the same type of analysis of business activity employed in the classification scheme used in the Whole of Government Thesaurus. Essentially, appraisal involves attaching record retention periods and disposal decisions (and even records creation requirements and rules) to the same classification scheme.

GUIDELINES FOR USE

Coverage of authority

The *Records Disposal Schedule - Records & Information Management Records*:

- covers all records related to the function;
- is intended to be used in conjunction with other Territory Whole of Government 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:

Crimes Act 1900

Criminal Code 2002

Electronic Transactions Act 2001

Evidence Act 2011

Financial Management Act 1996

Freedom of Information Act 1989

Health Records (Privacy and Access) Act 1997

Information Privacy Act 2014

Legal Aid Act 1977

Limitation Act 1985

Territory Records Act 2002

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 created and 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

RECORDS & INFORMATION MANAGEMENT

The function of managing the records and information resources of government and its organisations to ensure recordkeeping compliance and to meet their operational needs and, if appropriate, to allow public access to the records consistent with the *Territory Records Act 2002* and the *Freedom of Information Act 1989*. Includes the creation, keeping, protection, preservation, storage and disposal of, and access to records of an organisation, and developing strategies to manage records as archival resources for the benefit of future generations. Also includes the acquisition, control and disposal of library and other information products or items kept for reference purposes and the provision of records and information services to internal and external customers.

Acquisition

The activities associated with acquiring goods, services or works from an external source by purchase, lease, rental or exchange. Includes acquisition planning and evaluation, providing or receiving acquisition advice, liaison with vendors and service providers, purchase requests, quotations, purchase orders, bids and offers, tenders, the establishment of contracts and agreements, including service level agreements and memorandums of understanding, and arrangements for the delivery of goods and services.

Advice

The activities associated with offering formal opinions and advice as to an action, judgement or topic. Includes legal advice and formal advices required by legislation, e.g. Records Advice.

Audit

The activities associated with officially checking the activities, processes, services and operations of organisations, companies or other entities to ensure conformance with agreed or legislated standards, policies, procedures, or other requirements. Includes internal or external financial, recordkeeping, skills, systems, operational, quality assurance or compliance audits.

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.

Contract Management

The activities associated with managing the performance of work or the provision of services by external consultants and contractors following their initial engagement. Includes instructions to contracted personnel, progress reports, monitoring of expenditure against budgets, and performance reviews. Also includes outsourcing.

Disposal

The activities associated with the disposal of assets no longer required by sale, auction, transfer, destruction, decommissioning or other means. Includes disposal plans, assessments and investigations, approvals, disposal agreements and arrangements and destruction or transfer of semi-active and inactive records and information.

Donations

The activities associated with managing money, equipment, artefacts, property, or other items donated either by or to the organisation, including unsolicited donations and gifts registers.

Information Access & Use

The activities associated with handling requests to access and use information, including requests to access information under freedom of information, privacy or archives legislation, and requests to use or reproduce information subject to copyright or other intellectual property. Also includes the application for and management of intellectual property, such as copyright associated with information resources.

Operation & Control

The activities associated with the day-to-day use, operation, control and security of land, property, vehicles, plant, equipment, systems, and information technology assets and associated services. Includes the logging of damage, faults or incidents during operation, scheduling, logging and reporting on day-to-day usage and operations, providing operational advice, instructions, helpdesk and support services and monitoring and reviewing the performance of daily operations. Also includes controlling data, information and records to ensure maximum control over records and recordkeeping systems and mechanisms for other information resources and systems by creating, maintaining and evaluating control mechanisms for classification, indexing, registration, forms design, security and tracking, etc.

Planning

The activities associated with carrying out systematic planning in order to meet strategic, business or operational goals and objectives.

Policies & Procedures

The activities associated with drafting, developing and implementing policies, procedures, and guidelines establishing decisions, directions, precedents and standard methods of operating which act as a reference for future decision making, and maintaining their currency over time. Includes guidelines devised by both internal and external sources of authority, rules and instructions.

Standards

The activities associated with developing and/or implementing industry or organisation specific benchmarks for services and processes to enhance the quality and efficiency of an organisation, business or industry.

RECORDS DISPOSAL SCHEDULE

RECORDS & INFORMATION MANAGEMENT

The function of managing the records and information resources of government and its organisations to ensure recordkeeping compliance and to meet their operational needs and, if appropriate, to allow public access to the records consistent with the *Territory Records Act 2002* and the *Freedom of Information Act 1989*. Includes the creation, keeping, protection, preservation, storage and disposal of, and access to records of an organisation, and developing strategies to manage records as archival resources for the benefit of future generations. Also includes the acquisition, control and disposal of library and other information products or items kept for reference purposes and the provision of records and information services to internal and external customers.

[For evaluating, reviewing and reporting on the performance of the function, business area, or specific organisation programs and services, use STRATEGY & GOVERNANCE – Performance Management.

For the development of business and corporate plans which set the strategic agenda and direction for the organisation, use STRATEGY & GOVERNANCE – Planning.

For disaster and business continuity planning, taking out insurance premiums to manage risks and handling associated insurance claims, use STRATEGY & GOVERNANCE – Risk Management & Insurance.]

Acquisition (Continued)

The activities associated with acquiring goods, services or works from an external source by purchase, lease, rental or exchange. Includes acquisition planning and evaluation, providing or receiving acquisition advice, liaison with vendors and service providers, purchase requests, quotations, purchase orders, bids and offers, tenders, the establishment of contracts and agreements, including service level agreements and memorandums of understanding, and arrangements for the delivery of goods and services.

[For the ongoing management of contracts and agreements with consultants, contractors and service providers once established, use Contract Management.

For acquisition policies, procedures and guidelines, use STRATEGY & GOVERNANCE - Policies & Procedures.

For donations of property, vehicles, equipment, artefacts, money or other items donated to the organisation, use Donations.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
198.003.001 Cont.	<ul style="list-style-type: none"> • minutes of meetings with main stakeholders, includes meetings with external agencies; • performance and evaluation reports; • evaluation of potential programs and services relating to government priorities, policies or economic reforms; • review of agency government & stakeholder related programs and operations, including documents establishing the review, final reports, action plans; • tender and contract registers; • unsuccessful tenders or where there is no suitable bidder or tender process discontinued; • formal requests for quotes; • orders; • library and records materials and/or services (e.g. on-line services, media monitoring services); • interlibrary loan payments information provided by vendors; • handover reports; 	Destroy 12 years after last action

Acquisition (Continued)

The activities associated with acquiring goods, services or works from an external source by purchase, lease, rental or exchange. Includes acquisition planning and evaluation, providing or receiving acquisition advice, liaison with vendors and service providers, purchase requests, quotations, purchase orders, bids and offers, tenders, the establishment of contracts and agreements, including service level agreements and memorandums of understanding, and arrangements for the delivery of goods and services.

[For the ongoing management of contracts and agreements with consultants, contractors and service providers once established, use Contract Management.

For acquisition policies, procedures and guidelines, use STRATEGY & GOVERNANCE - Policies & Procedures.

For donations of property, vehicles, equipment, artefacts, money or other items donated to the organisation, use Donations.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
198.003.001 Cont.	<ul style="list-style-type: none"> • formal internal reports and reports made to external agencies; • periodic internal reports; • responses to surveys by other agencies or by the central office of an agency; • analysis of business processes; • whole-of-government outsourcing solutions; • routine forms and correspondence relating to the acquisition; • acquisitions not proceeded with; • working papers. <p><i>[For the management of media items, use GOVERNMENT & STAKEHOLDER RELATIONS - Media Relations.</i></p> <p><i>For joining organisations to obtain subscriptions to an organisation's publications, use GOVERNMENT & STAKEHOLDER RELATIONS - Partnerships & Collaboration.</i></p> <p><i>For managing financial transactions supporting acquisition activities, use FINANCE & TREASURY MANAGEMENT - Accounting.</i></p> <p><i>For the acquisition of applications and systems, use INFORMATION & COMMUNICATIONS TECHNOLOGY - Acquisition.]</i></p>	Destroy 12 years after last action

Disposal (Continued)

The activities associated with the disposal of assets no longer required by sale, auction, transfer, destruction, decommissioning or other means. Includes disposal plans, assessments and investigations, approvals, disposal agreements and arrangements and destruction or transfer of semi-active and inactive records and information.

[For disposal policies, procedures and guidelines, use Policies & Procedures.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
198.034.002 Cont.	<ul style="list-style-type: none">• periodic internal reports on general administrative matters used to monitor and document recurring disposal activities;• cumulative summary reports;• drafts and comments received;• work progress reports;• working papers.	Destroy 5 years after last action

[For lists of records destroyed where the master control records are not annotated, use RECORDS & INFORMATION MANAGEMENT – Operation & Control.]

Information Access & Use (Continued)

The activities associated with handling requests to access and use information, including requests to access information under freedom of information, privacy or archives legislation, and requests to use or reproduce information subject to copyright or other intellectual property. Also includes the application for and management of intellectual property, such as copyright associated with information resources.

[For policies, procedures, standards and guidelines in relation to information access and use, use Policies & Procedures.

For the application and management of intellectual property such as patents associated with the design and development of hardware and software, use INFORMATION & COMMUNICATIONS TECHNOLOGY - Systems Development.

For the application and management of intellectual property such as patents associated with the design and development of vehicles, equipment and other assets, use PROPERTY, EQUIPMENT & FLEET – Construction.

For the payment of money to collecting societies, use FINANCE & TREASURY MANAGEMENT - Accounting.

For guidelines and procedures to support the administration of reproduction services in the agency, use Policies & Procedures.]

Entry No.	Description of Records	Disposal Action
198.418.003 Cont.	<ul style="list-style-type: none"> • agreements, including negotiations, establishment, maintenance and review of agreements; • recurring or protracted access requests received from the public; • reviews of agency programs and operations; • submissions seeking support for a project; • agency and government wide management of copying and copyright; • formal internal reports and reports made to external agencies; • periodic internal reports on general administrative matters used to monitor and document recurring activities, including cumulative summary reports and work progress reports; • reviews of agency programs and operations; • working papers. 	Destroy 10 years after last action

Operation & Control (Continued)

The activities associated with the day-to-day use, operation, control and security of land, property, vehicles, plant, equipment, systems, and information technology assets and associated services. Includes the logging of damage, faults or incidents during operation, scheduling, inventory and stocktake, logging and reporting on day-to-day usage and operations, providing operational advice, instructions, helpdesk and support services and monitoring and reviewing the performance of daily operations. Also includes controlling data, information and records to ensure maximum control over records and recordkeeping systems and mechanisms for other information resources and systems by creating, maintaining and evaluating control mechanisms for classification, indexing, registration, forms design, security and tracking, etc.

[For operating policies, procedures, manuals and/or guidelines, use Policies & Procedures.]

[For proactive or reactive maintenance works required to keep land, property, vehicles, plant, equipment or systems in good condition and working order, use Maintenance.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
198.419.001 Cont.	<ul style="list-style-type: none"> • business rules and configuration settings for metadata, including developmental records and requests for changes; • management of conservation projects for the preservation of rare, historical or heritage records or other information resources; • reviews of agency programs and operations supporting records and information management which result in significant findings or actions that cause major changes to government recordkeeping; • major security breaches where classified records and information have been removed from official custody and passed to a third party, including referral to law enforcement authorities. 	Retain as Territory Archives

[For agency documentation of its functional analysis, the development of its business classification scheme and the recordkeeping requirements necessary for the creation of an agency Records Disposal Schedule and functional

Operation & Control (Continued)

The activities associated with the day-to-day use, operation, control and security of land, property, vehicles, plant, equipment, systems, and information technology assets and associated services. Includes the logging of damage, faults or incidents during operation, scheduling, inventory and stocktake, logging and reporting on day-to-day usage and operations, providing operational advice, instructions, helpdesk and support services and monitoring and reviewing the performance of daily operations. Also includes controlling data, information and records to ensure maximum control over records and recordkeeping systems and mechanisms for other information resources and systems by creating, maintaining and evaluating control mechanisms for classification, indexing, registration, forms design, security and tracking, etc.

[For operating policies, procedures, manuals and/or guidelines, use Policies & Procedures.

For proactive or reactive maintenance works required to keep land, property, vehicles, plant, equipment or systems in good condition and working order, use Maintenance.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
198.419.002 Cont.	<ul style="list-style-type: none"> • recordkeeping audits and file census; • forms design and publication; • receipt and dispatch of agency ordinary, registered and certified mail; • ancillary records documenting the control of agency records; • control records documenting library systems; • planning, monitoring and evaluation of specific services; • customer surveys; • development and publication of service charters and directives; • management and use of translation services; • internal and external distribution of correspondence and other information items; • distribution lists; • enquiries from agency employees or another organisations; • inventories of library materials; • evaluation of potential or existing services and systems; • implementation of systems within an agency; 	Destroy 7 years after last action

Operation & Control (Continued)

The activities associated with the day-to-day use, operation, control and security of land, property, vehicles, plant, equipment, systems, and information technology assets and associated services. Includes the logging of damage, faults or incidents during operation, scheduling, inventory and stocktake, logging and reporting on day-to-day usage and operations, providing operational advice, instructions, helpdesk and support services and monitoring and reviewing the performance of daily operations. Also includes controlling data, information and records to ensure maximum control over records and recordkeeping systems and mechanisms for other information resources and systems by creating, maintaining and evaluating control mechanisms for classification, indexing, registration, forms design, security and tracking, etc.

[For operating policies, procedures, manuals and/or guidelines, use Policies & Procedures.

For proactive or reactive maintenance works required to keep land, property, vehicles, plant, equipment or systems in good condition and working order, use Maintenance.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
198.419.002 Cont.	<ul style="list-style-type: none"> • discovery orders and subpoenas; • inspections of agency records by a monitoring agency such as the Director of Territory Records or the Auditor General or any inspections of copyright records; • minutes and supporting documents tabled at internal or external agencies meetings; • formal internal reports and reports made to external agencies relating to records and information management; • cumulative summary reports and work progress reports; • working papers; • routine and detailed research; • reviews of agency programs and operations that result in no significant findings or actions; • management of agency conservation projects; • routine preservation activities; • specialised conservation treatment for agency records; • minor security breaches; 	Destroy 7 years after last action

Operation & Control (Continued)

The activities associated with the day-to-day use, operation, control and security of land, property, vehicles, plant, equipment, systems, and information technology assets and associated services. Includes the logging of damage, faults or incidents during operation, scheduling, inventory and stocktake, logging and reporting on day-to-day usage and operations, providing operational advice, instructions, helpdesk and support services and monitoring and reviewing the performance of daily operations. Also includes controlling data, information and records to ensure maximum control over records and recordkeeping systems and mechanisms for other information resources and systems by creating, maintaining and evaluating control mechanisms for classification, indexing, registration, forms design, security and tracking, etc.

[For operating policies, procedures, manuals and/or guidelines, use Policies & Procedures.

For proactive or reactive maintenance works required to keep land, property, vehicles, plant, equipment or systems in good condition and working order, use Maintenance.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
198.419.002 Cont.	<ul style="list-style-type: none"> • security arrangements for handling records and information; • agency submissions seeking support for an information management project; • suggestions received and used to improve records and information management services. <p><i>[For copies of invoices relating to payments for inter-library loans, use RECORDS & INFORMATION MANAGEMENT - Acquisition.</i></p> <p><i>For copies of copyright declaration forms, use RECORDS & INFORMATION MANAGEMENT - Information Access & Use.</i></p> <p><i>For records relating to formal audits, use STRATEGY & GOVERNANCE - Audit.</i></p> <p><i>For disciplinary action against staff for security related breaches involving records and information, use HUMAN RESOURCES – Performance Management.]</i></p>	Destroy 7 years after last action

Policies & Procedures (Continued)

The activities associated with drafting, developing and implementing policies, procedures, and guidelines establishing decisions, directions, precedents and standard methods of operating which act as a reference for future decision making, and maintaining their currency over time. Includes guidelines devised by both internal and external sources of authority, rules and instructions.

[For policy proposals and guidelines which form legislative instruments, use STRATEGY & GOVERNANCE – Legislation.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
198.273.002 Cont.	<ul style="list-style-type: none"> • comments made on the development of government wide records and information management policies; • the development of agency procedures; • drafts and input from other areas of the agency; • the creation of Records Disposal Schedules; • master sets of agency manuals, handbooks, directives, etc.; • working papers documenting the development of agency records and information management. 	Destroy 5 years after last action

[For the master copy of the business classification schemes developed as the foundation document for the Records Disposal Schedule, use RECORDS & INFORMATION MANAGEMENT – Operation & Control.

For records documenting the transfer, destruction and storage of records, use RECORDS & INFORMATION MANAGEMENT - Disposal.

For the recordkeeping risk assessment report, use STRATEGY & GOVERNANCE - Risk Management & Insurance.]

RETAIN AS TERRITORY ARCHIVES

Information Access & Use

The activities associated with handling requests to access and use information, including requests to access information under freedom of information, privacy or archives legislation, and requests to use or reproduce information subject to copyright or other intellectual property. Also includes the application for and management of intellectual property, such as copyright associated with information resources.

[For policies, procedures, standards and guidelines in relation to information access and use, use Policies & Procedures.

For the application and management of intellectual property such as patents associated with the design and development of hardware and software, use INFORMATION & COMMUNICATIONS TECHNOLOGY - Systems Development.

For the application and management of intellectual property such as patents associated with the design and development of vehicles, equipment and other assets, use PROPERTY, EQUIPMENT & FLEET – Construction.

For the payment of money to collecting societies, use FINANCE & TREASURY MANAGEMENT - Accounting.

For guidelines and procedures to support the administration of reproduction services in the agency, use Policies & Procedures.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
198.418.001	<p>Records documenting the management of access to and the use information, including requests to access information under freedom of information, privacy or archives legislation and other legislation specific to the agency, and requests to use or reproduce information subject to copyright and other intellectual property requests that:</p> <ul style="list-style-type: none"> • sets a precedent; • leads to a change of policy; • relates to issues of national significance; • relates to issues of public controversy; • relates to agreements with other governments on archival resources resulting from joint activities, e.g. joint Royal Commissions; • results in appeals to the ACT Civil and Administrative Tribunal (ACAT) or the Federal or High Court; • results of reviews resulting in significant findings or actions. 	Retain as Territory Archives

Operation & Control (Continued)

The activities associated with the day-to-day use, operation, control and security of land, property, vehicles, plant, equipment, systems, and information technology assets and associated services. Includes the logging of damage, faults or incidents during operation, scheduling, inventory and stocktake, logging and reporting on day-to-day usage and operations, providing operational advice, instructions, helpdesk and support services and monitoring and reviewing the performance of daily operations. Also includes controlling data, information and records to ensure maximum control over records and recordkeeping systems and mechanisms for other information resources and systems by creating, maintaining and evaluating control mechanisms for classification, indexing, registration, forms design, security and tracking, etc.

[For operating policies, procedures, manuals and/or guidelines, use Policies & Procedures.

For proactive or reactive maintenance works required to keep land, property, vehicles, plant, equipment or systems in good condition and working order, use Maintenance.]

Entry No.	Description of Records	Disposal Action
198.419.001 Cont.	<ul style="list-style-type: none"> • business rules and configuration settings for metadata, including developmental records and requests for changes; • management of conservation projects for the preservation of rare, historical or heritage records or other information resources; • reviews of agency programs and operations supporting records and information management which result in significant findings or actions that cause major changes to government recordkeeping; • major security breaches where classified records and information have been removed from official custody and passed to a third party, including referral to law enforcement authorities. 	Retain as Territory Archives

[For agency documentation of its functional analysis, the development of its business classification scheme and the recordkeeping requirements necessary for the creation of an agency Records Disposal Schedule and functional

Operation & Control (Continued)

The activities associated with the day-to-day use, operation, control and security of land, property, vehicles, plant, equipment, systems, and information technology assets and associated services. Includes the logging of damage, faults or incidents during operation, scheduling, inventory and stocktake, logging and reporting on day-to-day usage and operations, providing operational advice, instructions, helpdesk and support services and monitoring and reviewing the performance of daily operations. Also includes controlling data, information and records to ensure maximum control over records and recordkeeping systems and mechanisms for other information resources and systems by creating, maintaining and evaluating control mechanisms for classification, indexing, registration, forms design, security and tracking, etc.

[For operating policies, procedures, manuals and/or guidelines, use Policies & Procedures.

For proactive or reactive maintenance works required to keep land, property, vehicles, plant, equipment or systems in good condition and working order, use Maintenance.]

Entry No.	Description of Records	Disposal Action
198.419.001 Cont.	<p><i>thesaurus, use RECORDS & INFORMATION MANAGEMENT – Policies & Procedures.</i></p> <p><i>For the application, allocation and maintenance of the metadata in electronic systems, use INFORMATION & COMMUNICATIONS TECHNOLOGY – Operation & Control.</i></p> <p><i>For disciplinary action against staff for security related breaches involving records and information, use HUMAN RESOURCES – Performance Management.]</i></p>	Retain as Territory Archives

