

STATE RECORDS

of South Australia

General Disposal Schedule No. 30

State Government Agencies in South Australia

Disposal Schedule

Effective from 1 January 2020 to 30 June 2026

Version 2

Approved by SRC

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Approval for the commencement of this Schedule

State Records Act 1997

Government of South Australia

General Disposal Schedule No. 30, Version 2

for

State Government Agencies in South
Australia

Effective from 1 January 2020 to 30 June 2026

Approved By

Chair, State Records Council

Director [Manager], State Records

Approved 26 November 2019



Acknowledgments

General Disposal Schedule 30 was developed by State Records in collaboration with a Working Group established to provide agency and records management consultant input into the GDS development. Members of the Working Group included:

- Keith Nicholas, Senior Records Officer, Business, Technology and Information, Department of Environment, Water and Natural Resources
- Spiros Sarris, Principal Consultant, Information Governance, Ellin Corporation
- Colleen Turk, Records Disposal Coordinator / Information Management Services / Families SA / Department for Education and Child Development
- Ann Willock, Records Management Archivist, Return to Work SA.

The hard work and valuable input of Working Group members is greatly appreciated.

Feedback was also sought more broadly on specific sections of the GDS, as indicated under Consultation (p.7-8).

Consultation also occurred with the Across-Government Information and Records Management Strategy Group.

All comments and feedback received is acknowledged with much appreciation.

The cross-jurisdictional General Disposal Authority for National Bodies was also used as a valuable reference in the development of GDS 30.

General Disposal Schedule 30 Version 2 was developed by State Records primarily in response to recommendations of the Royal Commission into Institutional Responses to Child Sexual Abuse and to expand coverage in relation to the abuse of children or those who were children at the time of the incident/alleged abuse.

It also take into consideration records relating to vulnerable adults in relation to the current Royal Commissions into Aged Care Quality and Safety and the current Royal Commission into Violence, Abuse, Neglect and Exploitation of People with Disability.



Introduction

Scope

GDS 30 applies to the common records made or received by all State Government agencies in South Australia. The schedule does not apply to unique agency-specific records that document core agency functions. These records require coverage in an agency operational records disposal schedule (RDS).

GDS 30 applies to records in any format, both analog and digital – including paper, microform, audiovisual, graphic and electronic media – which document the functions and related activities described in the schedule.

Objectives

The aims of GDS 30 are to:

- accurately reflect the functions and activities associated with common records of State Government agencies
- identify records which are worthy of permanent preservation as part of the State's documentary heritage
- prevent the premature destruction of records which need to be retained for a specified period to satisfy legal, financial and other requirements and
- authorise the destruction of those records not required permanently.

Implementation

GDS 30 is issued under the *State Records Act 1997*.

The State Records Act was proclaimed in October 1997 to provide for the preservation and management of official records. GDS 30 is issued as a determination under section 23 of the Act.

Section 23 of the State Records Act states that no official records may be disposed of without a determination made by the Director [Manager], State Records and approved by the State Records Council.

GDS 30 provides State Government agencies with the means of disposing of their common records in an orderly, consistent and accountable manner.

GDS 30 Version 1 was approved by the State Records Council on 15 December 2015 and was effective from 1 January 2016 to 15 February 2016.

GDS 30 Version 1.1 was approved by the State Records Council on 16 February 2016 and was effective from 1 January 2016 to 31 December 2019. GDS 30 Version 1.1 did not differ from Version 1 other than the disposal action for item 6.11.1 was amended from "TEMPORARY Destroy 7 years after action completed" to "TEMPORARY Destroy 6 years after action completed".



GDS 30 Version 2 was approved by the State Records Council on 11 June 2019. However prior to becoming effective, further changes were made to the GDS at the 26 November 2019 State Records Council meeting.

GDS 30 Version 2 is effective from 1 January 2020 to 30 June 2026.

Changes approved at the State Records Council meeting of 11 June 2019

GDS 30 Version 2 takes into consideration responses to recommendations of the Royal Commission into Institutional Responses to Child Sexual Abuse in relation to incidents or allegations of child sexual abuse. It also details retention periods related to incidents or allegations of other abuse of children and young people, vulnerable adults and vulnerable adults or adults where the incidents or allegations of abuse occurred as a child.

Updates to GDS 30 also support recent changes to the *Statute of Limitations Act 1936* in relation to the removal of limitation periods for compensation claims for people who suffered abuse as children, including sexual abuse, serious physical abuse and related psychological abuse.

It also takes into consideration records relating to the current Royal Commission into Aged Care Quality and Safety and the current Royal Commission into Violence, Abuse, Neglect and Exploitation of People with Disability.

Changes regarding records relating to responses to Royal Commissions

- 5.17 EMPLOYEE MANAGEMENT – Training – new disposal class item 5.17.9
- 11.1 LEGAL SERVICES – Advice – additional wording to disposal class item 11.1.2
- 13.1 STRATEGIC MANAGEMENT – Advice – additional wording to disposal class item 13.1.1
- 13.17 STRATEGIC MANAGEMENT – Policy – new item number 13.17.7 and record example
- 13.18 STRATEGIC MANAGEMENT – Procedures – new item number 13.18.5
- 13.29 STRATEGIC MANAGEMENT – Abuse Incidents and Allegations – new activity, activity description and item numbers 13.29.1 and 13.29.2

It also changes the scope of administrative records to include some records common to all government agencies. Committees, meetings, policies and procedures relating to agency functions are now included in GDS 30 unless requiring coverage in agency RDS.

Changes regarding common records

- 13.5 STRATEGIC MANAGEMENT – Committees - removal of word (administrative) Change to note in description.
- 13.14 STRATEGIC MANAGEMENT – Meetings - change to note in description and new item number - 13.14.4



- 13.17 STRATEGIC MANAGEMENT – Policy - change to note in description and new record example in 13.17.1
- 13.18 STRATEGIC MANAGEMENT – Procedures - change to note in description and new item number –13.18.4.

Changes approved at the State Records Council meeting of 26 November 2019

A further amendment to GDS 30 was made at the State Records Council meeting of 26 November 2019 to include seal presses and official seals as permanent records. These are included at STRATEGIC MANAGEMENT – Authorisation – item number 13.4.1. This addition also required the Master, summary records of official seals at item 13.7.1 to change from temporary to permanent and the official seals record example was removed from ASSET/PHYSICAL RESOURCE MANAGEMENT – Disposal 1.6.2.

GDS 30 has been issued in electronic form via the State Records website (www.archives.sa.gov.au) to allow ease of use and greater accessibility.

Any modification of the Schedule by end users is not permitted. Changes can only be made with the approval of State Records and the State Records Council.

Updates/Amendments

GDS 30 was effective from **1 January 2016 to 31 December 2019**.

GDS 30 Version 2 is effective from **1 January 2020 to 30 June 2026** unless reviewed earlier as instructed by State Records or the State Records Council. Amendments approved by the State Records Council may be issued during this period.

Previous Disposal Schedules Revoked

General Disposal Schedules 10 – 14 issued in 1993, were revoked by General Disposal Schedule No. 15. General Disposal Schedule No. 17 issued in September 1999 was revoked in 2001 by the 5th Edition of General Disposal Schedule No. 15.

General Disposal Schedule 30 Version 1.1 revokes:

- General Disposal Schedule 15 (8th Edition)
- General Disposal Schedule 35 (Version 1)
- General Disposal Schedule 30 (Version 1).

General Disposal Schedule 30 Version 2 revokes:

- General Disposal Schedule 30 Version 1.1

Agencies are advised that disposal arrangements put in place in accordance with all previous General Disposal Schedules may need to be updated in the light of GDS 30 Version 2.



Further direction on re-sentencing is provided in *Re-sentencing of Records Guidelines* (as amended) available from the State Records website (<http://www.archives.sa.gov.au>).

Complementary Disposal Schedules

To identify records that may be potentially relevant to native title claims, please refer to the guideline ***Identifying documents which may be relevant to Native Title*** attached to **GDS 16**. Where records sentenced for temporary retention are identified as having potential relevance to a native title claim, they need to be retained until 31 December 2024.

To identify records that may be potentially relevant to ***Legal Proceedings or Ex Gratia Applications Relating to Alleged Abuse of Former Children Whilst in State Care***, please refer to **GDS 27**. Where records sentenced for temporary retention are identified as having potential relevance, they need to be retained until 31 December 2023.

To identify records that may be potentially relevant to the ***Royal Commission into Institutional Responses to Child Sexual Abuse***, please refer to **GDS 32**. Where records sentenced for temporary retention are identified as having potential relevance, they need to be retained until 31 December 2023.

To identify records that may be potentially relevant in relation to **Child Abuse or Alleged Child Abuse** please refer to **GDS 36**. Where records sentenced for temporary retention are identified as having potential relevance, they need to be retained until 31 December 2023.

To identify records that may be potentially relevant to the ***Royal Commission into Aged Care Quality and Safety***, please refer to **GDS 37**. Where records sentenced for temporary retention are identified as having potential relevance, they need to be retained until 31 December 2025.

To identify records that may be potentially relevant to the ***Royal Commission into Violence, Abuse, Neglect and Exploitation of People with Disability***, please refer to **GDS 38**. Where records sentenced for temporary retention are identified as having potential relevance, they need to be retained until 31 December 2025.

Consultation

In developing GDS 30 v1 targeted consultation occurred with the following specific agencies:

| AGENCY | GDS ISSUE |
|---|---|
| Cabinet Office | <ul style="list-style-type: none"> Cabinet Submissions |
| CRIMTRAC (Commonwealth) | <ul style="list-style-type: none"> Criminal History Checks – current practice, requirements |
| Crown Solicitor’s Office (CSO), Attorney-General’s Department | <ul style="list-style-type: none"> Function 11: LEGAL SERVICES |
| Department of Treasury and Finance (DTF) | <ul style="list-style-type: none"> Function 6: FINANCIAL MANAGEMENT |
| Independent Commission Against Corruption (ICAC) | <ul style="list-style-type: none"> Activity 13.8: STRATEGIC MANAGEMENT – Corruption & Disclosure |
| Industrial Relations Commission/Workers Compensation Tribunal | <ul style="list-style-type: none"> Function 8: INDUSTRIAL RELATIONS |



| | |
|---|--|
| Office of the Chief Information Officer (OCIO) | <ul style="list-style-type: none"> Function 10: INFORMATION TECHNOLOGY |
| Office for the Public Sector | <ul style="list-style-type: none"> Function 4: COMPENSATION Function 5: EMPLOYEE MANAGEMENT Function 8: INDUSTRIAL RELATIONS Function 14: WORK HEALTH & SAFETY |
| South Australian Captive Insurance Corporation (SAICORP) – part of the South Australian Government Financing Authority (SAFA), DTF | <ul style="list-style-type: none"> Function 4: COMPENSATION Activity 6.8: FINANCIAL MANAGEMENT - Insurance |
| South Australia Police (SAPOL) | <ul style="list-style-type: none"> Activity: Security Criminal History Checks – current practice, requirements |
| SafeWork SA | <ul style="list-style-type: none"> Function 4: COMPENSATION Function 14: WORK HEALTH & SAFETY |
| WorkCover Corporation/Return to Work SA | <ul style="list-style-type: none"> Function 4: COMPENSATION |

Agency consultation also occurred with the Across-Government Information and Records Management Strategy Group.

Agencies were also provided the opportunity to provide feedback on the draft GDS by means of notification on the State Records website.

GDS 30 Version 1.1 did not require consultation as it did not differ from Version 1 other than the disposal action for item 6.11.1, which covers fringe benefit tax (FBT) records, was amended from “Temporary, Destroy 7 years after action completed” to “Temporary, Destroy 6 years after action completed”. The change meant a more close alignment with the Australian Taxation Office’s retention requirements regarding FBT records.

In developing GDS 30 Version 2 State Records consulted with key government stakeholders in relation to the proposed changes to responses to recommendations of the Royal Commission into Institutional Responses to Child Sexual Abuse. State Records considered approaches being taken by other jurisdictions in relation to the current Royal Commission into Aged Care Quality and Safety and the current Royal Commission into Violence, Abuse, Neglect and Exploitation of People with Disability.

Adequate Records Management

Outcome 6 of *Adequate Records Management: Meeting the Standard* (State Records, as amended) requires records to be disposed of systematically in accordance with the State Records Act.

For State Government agencies an important aspect of compliance with the Standard is the application of GDS 30 as a routine part of their records management programs.

Retention periods in GDS 30 may be applied to records on creation and registration for later review; alternatively records may be sentenced when they become non-current.



Family Link Considerations

The determinations within GDS 30 are consistent with Recommendation 21 of the *National Inquiry into the Separation of Aboriginal and Torres Strait Islander Children from their Families*.

Recommendation 21 of the Inquiry states:

That no record relating to Indigenous individuals, families or communities or to any children, Indigenous or otherwise, removed from their families for any reason, whether held by government or non-government agencies, be destroyed.

Records to be protected under Recommendation 21 relate to children removed from their families, irrespective of whether a person is indigenous or non-indigenous.

Such records are most likely to be found in agency operational records under functions like community and family services, health management or justice services. In such instances, the records need to be covered by an operational RDS and deemed as PERMANENT.

Agencies are required to consult State Records if any doubt arises as to the retention status of any record likely to document an aspect of the separation issue or of potential value in re-establishing family links.

Native Title Considerations

The principles outlined in *GDS 16*, relating to Native Title claims, have also been considered in the development of this Schedule.

Government agencies in South Australia have a crucial role to play in relation to Native Title claims. As a party to Native Title claims, as well as holding the largest information source for indigenous claimants, it is vital that government agencies properly manage records relevant to Native Title claims. To enable this to happen State Records, in consultation with the Crown Solicitor's Office, has developed guidelines to help identify records with potential relevance to a claim. Agencies must ensure that they are taking measures to retain those records that may help to support or defend a claim, as destruction of such records may expose their agency and the government in general to large financial and legal penalties.

All documents considered relevant to native title in South Australia must be checked for actual relevance with the Native Title Section of the Crown Solicitor's Office before being disposed of.

Records Relating to Asbestos and Other Hazardous Substances

GDS 30 has been written to include provisions for the preservation of records that may be relevant to asbestos-related legal claims.

Due to the length of time that elapses between exposure to asbestos and the development of medical conditions, it is essential that South Australian government agencies ensure that relevant official records are preserved.

The use of asbestos as a building material ceased in 1986. With this in mind entries have been included in this schedule requiring that records that relate to building construction,



maintenance, fit out, make good and movement, on buildings constructed **before 1986**, be retained **for 100 years after action completed**. Records relating to buildings constructed after 1986 have retention periods that are shorter and do not include asbestos considerations.

GDS 30 also takes into consideration the long-term health impacts from exposure to certain hazardous substances (see p.25 for a definition of 'hazardous substance') other than asbestos. As a result, records relating to possible exposure to hazardous substances are also to be **retained for 100 years after action completed**.

Records Relating to Employee Checks and Screening

GDS 30 includes provisions for the disposal of records that may have relevance to the conduct of personal checks on and screening of employees.

Checks and/or screening may be conducted either when a person is being considered for employment within the public sector or when someone is already a public sector employee.

Criminal history checks, medical checks and drug use checks are included in GDS 30. Such checks are conducted by or on behalf of various agencies throughout the State Government and are a relatively routine occurrence.

GDS 30 recommends for the disposal of criminal history check information as outlined in the schedule body at item 5.15.1. It is recommended that these records be maintained separately from the personal file (which are retained until the person is 100 years of age). Summaries of a criminal history check, including outcome of the check, however, are disposed of in accordance with item 5.3.2 and may be retained on the personal file.

Records relating to medical, drug use or other personal checks are disposed of in accordance with item 5.3 and may be retained on the personal file.

Child-related employment, disability services, vulnerable persons, aged care and general employment screening are also included in GDS 30 under item 5.15.3. Such screening is conducted by the Department of Community and Social Inclusion on behalf of various agencies throughout the State Government.

GDS 30 recommends for the disposal of such screening information as outlined in the schedule body at item 5.15.3. It is recommended that these records also be maintained separately from the personal file, however, a summary of the screening outcome should be retained on the personal file and disposed of in accordance with item 5.3.2.

Copies of checks and screening provided by an individual, rather than sourced by a government agency, as part of the employee recruitment/pre-engagement/pre-appointment process are also covered by GDS 30, item 5.15.2.

Records During Administrative Change

Elections or decisions of the South Australian Government can result in 'administrative changes' to South Australian agencies. An 'administrative change' refers to a change in the responsibilities for the administration of government functions. These changes can occur as a result of:

- a function being transferred from one agency to another



- a whole agency being transferred from one portfolio to another
- the government undertaking new functions
- privatisation/outsourcing
- the abolition of a function.

When such changes occur, the records relating to the function in question need to be transferred to the new agency responsible for the function. Agencies, therefore, will need to relinquish control of and transfer official records to other agencies.

For further advice agencies should refer to State Records' guideline *Managing Records During Administrative Change* (as amended), available from the State Records website (www.archives.sa.gov.au).

Records in Digital Format

Data, information and documents, whether digital or paper-based, become official records when they are created or received in the conduct of South Australian Government business.

Digital records are a critical element in the conduct of the business of the Government of South Australia both for accountability and in the ongoing documentary heritage of the State. The Government, therefore, needs to strategically manage its digital records. Digital records can include e-mail messages, electronic documents, websites, spatial information, databases, line of business systems, online forms, information communicated via social media and so on.

Individual agencies are responsible for ensuring that digital records and their associated metadata are properly created and captured into official recordkeeping systems, survive without alteration or degradation, and remain in a readily accessible format (which includes content, structure and context) for the duration of prescribed retention periods.

State Records has released a number of standards and guidelines on specific types of digital records and recordkeeping issues. These are available from the State Records website (www.archives.sa.gov.au).



Records Required for Legal Purposes, Inquiries and/or Investigations

Official records cannot be destroyed if they are likely to be required for legal purposes. If an investigation, inquest, commission or inquiry is in progress (or forecast in Parliament or the press) all relevant records need to be identified and retained until the action, and any subsequent actions, are completed or appeal periods have lapsed.

Agencies should obtain legal advice if there is any possibility that destruction of a record could be prejudicial to the interests of the Government or its clients.

Records More than 50 Years Old Not Previously Sentenced

Where records are more than 50 years old and have not been previously sentenced using an authorised disposal schedule, temporary disposal actions in GDS 30 **cannot** automatically be applied.

TEMPORARY records more than 50 years old and previously unsentenced require a specific operational Records Disposal Schedule (RDS) to be submitted to the State Records Council for approval.

Records of any age, whether previously sentenced or not and which fit a description given in a PERMANENT disposal class, may be retained in accordance with General Disposal Schedule 30.

More information about the disposal of records more than 50 years old can be obtained from State Records (staterecords@sa.gov.au).

Pre-1901 Records

All pre-1901 records are required to be **retained permanently** in accordance with a motion approved by the State Records Council on 19 February 2008.

Government Record Group (GRG) Records Held in the Custody of State Records

GRG records are required to be retained permanently in accordance with a disposal determination made for all GRGs by the Manager of State Records and approved by the State Records Council on 9 November 1999.

Record Formats

GDS 30 applies to records in any format. This includes paper, microform (film or fiche), audiovisual, graphic, photographic and digital media.



Custody and Transfer of Records

Permanent Records

Section 19 of the State Records Act includes provisions for the transfer of custody of an official record:

- a) when the agency ceases to require access to the record for current administrative purposes or
- b) during the year occurring 15 years after the record came into existence - whichever first occurs.

Official records that have been sentenced as permanent, in accordance with an approved disposal schedule, are required to be transferred to State Records.

Agencies with valid reasons to retain permanent records for longer than 15 years should apply in writing to Director [Manager], State Records requesting either a postponement or an exemption from section 19.

It should be noted that postponement or exemption are only granted in exceptional circumstances.

Temporary Records

The custody of official records that have been sentenced as temporary is the responsibility of agencies. A policy and standards framework for the management and storage of temporary value official records has been established by State Records as documented in *Records of Temporary Value: Management and Storage: Standard and Guidelines (as amended)*. State Government agencies need to comply with these policy documents, available from the State Records website (www.archives.sa.gov.au).

The custody of official records on networks or hard drives is also the responsibility of State Government agencies. Agencies need to ensure that records in digital format remain accessible to authorised users for the duration of the designated retention period. State Records is, however, currently examining options for the transfer of permanent value digital records in electronic form to its custody.

Access Rights and Responsibilities

State Government agencies need to ensure that records, irrespective of format, will remain accessible for the duration of the designated retention period. By “accessible” it is meant that the information contained within a record remains readable for the life of the record. In addition, “accessible” also refers to the retrievability and availability of a record. Whether stored on or off-site, a record needs to be able to be retrieved and made available as soon as practicable (and, in any case, within 30 days).

Access to Records in the Custody of an Agency

For records in the custody of State Government agencies, conditions stipulated in the *Freedom of Information Act 1991* and the *Information Privacy Principles Instruction* need to be adhered to.



Access to Records in the Custody of State Records

Public access to records in the custody of State Records is governed by section 26 of the State Records Act, which stipulates:

“The agency responsible for an official record in the custody of State Records may, in consultation with the Manager [Director], State Records – (a) determine that access to the record (other than by the agency) is not subject to any restrictions...; or (b) determine conditions excluding or restricting access to the record”.

For further details on public access to records in the custody of State Records, State Government agencies can refer to the *Public Access Determinations Guideline* (State Records, as amended) available from the State Records website (www.archives.sa.gov.au). This guideline explains the rights and responsibilities of agencies in defining access determinations.

Agency access to records in the custody of State Records is governed by section 25 of the State Records Act.

State Government agencies are entitled to resume possession of an official record that has been in existence for more than 15 years if such a record is necessary for the proper performance of the functions of an agency.

In some instances, in the interest of records preservation, an agency's access to official records may be subject to conditions negotiated with the Director [Manager], State Records.

Retention Periods and Reactivation

Retention periods for temporary records shown in GDS 30 are minimum retention periods for which records must be retained before they are destroyed.

Retention periods are triggered by disposal actions listed in the Schedule.

If a record is reactivated after a retention period has commenced the time is recalculated from the date of the subsequent last action.

Reactivation is considered to have occurred when a record has been altered, added to or amended in a way that affects the date range of the record.

The reactivation of a record may be triggered by such events as:

- record retrieved to meet a Freedom of Information (FOI) request
- record retrieved to meet a subpoena
- record retrieved to meet a Royal Commission Notice to Produce
- record identified as being of significant risk management status
- record identified as being required for possible legal proceedings.

Reactivation is **not** triggered by a record being accessed for:

- research/reference where no change is made to the record
- making a copy of the record or partial record for another purpose
- filing documents within the existing date range of the record.



There is no requirement to destroy temporary records if an agency has a need to retain them longer than the designated minimum retention period. However, in the interests of efficient and economic records management, an agency should take all steps to reduce the storage costs of time-expired records.

Sentencing of Records

Agency employees or Records Management Consultants engaged in sentencing records should be experienced records administrators who have a good understanding of business process so that they are able to identify the functions and activities described in the Schedule.

As sentencing involves matching records with the applicable disposal class/es there is obvious value in using corresponding terms for both classification and disposal. Where only one disposal class applies to a particular function and activity it should be possible to sentence records at creation. Where more than one disposal class applies to a particular function and activity, the similarity in classification and disposal terms narrows down the number of disposal classes the sentencer has to consult.

The following points should be kept in mind when sentencing records:

- read definitions of the function and activity as well as descriptions of the disposal classes
- consult other function/activity combinations in the Schedule if there is any ambiguity
- always sentence records by their content, not just their titles - titles can be misleading and the status of records may change after a title is given to a record
- examples and notes are given in disposal classes as a guide to assist users, however disposal classes relate to all records which document the transaction described and are not limited to the examples given
- watch out for types of information that have permanent value, eg policy, precedent cases, exceptional decisions and events, Cabinet submissions, items of National or State significance, minutes of high level committees, etc
- watch out for records that are excluded from the Schedule, eg records more than 50 years old, records relating to Native Title discovery, records relating to agency-specific operational programs and projects, etc
- never try to make unique operational agency records “fit” into classes in the General Disposal Schedule - put the records to one side until an agency-specific operational Records Disposal Schedule is developed, if one does not already exist
- retention periods for temporary records must be carefully calculated from the disposal action trigger, eg “Destroy 2 years after action completed” or “Destroy 2 years after superseded”, remembering that in paper files the date of action completed may not be the date on the last item added to a file
- where a record contains information that falls into two or more disposal classes, in GDS 30 it must be sentenced in accordance with the disposal class with the longest retention period, BUT



- where a record contains information covered by a disposal class within both General Disposal Schedule 30 and an agency operational Records Disposal Schedule (RDS) it must be sentenced in accordance with the disposal class within the RDS
- sentencing on automated document and records management systems must always be subject to review and manual override before any disposal takes place
- retention periods in the Schedule are the minimum time that records have to be retained, and agencies may delay disposal for administrative or legal purposes.

Sentencers annotating disposal authority detail on hard copy records should use pencil, and make the markings in the area provided on the file cover.

Before undertaking large backlog sentencing projects contact State Records (staterecords@sa.gov.au) for advice.

Destruction of Temporary Records

Temporary records can only be destroyed with the approval of the Chief Executive or delegate in accordance with the *Destruction of Official Records Guideline* issued by State Records of South Australia. Failure to comply with this direction falls under Section 17 of the State Records Act and may be considered by ICAC as misconduct or maladministration.

Prior to destruction, the following General Disposal Schedules (GDS) need to be consulted:

- ***GDS 16 Impact of Native Title Claims on Disposal of Records*** to ensure records which are relevant to native title claims in South Australia are identified and preserved
- ***GDS 27 for Records Required for Legal Proceedings or Ex Gratia Applications Relating to Alleged Abuse of Former Children Whilst in State Care*** to ensure the preservation of official records that may relate to the rights and entitlements of the individuals who present a court claim or apply for an ex gratia payment and of the State Government in defending or processing those claims and applications
- ***GDS 32 for Records of Relevance to the Royal Commission into Institutional Responses to Child Sexual Abuse*** to ensure that records of relevance to the Royal Commission are protected and available for the purposes of the Royal Commission and any subsequent actions involving the South Australian Government as well as for future reference and accountability purposes and to protect the rights and entitlements of stakeholders.
- ***GDS 36 for Records of Relevance in relation to Child Abuse or Alleged Child Abuse*** to ensure that records of relevance are protected and available for any subsequent actions involving the South Australian as well as for future reference and accountability purposes and to protect the rights and entitlements of stakeholders.
- ***GDS 37 for Records of Relevance to the Royal Commission into Aged Care Quality and Safety*** to ensure that records of relevance to the Royal Commission are protected and available for the purposes of the Royal Commission and any subsequent actions involving the South Australian Government as well as for future reference and accountability purposes and to protect the rights and entitlements of stakeholders.



- **GDS 38 for Records of Relevance to the Royal Commission into Violence, Abuse, Neglect and Exploitation of People with Disability** to ensure that records of relevance to the Royal Commission are protected and available for the purposes of the Royal Commission and any subsequent actions involving the South Australian Government as well as for future reference and accountability purposes and to protect the rights and entitlements of stakeholders.

State Government agencies must ensure that all destruction is secure and confidential and that a certificate confirming destruction is provided by private contractors.

State Government agencies also need to ensure they keep their own record of all records destroyed, noting the relevant disposal authority. Proof of destruction may be required for legal purposes, or in response to FOI applications. When records are destroyed, systems that control them also need to be updated by inputting destruction dates and relevant disposal authorities.

Standard methods for destruction of paper are shredding, pulping or other means that are environmentally friendly.

Records in digital format must only be destroyed by reformatting or rewriting to ensure that the data and any “pointers” in the system are destroyed. “Delete” instructions do not offer adequate security as data may be restored or recovered.

For further advice about required destruction processes refer to the State Records website (www.archives.sa.gov.au).

Normal Administrative Practice

What is NAP?

NAP is the concept that material can be destroyed according to “normal administrative practices”. This provides for the routine destruction of drafts, duplicates and publications, with the test that it is obvious that no information of continuing value to the organisation will be destroyed. Originating in the National Archives of Australia the term is in general use in Commonwealth Government agencies and has been adopted by some Australian states.

Material that can be disposed of under NAP comprises items of an ephemeral or transitory nature created, acquired or collected by agency officers in the course of their official duties. Such material has no ongoing value and is not usually incorporated into the agency recordkeeping system. NAP falls into seven main groups:

- transitory or short term items, eg. phone messages, notes, compliment slips, office notices and circulars
- rough working papers and/or calculations created in the preparation of official records
- drafts not intended for further use or reference, excluding official version drafts of agreements, submissions and legal documents
- duplicate copies of material retained for reference purposes only
- published material which does not form an integral part of an agency record



- system printouts used to verify or monitor data, or answer ad hoc queries, that are not part of regular reporting procedures and not required for ongoing use
- transitory electronic data.

NAP in digital media

Just as telephone conversations or other verbal communications that contain information of ongoing value should be documented, so voice mail, e-mail, facsimiles, word processed documents, spreadsheets, etc. should be captured into corporate recordkeeping systems when they contain information of ongoing value.

Agency induction and procedures must ensure that all officers are aware of their recordkeeping responsibilities and that electronic records with ongoing value are captured and retained in an appropriate way.

Only data included in the seven categories outlined above may be deleted from electronic systems according to Normal Administrative Practice.

The NAP test

Where the information is not duplicated in the agency recordkeeping system, ask:

- Does the material form part of an agency transaction?
- Does it add value to an existing record?
- Does it show how a transaction was dealt with?
- Does it show how a decision was made?
- Does it show when or where an event happened?
- Does it indicate who was involved or what advice was given?
- Is it a formal draft of a Cabinet submission, an agreement or a legal document?
- Is the material included in a disposal class in General Disposal Schedule No.30 or in an agency operational Records Disposal Schedule?

If the answer to any of these questions is **YES** then the material must not be destroyed according to NAP.

Examples of NAP

Items that may be destroyed under NAP include:

- word processing documents and spreadsheets in electronic format after updating, printing, or transfer to electronic recordkeeping systems
- drafts and rough notes not intended for further use



- brochures, catalogues, price lists, unsolicited promotional material, etc. received from external sources
- superseded copies of instructions, guidelines, standards, etc., not included in a general or agency records disposal schedule
- extra copies of records no longer required for reference purposes
- copies of published items kept for personal reference
- unimportant messages and notes, eg. those required for only a few hours or a few days
- system printouts used to verify or monitor data, or answer ad hoc queries, that are not part of regular reporting procedures and are not required for ongoing use
- transitory electronic data or documents not relating to or supporting the business.

Remember that NAP is provided in the interests of efficient recordkeeping and extends to material of ephemeral and transitory value only.

Authority to use NAP

Destruction of material according to the above guidelines for Normal Administrative Practice is authorised by General Disposal Schedule No. 30.

Legal Deposit

Legal deposit refers to statutory provisions that oblige publishers to deposit copies of their publications in libraries in the country in which they are published. Under the Commonwealth *Copyright Act 1968* and various Australian state Acts, a copy of any work published in Australia must be deposited with (a) the National Library of Australia and (b) the appropriate State Library. Legal deposit extends not only to commercial publishers but also to private individuals, clubs, churches, societies and organisations.

In South Australia, one copy of publications produced for external use should be deposited with the State Library and the Parliamentary Library (section 35, *Libraries Act 1982*). Publications include books, newspapers, magazines, journals, pamphlets, maps, plans, charts, printed music, records, cassettes, films, video or audio tapes, computer software CD-ROMS, compact discs and other items made available to the public.

Further Advice and Assistance

State Records does not currently deliver face-to-face training to government agencies.

However, for advice and assistance on implementing GDS 30, as well as advice on records appraisal, disposal, destruction, transfer and storage, contact State Records or visit the State Records website (www.archives.sa.gov.au).

For suggested changes or updates to GDS 30, please also contact State Records (staterecords@sa.gov.au).



State Records Contact Details

State Records

GPO Box 464

ADELAIDE

South Australia 5001

Email: staterecords@sa.gov.au

Ph: +61 8 204 8791

DX: 336 Adelaide

Website: www.archives@sa.gov.au

Approved by SRC



Layout

The Schedule, featured in table landscape format, is arranged as described below:

Function

GDS 30 is divided into a number of functions:

- Asset/Physical Resource Management
- Board & Committee Management
- Community Relations
- Compensation
- Employee Management
- Financial Management
- Government Relations
- Industrial Relations
- Information Management
- Information Technology
- Legal Services
- Publication
- Strategic Management
- Work Health & Safety.

Each function is shown at the start of each division.

For each function a scope note has been included which provides a definition of the particular function and indicates whether or not the term is from the *Keyword AAA Thesaurus of General Terms* (State Records Authority of New South Wales, as amended). The scope note also identifies any exclusions or exceptions that the user needs to be aware of.

Item Number

The numbering in the Schedule is multi-level:

- functions have single numbers
- activities have two level numbers and
- disposal classes have three level numbers.

For example:



| | | | |
|-------|---|---|------------------|
| 2. | BOARD & COMMITTEE MANAGEMENT | <p>The function of establishing and managing the administration of boards and committees.</p> <p>In the context of this function a board or committee can also include tribunals, trusts, commissions, councils, authorities, panels, taskforces, forums or groups created by or under an Act of the Parliament of South Australia or by ministerial authority; and to which one or more appointments are made by a minister or the Governor.</p> <p>Bodies covered by this function may be established to either:</p> <ul style="list-style-type: none"> • advise an agency on agency matters or • oversee or provide a framework for the direction and control of an agency. <p>They may also be part-time or full-time.</p> <p>Also includes establishing and managing the administration of statutory officers.</p> <p>Also includes management of the nomination, appointment and separation of members, relations between an agency and the board or committee, and meetings of boards and committees or of formal subcommittees established by them.</p> | |
| 2.1 | Advice | <i>The activities associated with offering opinions by or to the organisation as to an action or judgment. Includes process of advising. (KWAAA)</i> | |
| 2.1.1 | Advice | Records documenting advice received or provided by a governing or advisory body to or from the Minister, the Government or the agency in accordance with the body's charter or terms of reference. | PERMANENT |

Activity

The activity relating to the particular function is shown in **11 point bold Arial**, e.g. **Advice**.

Description

Descriptions are at two levels, ranging from activities to specific disposal classes.

Definitions are provided for the activities in the Schedule and are featured in *11 point italic Arial*.



Descriptions of each disposal class are then provided under the activity header and description in 11 point Arial.

Disposal Action

Disposal actions relate to the disposal classes arranged under the activity descriptions. Status of the class is either PERMANENT or TEMPORARY with a disposal trigger and retention period given for all temporary records. It is to be noted that the retention period for temporary records is the minimum period.

See Reference

See References are used throughout the Schedule to indicate when disposal coverage is provided elsewhere in the Schedule by either a particular entry or number of entries. A See reference to multiple entries is cited as **See Item 5. EMPLOYEE MANAGEMENT (Various Activities)**, for example.

See Also Reference

See Also References are used throughout the Schedule to indicate when there is a related entry or number of entries. A See Also reference to multiple entries is cited as **See Also 6. FINANCIAL MANAGEMENT (Various Activities)**, for example.

List of Acronyms

| | |
|-------------|--|
| ABN | Australian Business Number |
| AS/ISO15489 | Australian Standard/International Standard on records management |
| ATO | Australian Taxation Office |
| CD-ROM | Compact Disk Read Only Memory |
| CE | Chief Executive |
| CHRIS | Corporate Human Resource Information System |
| EEO | Equal Employment Opportunity |
| eg | For example |
| etc | And the rest |
| EDRMS | Electronic Document and Records Management System |
| FBT | Fringe Benefits Tax |
| FOI | Freedom of Information |
| GDS | General Disposal Schedule |



| | |
|--------|--|
| GST | Goods and Services Tax |
| HIRMS | Hazard Incident Reporting Management System |
| HRMS | Human Relations Management System |
| ICAC | Independent Commissioner Against Corruption |
| ISO | International Standards Organisation |
| KAAA | Keyword AAA: A Thesaurus of General Terms |
| LAN | Local Area Network |
| NAP | Normal Administrative Practice |
| OH&S | Occupational Health & Safety |
| OPI | Office for Public Integrity |
| PAYG | Pay As You Go |
| RDS | Records Disposal Schedule |
| RTO | Registered Training Organisation |
| SA | South Australia |
| SAES | South Australian Executive Service |
| SAPOL | South Australia Police |
| SARKMS | South Australian Recordkeeping Metadata Standard |
| TAFE | Training and Further Education |
| VPN | Virtual Private Network |
| VPuN | Virtual Public Network |
| WAN | Wide Area Network |
| WH&S | Work Health & Safety |
| Y2K | Year 2000 |



List of Definitions

Readers should note that definitions in *Italics* are taken from *Keyword AAA: A Thesaurus of General Terms, revised edition 1998*, terms with a # hash are taken from *AS/ISO14589 Australian Standard/International Standard on records management –2002*, and terms with an asterix (*) are taken from the *State Records Act 1997*.

A glossary of recordkeeping terms can also be found on the State Records website (www.archives.sa.gov.au).

Abuse

Physical abuse – the infliction of pain or injury, physical coercion, or physical or drug induced restraint.

Psychological or emotional abuse – the infliction of mental anguish.

Financial or material abuse – the illegal or improper exploitation or use of funds or resources.

Sexual abuse – non-consensual sexual contact of any kind.

Neglect – the refusal or failure to fulfil a caregiving obligation. This may or may not involve a conscious and intentional attempt to inflict physical or emotional distress.

SA Information Sharing Guidelines for promoting safety and wellbeing (ISG) <https://www.ombudsman.sa.gov.au/wp-content/uploads/New-ISG.pdf>

Acquisitions

“Acquisitions” - includes the goods and services purchased by an agency or business unit. These include creditable acquisitions, GST free acquisitions and acquisitions for making input taxed supplies.

Action completed

A disposal action directing the legal destruction of records documenting a particular set of transactions linked to a function and activity set when **all** business action relating to that function and activity has been completed (if known).

Activity

A task or operation performed as part of an organisation’s business to execute some or all of a function. An activity may be performed in relation to one or more administrative or operational functions.



Agency*

An agency means:

- the Governor
- a Minister of the Crown
- a court or tribunal
- a person who holds an office established by an Act
- an incorporated or unincorporated body established for a public purpose by or under an Act; or established subject to control or direction by the Governor

Agency* (cont.)

- a Minister of the Crown or any instrumentality or agency of the Crown
- a department or other administrative unit of the public service
- the police force
- a municipal or district council
- a person or body declared to be an agency.

It does not mean:

- a House of Parliament or a committee of the Parliament or a House of Parliament
- a present or former officer of a House of Parliament
- a present or former member of a House of Parliament (other than a Minister in respect of records made or received in his or her capacity as a Minister)
- a present or former member of staff of a House of Parliament or the joint parliamentary service.

HOWEVER, in the context of this General Disposal Schedule Local Government is not covered.

Appraisal

The process of evaluating business activities to determine which records need to be captured and how long the records need to be kept to meet business needs, the requirements of organisational accountability and community expectations.

Keeping Archives (2nd Edition), Ellis (ed)

Audit

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



Boards & Committees

For the purposes of GDS 30 includes boards, committees, tribunals, trusts, commissions, councils, authorities, panels, taskforces, forums, and groups created by or under an Act of the Parliament of South Australia or by ministerial authority; and to which one or more appointments are made by a minister or the Governor. Boards and committees, for the purposes of GDS 30, may be governing (statutory) or advisory (non-statutory) bodies. They may also be part-time or full-time.

Children and young people

Unborn children, babies, children and young people up to the age of 18 years.

SA Information Sharing Guidelines for promoting safety and wellbeing (ISG) <https://www.ombudsman.sa.gov.au/wp-content/uploads/New-ISG.pdf>

Contract let

A contract is let when the tender process is completed, agreement is reached and the contract is signed.

Contract under seal

A contract under seal is also termed a specialty contract. A contract under seal is a formal contract which does not require any consideration and has the seal of the signer attached, eg a Minister's seal. It is conclusive between the parties when signed, sealed, and delivered.

Complex

A complex case is one that involves a multiplicity of uncertain areas of fact, law or both.

Compliance

Ensuring that the requirements of laws, regulations, industry codes and organisational standards are met.

AS3806-2006 Compliance Programs

Discovery order

A category of procedural devices employed by a party to a civil or criminal action, prior to trial, to require the adverse party to disclose information that is essential for the preparation of the requesting party's case and that the other party alone knows or possesses.



Dispose*

Dispose of an official record means destroy or abandon the record; or carry out an act or process as a result of which it is no longer possible or reasonably practicable to reproduce the whole or a part of the information contained in the record; or transfer or deliver ownership or possession of or sell the record, or purport to do so. Does not include transferring or delivering the record to State Records or between one agency and another. "Dispose", beyond the definition of the *State Records Act 1997*, can also include the permanent retention of a record.

Disposal class

Classes of records performing or recording similar activities or transactions (for example, a register or set of forms) and therefore having the same retention period and disposal action.

Electronic Document and Records Management System

An automated system used to manage the creation, use, management and disposal of physical and electronically created documents and records for the purpose of:

- supporting the creation, revision and management of digital documents
- improving an organisation's work flow
- providing evidence of business activities.

These systems maintain appropriate contextual information (metadata) and links between records to support their value as evidence. EDRMS are a subset of business information systems whose primary purpose is the capture and management of digital records.

Adapted from the ERMS entry of National Archives of Australia - Glossary

Employee

Includes a Ministerial, ongoing, temporary, part-time, casual, sessional, weekly paid and hourly paid employee, person working under scholarships, traineeships, apprenticeships, volunteer arrangements and similar relationships.

Office for the Public Sector

Equipment

Includes IT hardware, instruments, implements, tools, machines, plant, furniture and furnishings inside or outside a building.



Executive Employee

“(a) a member of the South Australian Executive Service (SAES); or

(b) an employee to whom clause 3(3) of Schedule 3 applies and who is not a member of SAES”

Public Sector Act 2009

Function

The first level of a Business Classification Scheme. Functions represent the major responsibilities that are managed by the agency to fulfil its goals. They are high level aggregates of the agency’s activities.

Guideline

A guideline is a recommended course of action based on evidence-based best practice.

Guidelines provide specific detail on matters which are the subject of legislation, regulation, policy or decision by agency executive and are discretionary.

A guideline should demonstrate:

- evidence-based best practice to promote accountability
- reference to related legislation, policy, decision by agency executive or operational need

DECD’s Brighter Futures e-bulletin (2013)

Hazardous substance

A substance or mixture that meets the criteria specified in the Approved Criteria for Classifying Hazardous Substances [NOHSC:1008(2004)].

Hazardous substances may be very toxic, harmful, corrosive, irritant, sensitising, carcinogenic, mutagenic, toxic to reproduction.

Hazardous Substances Regulations apply to substances that have health affects as mentioned above. The Regulations apply to those hazardous substances that are used or produced in a work activity.

High level

Describes issues or matters that involve Ministers, Cabinet or Across-Government bodies.



Inspections

SCOPE NOTE The process of official examinations of facilities, equipment and items, to ensure compliance with agreed standards and objectives. See also Audit.

SENTENCING TIP Use the Inspections activity for examinations of equipment, items and facilities.

Landmark

A landmark case is one that clarifies or provides guidance on what hitherto has been an uncertain area of law.

Landmark structures have cultural and historical significance, eg the Adelaide Railway Station, the State Bank (now known as the Westpac) Building and the “Treasury Building”.

Major/minor

Major refers to transactions which are greater in importance, impact, or which have added significance to the activity being documented. Minor includes all the other transactions of a routine nature.

Metadata

In the context of recordkeeping, metadata includes that which:

- gives a record its unique identity in the system and classifies it in a classification scheme
- describes content, structure and context. For example, a title, abstract, its type of format and context, who created it, where it was created, when it was created and its relationship with other records
- provides information or evidence about processes a record may have undergone such as viewing, transmitting, transferring custody, accessing, reviewing, sentencing, etc.

South Australian Recordkeeping Metadata Standard, State Records of South Australia

Meetings

SCOPE NOTE The activities associated with gatherings held to formulate, discuss, update, or resolve issues and matters pertaining to the management of the section, department, or organisation as a whole. Includes arrangements, agenda, taking of minutes etc. See also Committees.

SENTENCING TIP The Meetings activity deals with less formal gatherings pertaining to the management of something.

Migration#

The act of moving records from one system to another, while maintaining the records’ authenticity, integrity, reliability and usability.



National or State significance

In relation to buildings and properties, 'national or state significance' includes natural, historic and/or indigenous significance. A building or property of national or state significance may be listed in the Register of the National Estate, by the World Heritage Commission, or on a State heritage listing. Also includes classification by the National Trusts.

Adapted from National Archives of Australia Administrative Functions Disposal Authority (March 2010)

Normal Administrative Practice (NAP)

The concept that material can be destroyed according to "normal administrative practices". This provides for the routine destruction of drafts, duplicates and publications, with the test that it is obvious that no information of continuing value to the organisation will be destroyed. For further details see p.16-18.

Official record*

A record made or received by an agency in the conduct of its business, but does not include:

- a record made or received by an agency for delivery or transmission to another person or body (other than an agency) and so delivered or transmitted; or
- a record made by an agency as draft only and not for further use or reference;
- a record received into or made for the collection of a library, museum or art gallery and not otherwise associated with the business of the agency; or
- a Commonwealth record as defined by the Archives Act 1983 of the Commonwealth, as amended from time to time, or an Act of the Commonwealth enacted in substitution for that Act; or
- a record that has been transferred to the Commonwealth.

Permanent record

A record that has archival value and is retained permanently in accordance with an approved disposal schedule, and will be available for research by the general community subject to appropriate access conditions.



Personal file

Agencies must establish and maintain one personal file for each employee. It is recognised that some information will be stored separately in an electronic human resource management information system, but this information must be available on request by the employee and be provided to the 'new' agency as part of the personal file when an employee is assigned/appointed/transferred to another public sector agency and ceases employment with their previous substantive agency.

Personal files must be confidential and kept in a secure place. An employee is entitled to, on request, inspect the contents of their file and/or obtain a copy. Other than the employee, the only persons who are permitted to have access to a personal file are those who are required in the course of their duties to refer to the particular file.

Commissioner's Standard No.2 – Quality Staffing (March 2007) (superseded)

Policy

A policy is a concise, definitive statement of direction which is mandated and provides a framework for decision-making.

Policies state WHAT the agency's position is on a specific topic or issue, WHY it has adopted that position and to WHOM it applies.

A policy should demonstrate:

- legislative compliance and strategic alignment
- clear direction, accountability and transparency.

DECD's Brighter Futures e-bulletin (2013)

Position

Position refers to a number used by a Human Resource Management System to help monitor and track the FTE cap within a particular agency.

Procedure

A procedure is a series of mandatory step-by-step instructions that states how a policy or decision by agency executive must be implemented.

Procedures state WHO is responsible, WHAT they must do and HOW and WHEN they must do it.

A procedure should demonstrate:

- mandatory operational actions to be followed
- reference to related legislation, policy or decision by agency executive.

DECD's Brighter Futures e-bulletin (2013)



| | |
|------------------------------|--|
| Properties | Includes buildings and land allotments owned, rented or leased by the agency, such as office blocks, repositories and workshops. |
| Record* | <ul style="list-style-type: none">written, graphic or pictorial matter; or a disk, tape, film; orother object that contains information or from which information may be reproduced (with or without the aid of another object or device). |
| Recordkeeping metadata# | Data describing contexts, content and structure of records and their management through time. |
| Register | A register, traditionally maintained as a volume or set of index cards and more recently as a database, is a mean of control and information retrieval. It provides consolidated identification detail for a range of activities, including the management of assets, equipment and stores, and identification of contracts, staff and volunteers. |
| Retention period | <p>The period of time, usually based on an estimate of the frequency of current and future use, and taking into account statutory and regulatory provisions, that records need to be retained before their final disposal. Sometimes also used to indicate the length of time records are to be retained in offices before being transferred to secondary storage.</p> <p><i>Keeping Archives (2nd Edition), Ellis (Ed)</i></p> |
| Role | Is a body or package of work that is required to be undertaken at a particular remuneration level, eg Administrative Officer ASO2. |
| Sealed contract or documents | The term “contract under seal” or “sealed document” has a particular legal meaning and a specific retention period depending on whether they are governed by a State or Federal Act. Contracts or documents “under seal” have an official seal or impression located adjacent to the signatures. |
| Sentence | The act of applying the relevant disposal schedule to records. |



Significant or substantial

Significant or substantial involves public interest or controversy and may include cases where there was extensive parliamentary debate and/or coverage in the media, such as occurred in relation to: the State Bank litigation; the establishment of the Across-Government computer (EDS) contract; the sale/lease of the Electricity Trust of South Australia entities; or the dismissal/resignation of a Minister.

Standards

A standard is a stated expectation on a variable scale regarding the quality of a process, an achievement or content.

A standard should demonstrate:

- clear measurable outcomes that focus on compliance which may be documented separately or within a policy
- reference to related legislation, policy or decision by agency executive

DECD's Brighter Futures e-bulletin (2013)

SENTENCING TIP Use the Standards activity when applying or implementing standards.

Stores

Includes chemicals, hardware, home-ware items, kitchen/cleaning items, medical supplies and stationery.

Substance

Means chemical elements and their compounds in the natural state or obtained by any production process, including any additive necessary to preserve the stability of that product and any impurities deriving from the process used, but excluding any solvent which may be separated without affecting the stability of the substance or changing its composition.

Supplies

Includes the goods and services sold by an agency or business unit, such as taxable supplies, GST free supplies and input taxed supplies.

Temporary record

Records with no archival value that can be sentenced for destruction.

Keeping Archives (2nd Edition), Ellis (Ed)

Transaction

The smallest unit of business activity.



| | |
|------------------|--|
| Vehicles | Includes any means of conveyance owned or used by the agency to transport employees or items. |
| Visitors | Persons to whom the agency gives (or is to be treated as giving) an invitation or permission to enter or use the premises, ie visitors are persons who have the express or implied permission of the agency to be on the premises. |
| Visits | Visits are “official” when the visitors are guests of the Government. |
| Vulnerable | <p>A condition of being susceptible to emotional, developmental or physical harm. A situation where one or a number of factors are causing adversity. ‘Vulnerability’ indicates the level of susceptibility.</p> <p>SA Information Sharing Guidelines for promoting safety and wellbeing (ISG) https://www.ombudsman.sa.gov.au/wp-content/uploads/New-ISG.pdf</p> |
| Vulnerable adult | <p>Generally a vulnerable adult is a person unable to protect themselves from abuse or exploitation. This may result in guardianship, supported living or safeguarding arrangements. A vulnerable adult is one who is:</p> <ul style="list-style-type: none"> • unable to safeguard their own wellbeing, property (including money, shares or other financial interests), legal rights, safety or other interests; and, either • engaging (or likely to engage) in conduct that causes or is likely to cause self-harm or harm to other; or • where another person’s conduct is causing or is likely to cause the person or groups of other people to be harmed or exploited. <p>SA Information Sharing Guidelines for promoting safety and wellbeing (ISG) https://www.ombudsman.sa.gov.au/wp-content/uploads/New-ISG.pdf</p> |
| Website | <p>A website, also written as web site,[1] or simply site,[2] is a set of related web pages typically served from a single web domain. A website is hosted on at least one web server, accessible via a network such as the Internet or a private local area network through an Internet address known as a uniform resource locator (URL). All publicly accessible websites collectively constitute the World Wide Web.</p> <p style="text-align: right;"><i>Wikipedia</i></p> |



Workflow

The automation of a business process in whole or part, during which documents, information or tasks are passed from one participant to another for action, according to a set of procedural rules.

AS/ISO 5090-2003

Approved by SRC



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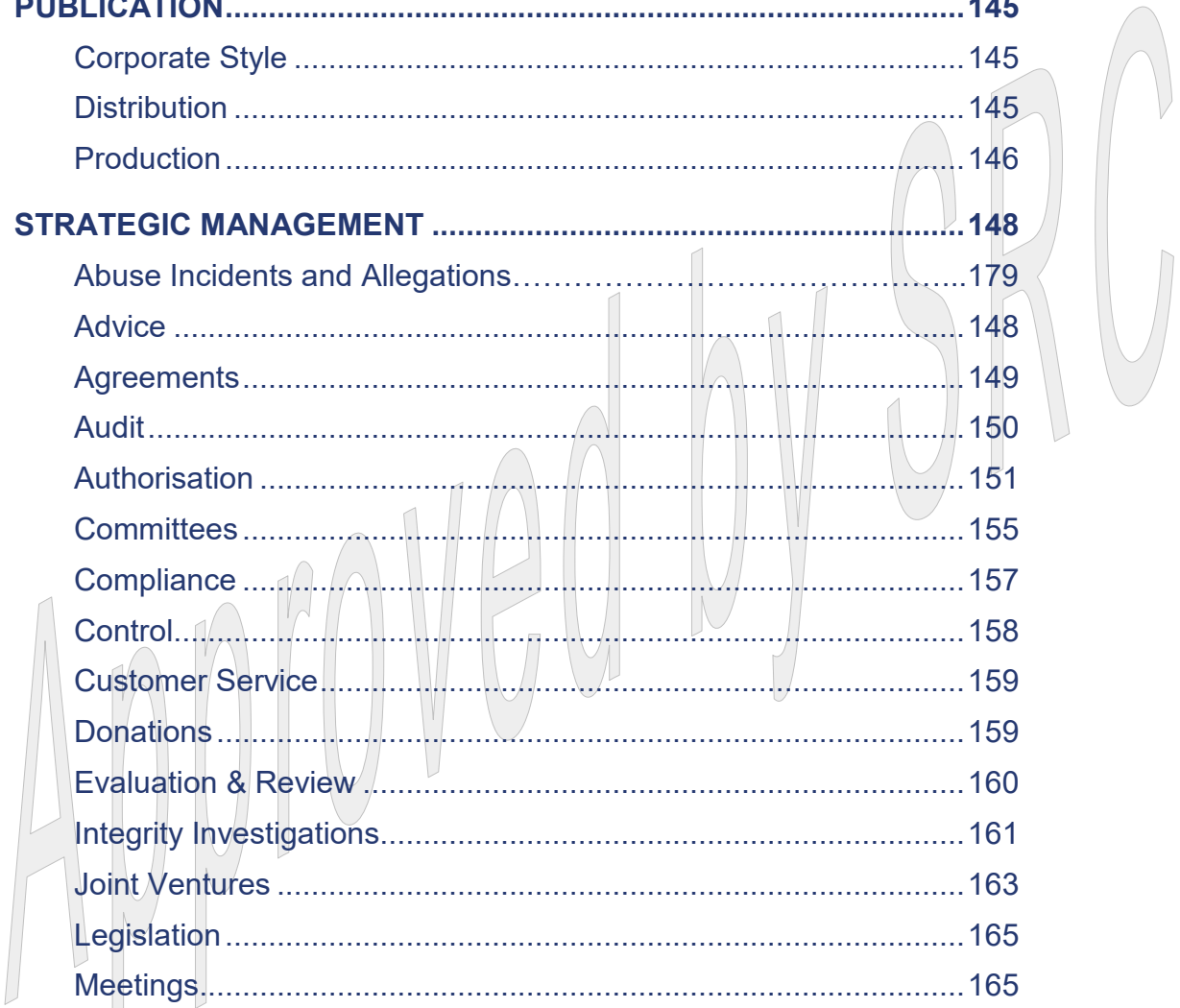
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Approved by SRC



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|---|--|--|---|---|-----------------|
| 1 ASSET/PHYSICAL RESOURCE MANAGEMENT | | | | | |
| 1 | ASSET/ PHYSICAL RESOURCE MANAGEMENT | The function of supplying, maintaining, repairing and disposing of equipment, stores and vehicles used by the agency; the construction, fitting-out, managing, maintaining, protecting and disposing of properties; and the management of land and working, storage or living space within the agency's premises. | | | |
| | | Note: For definitions of 'equipment', 'properties', 'stores' and 'vehicles' refer to the List of Definitions on p.23. | | | |
| | | Note: Records relating to equipment and stores, fleet vehicles or property <u>unique</u> to an agency are <u>not</u> covered by this GDS. Include in agency operational RDS. | | | |
| | | See Item 6.2 FINANCIAL MANAGEMENT - Acquisition for the acquisition of assets, including property, equipment and stores and standard fleet vehicles. | | | |
| | | See Item 6.2 FINANCIAL MANAGEMENT - Acquisition for fleet vehicle registration. | | | |
| | | See: Item 5. EMPLOYEE MANAGEMENT (Various Activities) for the management of employees. | | | |
| | | See: Item 9. INFORMATION MANAGEMENT (Various Activities) for the management of information. | | | |
| | | See: Item 10. INFORMATION TECHNOLOGY (Various Activities) for the management of IT software systems and applications. | | | |
| 1.1 | Accidents & Incidents | <i>The activities involved in dealing with incidents causing injury or damage. Includes damage or injury to the agency's property or employee incurred while coming to, during or leaving work, or to the general public or visitors whilst on the agency's premises. Also includes measures to prevent accidents occurring.</i> | | | |
| | | See: Item 4.1 COMPENSATION - Case Management (Compensation Claims) for accidents to employees or members of the public resulting in compensation claims for personal injury or damage to property. | | | |
| | | See: Item 14.1 WORK HEALTH & SAFETY - Accidents & Incidents for accidents to employees or members of the public <u>not</u> resulting in compensation claims for personal injury or damage to property. | | | |
| 1.1.1 | Accidents & Incidents | Records relating to the management of damage to assets controlled by the agency. | TEMPORARY Destroy 7 years after action completed. | <ul style="list-style-type: none"> • Damage to vehicles • Damage to property, etc | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|---|-----------------------------|---|---|--|--|
| 1 ASSET/PHYSICAL RESOURCE MANAGEMENT | | | | | |
| 1.2 | Allocation | <i>The process of assigning money, items or equipment to employees or agency units. (KAAA)</i> | | | |
| 1.2.1 | Allocation | Records relating to the allocation of accountable assets and other items of equipment to employees. | TEMPORARY Destroy 7 years after action completed. | <ul style="list-style-type: none"> Allocation of vehicles, computers, mobile devices, etc | |
| 1.2.2 | Allocation | Records relating to the allocation of stores . | TEMPORARY Destroy 2 years after action completed. | | |
| 1.3 | Arrangements | <i>The activities involved in arranging for a journey or trip. Includes preparing travel itineraries, entitlements, etc. Also includes arrangements made for the delivery of equipment or goods and the usage made of facilities, vehicles, equipment and space. (KAAA)</i> | | | |
| See: Item 13.6 STRATEGIC MANAGEMENT - Compliance for travel itineraries. | | | | | |
| 1.3.1 | Arrangements | Records relating to agreements that establish and document the usage of assets. | TEMPORARY Destroy 8 years after action completed. | <ul style="list-style-type: none"> Properties, facilities &/or space Equipment & stores Management of Easements | <ul style="list-style-type: none"> Agreements Memoranda of Understanding Easement Notifications |
| 1.3.2 | Arrangements | Records relating to the use of assets known to contain asbestos or other hazardous materials . | TEMPORARY Destroy 100 years after action completed. | <ul style="list-style-type: none"> Properties, facilities &/or space Equipment & stores | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|---|-----------------------------|--|---|---|---|
| 1 ASSET/PHYSICAL RESOURCE MANAGEMENT | | | | | |
| 1.3.3 | Arrangements | Records relating to the use of fleet vehicles by employees for work and private purposes. | TEMPORARY Destroy 10 years after action completed | | <ul style="list-style-type: none"> Log books Booking records |
| 1.3.4 | Arrangements | Records relating to the usage of other assets . | TEMPORARY Destroy 5 years after action completed. | <ul style="list-style-type: none"> Delivery & distribution of equipment & stores Properties/facilities Use of space, eg parking arrangements | <ul style="list-style-type: none"> Booking records, eg forms, registers Requisition orders Running sheets Permits, eg parking, use of public space, etc |
| 1.4 | Construction | <i>The process of making, assembling or building something. (KAAA)</i> | | | |
| 1.4.1 | Construction | Records relating to the construction of properties of National or State significance . | PERMANENT | <ul style="list-style-type: none"> Heritage-listed buildings | <ul style="list-style-type: none"> Specifications Building plans Project management records |
| 1.4.2 | Construction | Records relating to the construction of properties included on an asbestos or hazardous substances register and not of National or State significance . | TEMPORARY Destroy 100 years after action completed. | | <ul style="list-style-type: none"> Specifications Building plans Project management records |
| 1.4.3 | Construction | Records relating to the construction of other properties and not of National or State significance . | TEMPORARY Destroy 10 years after action completed. | | <ul style="list-style-type: none"> Specifications Building plans Project management records |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|---|-----------------------------|---|--|---|--|
| 1 ASSET/PHYSICAL RESOURCE MANAGEMENT | | | | | |
| 1.4.4 | Construction | Supplementary records related to construction work. | TEMPORARY Destroy 2 years after action completed. | <ul style="list-style-type: none"> Construction work that does not proceed Cancelled projects | <ul style="list-style-type: none"> Feasibility studies Cost estimates Options papers Withdrawn requests or approvals |
| 1.5 | Control | The activities associated with creating, maintaining and evaluating control mechanisms. Includes registration, forms design etc to ensure maximum control over records and recordkeeping systems. Also includes control mechanisms for other information resources and systems. (KAAA) | | | |
| | | See Also: Item 5.5 EMPLOYEE MANAGEMENT - Control. See Also: Item 6.5 FINANCIAL MANAGEMENT - Control. See Also: Item 9.2 INFORMATION MANAGEMENT - Control. | | | |
| | | Note: Records relating to the buying and selling of land as a core function of an agency, eg Urban Renewal Authority, are not covered by this GDS. Include in agency operational RDS. | | | |
| 1.5.1 | Control | Master summary records relating to the control of assets. | TEMPORARY Destroy 10 years after action completed. | <ul style="list-style-type: none"> Record of modifications to and maintenance of fixed assets | <ul style="list-style-type: none"> Register of assets |
| 1.6 | Disposal | The process of disposing of property no longer required by the agency, by sale, transfer, termination of lease, auction, or destruction. Includes destruction or transfer to archives, and the program of activities to facilitate the orderly transfer of semi-active and inactive records from current office space into low cost or archival storage. (KAAA) | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|---|-----------------------------|--|--|---|--|
| 1 ASSET/PHYSICAL RESOURCE MANAGEMENT | | | | | |
| 1.6.1 | Disposal | Records relating to the disposal of assets: <ul style="list-style-type: none"> of National or State significance and/or that generate substantial public interest, debate and/or controversy. | PERMANENT | <ul style="list-style-type: none"> Review & investigation into disposal as a possible course of action Property Equipment | |
| 1.6.2 | Disposal | Records relating to the disposal of other assets . | TEMPORARY Destroy 10 years after action completed. | <ul style="list-style-type: none"> Technology & telecommunications equipment Salvage of hardware components Fleet vehicle destruction, sale or replacement Property sales | |
| 1.6.3 | Disposal | Supplementary records relating to the disposal of assets. | TEMPORARY Destroy 2 years after action completed. | <ul style="list-style-type: none"> Disposal not proceeded with | <ul style="list-style-type: none"> Working notes Reviews Plans Proposals |
| 1.7 | Fit-Outs | <i>The process of refurbishing a workplace internally. (KAAA)</i> | <i>Includes painting, floor coverings, furnishings, furniture, fittings and equipment.</i> | | |
| | | Note: “make good” refers to the action required in refurbishing to restore an area to its pre-fit-out state. | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|---|-----------------------------|--|---|--|-----------------|
| 1 ASSET/PHYSICAL RESOURCE MANAGEMENT | | | | | |
| 1.7.1 | Fit-Outs | Records relating to the management of fit-outs and refurbishments in properties included on an asbestos or hazardous substances register. | TEMPORARY Destroy 100 years after action completed. | <ul style="list-style-type: none"> • “Make good” activities | |
| 1.7.2 | Fit-Outs | Records relating to the management of fit-outs and refurbishments in other properties. | TEMPORARY Destroy 10 years after action completed. | <ul style="list-style-type: none"> • “Make good” activities | |
| 1.8 | Installation | <i>Activities involved in placing equipment in position and connecting and adjusting it for use. (KAAA)</i> | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|---|-----------------------------|---|---|---|-----------------|
| 1 ASSET/PHYSICAL RESOURCE MANAGEMENT | | | | | |
| 1.8.1 | Installation | Records relating to the installation of equipment in or outside properties included on an asbestos or hazardous substances register. | TEMPORARY Destroy 100 years after action completed. | <ul style="list-style-type: none"> • Installations in workshops, plant rooms & storage areas • Installations requiring the disturbance of ceilings, walls, wet areas & floor coverings • Installation of technology or telecommunications equipment • Installation of cabling & ducting for air-conditioning • Installation or upgrade of electronic security & surveillance systems, vaults, safes, etc | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|---|-----------------------------|--|--|---|-----------------|
| 1 ASSET/PHYSICAL RESOURCE MANAGEMENT | | | | | |
| 1.8.2 | Installation | Records relating to the installation of equipment in or outside other properties . | TEMPORARY Destroy 10 years after action completed. | <ul style="list-style-type: none"> Installations in workshops, plant rooms & storage areas Installations requiring the disturbance of ceilings, walls, wet areas & floor coverings Installation of technology or telecommunications equipment Installation of cabling & ducting for air-conditioning Installation or upgrade of electronic security & surveillance systems, vaults, safes, etc | |
| 1.9 | Leasing (Assets) | <i>The activities involved in leasing items, equipment, accommodation, premises or real estate from another agency or organisation. Includes the formal documentation setting out conditions, rights, responsibilities, etc of both parties.</i> | | | |
| | | Note: Some leases are liable to be made in respect of “acquisitions or supplies”, which have GST implications. | | | |
| | | Note: Documents under seal have an official seal or impression located near the signatures. | | | |
| | | See: Item 6.2.5 FINANCIAL MANAGEMENT – Acquisition for the leasing of fleet vehicles. | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|---|-----------------------------|--|--|--------------------|--|
| 1 ASSET/PHYSICAL RESOURCE MANAGEMENT | | | | | |
| 1.9.1 | Leasing (Assets) | Records relating to leasing under seal (specialty contracts) . | TEMPORARY Destroy 17 years after action completed. | | <ul style="list-style-type: none"> Leasing documents Special leases Tenancy & permissive occupancy agreements Other registered documents |
| 1.9.2 | Leasing (Assets) | Records relating to leasing not under seal (simple contracts) . | TEMPORARY Destroy 8 years after action completed. | | <ul style="list-style-type: none"> Leasing documents Special leases Tenancy & permissive occupancy agreements Other registered documents |
| 1.10 | Leasing-Out (Assets) | <i>The activities involved in leasing-out items, equipment, vehicles, accommodation, premises or real estate to another agency or organisation or person for a specified period and agreed price. Includes both the formal documentation setting out conditions, rights, responsibilities, etc of both parties. Also includes sub-leasing.</i> | | | |
| 1.10.1 | Leasing-Out (Assets) | Records relating to leasing-out under seal (specialty contracts) . | TEMPORARY Destroy 17 years after action completed | | <ul style="list-style-type: none"> Leasing documents Special leases Tenancy & permissive occupancy agreements Other registered documents |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|---|-----------------------------|--|---|--|--|
| 1 ASSET/PHYSICAL RESOURCE MANAGEMENT | | | | | |
| 1.10.2 | Leasing-Out (Assets) | Records relating to leasing-out not under seal (simple contracts) . | TEMPORARY Destroy 8 years after action completed. | | <ul style="list-style-type: none"> Leasing documents Special leases Tenancy & permissive occupancy agreements Other registered documents |
| 1.11 | Maintenance | <i>The activities associated with the upkeep, repair, servicing and preservation of internal/external conditions of premises, equipment, vehicles, etc. (KAAA)</i> | | | |
| 1.11.1 | Maintenance | Records relating to repairs, renovations or maintenance of properties made necessary by major disasters . | PERMANENT | <ul style="list-style-type: none"> Man-made or natural disasters, eg fire, flood, earthquake, terrorism attack, etc | |
| 1.11.2 | Maintenance | Records relating to repairs, renovations and maintenance of properties included on an asbestos or hazardous substances register . | TEMPORARY Destroy 100 years after action completed. | <ul style="list-style-type: none"> Removal of hazardous materials | <ul style="list-style-type: none"> Programming & forward planning proposals Estimates |
| 1.11.3 | Maintenance | Records relating to repairs, renovations and maintenance for other properties . | TEMPORARY Destroy 7 years after action completed. | | <ul style="list-style-type: none"> Programming & forward planning proposals Estimates |
| 1.11.4 | Maintenance | Records relating to routine/day-to-day cleaning and waste management services related to property . | TEMPORARY Destroy 2 years after action completed | <ul style="list-style-type: none"> Audits and inspections of cleaning services | <ul style="list-style-type: none"> Estimates Cleaning programmes and logs |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|---|-----------------------------|--|---|--|---|
| 1 ASSET/PHYSICAL RESOURCE MANAGEMENT | | | | | |
| 1.11.5 | Maintenance | Records relating to the maintenance of equipment known to contain asbestos or other hazardous materials . | TEMPORARY Destroy 100 years after action completed. | <ul style="list-style-type: none"> Removal of hazardous material | <ul style="list-style-type: none"> Programming & forward planning proposals Estimates |
| 1.11.6 | Maintenance | Records relating to the maintenance of other assets. | TEMPORARY Destroy 7 years after action completed. | <ul style="list-style-type: none"> Maintenance of equipment, including electronic security & surveillance systems, vaults, safes, locks, etc Maintenance of fleet vehicles, including repairs of vehicles that have been involved in an accident | <ul style="list-style-type: none"> Programming & forward planning proposals Estimates Vehicle service logs |
| 1.12 | Moving | <i>The process of relocation of an agency or premises. (KAAA)</i> | | | |
| 1.12.1 | Moving | Records relating to the physical relocation of agency premises included on an asbestos or hazardous substances register . | TEMPORARY Destroy 100 years after action completed. | <ul style="list-style-type: none"> Transportable buildings | |
| 1.12.2 | Moving | Records relating to the physical relocation of other agency premises. | TEMPORARY Destroy 7 years after action completed. | <ul style="list-style-type: none"> Transportable buildings | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|---|-----------------------------|---|---|--|-----------------|
| 1 ASSET/PHYSICAL RESOURCE MANAGEMENT | | | | | |
| 1.12.3 | Moving | Records relating to moving. | TEMPORARY Destroy 5 years after action completed. | <ul style="list-style-type: none"> Arrangements for the relocation of furniture, equipment & stores | |
| 1.13 | Preservation | <i>The activities involved in the preservation, conservation, protection, maintenance, restoration and enhancement of properties, including buildings and land, and information resources.</i> | | | |
| | | Note: Records relating to rehabilitation of contaminated buildings or land, including compliance with the Environment Protection Act (as amended) are <u>not</u> covered by this GDS. Include in agency operational RDS. | | | |
| 1.13.1 | Preservation | Records relating to conservation and restoration projects for properties of National or State significance. | PERMANENT | | |
| 1.13.2 | Preservation | Records relating to restoration and enhancement of properties included on an asbestos or hazardous substances register and not of National or State significance. | TEMPORARY Destroy 100 years after action completed. | | |
| 1.13.3 | Preservation | Records relating to restoration and enhancement of other properties. | TEMPORARY Destroy 7 years after action completed. | | |
| 1.14 | Security | <i>The activities associated with measures taken to protect people, premises, equipment or information from accidental or intentional damage or from unauthorised access. (KAAA)</i> | | | |
| | | Note: Records relating to properties where custodial care is a core function, eg Training and Correction Centres, are <u>not</u> covered by this GDS. Include in agency operational RDS. | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|---|-----------------------------|---|--|--|--|
| 1 ASSET/PHYSICAL RESOURCE MANAGEMENT | | | | | |
| | | <p>Note: Records relating to security where this is a core function of law enforcement agencies are <u>not</u> covered by this GDS. Include in agency operational RDS.</p> <p>See: Item 5.15 EMPLOYEE MANAGEMENT - Security for criminal history checks of employees. See: Item 9.11 INFORMATION MANAGEMENT - Security for the security of information. See: Item 10.4 INFORMATION TECHNOLOGY - System Management for IT security restrictions.</p> | | | |
| 1.14.1 | Security | Records relating to breaches of security or incidents that are intentional and cause significant/major disruption to the agency's operations. | PERMANENT | <ul style="list-style-type: none"> Hacking Intrusion to restricted areas Terrorism Bomb threats Intentional damage Fires | <ul style="list-style-type: none"> Records of investigation Records of liaison with law enforcement agencies |
| 1.14.2 | Security | Records relating to attendance at properties as proof of being onsite . | TEMPORARY Destroy 100 years after action completed | | <ul style="list-style-type: none"> Building admittance registers Visitor logs |
| 1.14.3 | Security | Records relating to other breaches of security or incidents . | TEMPORARY Destroy 10 years after action completed. | <ul style="list-style-type: none"> Incidents not resulting in laying of charges Where sabotage is not suspected | <ul style="list-style-type: none"> |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|---|-----------------------------|---|--|--|---|
| 1 ASSET/PHYSICAL RESOURCE MANAGEMENT | | | | | |
| 1.14.4 | Security | Records relating to administrative arrangements regarding security. | TEMPORARY Destroy 5 years after action completed. | <ul style="list-style-type: none"> Issuing of security passes, name badges and employee/visitor identification Issuing of keys | <ul style="list-style-type: none"> Key registers Security pass registers |
| 1.14.5 | Security | Records of audio-visual surveillance subsequently used for investigation or litigation purposes . | TEMPORARY Dispose as for related case records. | | <ul style="list-style-type: none"> Videos DVDs Audio/images, irrespective of media |
| 1.14.6 | Security | Other records of audio-visual surveillance. | TEMPORARY Erase recording 1 month after recording or last viewing. | | <ul style="list-style-type: none"> Videos DVDs Audio/images, irrespective of media |
| 1.15 | Stocktake | <i>The activities associated with the examination, counting and valuing of goods in the agency with the view to reassessing the need for replacing those goods, and to identify missing items and determine the condition of the existing items. (KAAA)</i> | | | |
| 1.15.1 | Stocktake | Records relating to stocktakes of equipment and stores. | TEMPORARY Destroy 5 years after action completed. | | <ul style="list-style-type: none"> Inventories Lists Stocktake reports |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|---|---|--|-----------------|--------------------|-----------------|
| 2 BOARD & COMMITTEE MANAGEMENT | | | | | |
| 2 | BOARD & COMMITTEE MANAGEMENT | <p>The function of establishing and managing the administration of boards and committees.</p> <p>In the context of this function a board or committee can also include tribunals, trusts, commissions, councils, authorities, panels, taskforces, forums or groups created by or under an Act of the Parliament of South Australia or by ministerial authority; and to which one or more appointments are made by a minister or the Governor.</p> <p>Bodies covered by this function may be established to either:</p> <ul style="list-style-type: none"> • advise an agency on agency matters or • oversee or provide a framework for the direction and control of an agency. <p>They may also be part-time or full-time.</p> <p>Also includes establishing and managing the administration of statutory officers.</p> <p>Also includes management of the nomination, appointment and separation of members, relations between an agency and the board or committee, and meetings of boards and committees or of formal subcommittees established by them.</p> <p>Note: Operational records unique to a particular board or committee are <u>not</u> covered by this GDS. Include in agency operational RDS.</p> <p>See: The List of Definitions in the Introduction of this GDS for a further description of boards and committees covered by this function.</p> | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|---|-----------------------------|---|---|---|--|
| 2 BOARD & COMMITTEE MANAGEMENT | | | | | |
| | | <p>See: Item 6. FINANCIAL MANAGEMENT (Various Activities) for financial records of boards, committees and their sub-committees.</p> <p>See: Item 13.5 STRATEGIC MANAGEMENT - Committees for records of internal, departmental, inter-agency, inter-governmental or external committees.</p> | | | |
| 2.1 | Advice | <i>The activities associated with offering opinions by or to the agency as to an action or judgement. Includes process of advising. (KAAA)</i> | | | |
| 2.1.1 | Advice | Records documenting significant advice received or provided by a board or committee to or from the Minister, the Government or the agency in accordance with the board or committee charter or terms of reference. | PERMANENT | | |
| 2.1.2 | Advice | Routine procedural advice provided to or received from the Minister or agency relating to the board or committee charter or terms of reference. | TEMPORARY Destroy 8 years after action completed. | | |
| 2.2 | Agreements | <i>The processes associated with the establishment, maintenance, review and negotiation of agreements. (KAAA)</i> | | | |
| 2.2.1 | Agreements | Records of agreements concerning substantive aspects of the board or committee's policies, procedures, functions, obligations and liabilities. | PERMANENT | | <ul style="list-style-type: none"> • Agreements • Memoranda of Understanding |
| 2.2.2 | Agreements | Records of other agreements concerning the board or committee's policies, procedures, functions, obligations and liabilities. | TEMPORARY Destroy 17 years after action completed | <ul style="list-style-type: none"> • Agreements with support agencies that provide administrative services such as payroll, finance management etc | <ul style="list-style-type: none"> • Agreements • Memoranda of Understanding |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|---|-----------------------------|---|---|---|--|
| 2 BOARD & COMMITTEE MANAGEMENT | | | | | |
| 2.2.3 | Agreements | Records relating to collective performance agreements of the board or committee with the portfolio Minister. | PERMANENT | | <ul style="list-style-type: none"> Statement of expectations Statement of intent Master copy of performance agreement Documentation of negotiations Performance targets |
| 2.2.4 | Agreements | Records relating to performance agreements with individual members of a board or committee and their related sub-committees. | TEMPORARY Destroy 8 years after action completed. | <ul style="list-style-type: none"> Development, maintenance and review of agreements | |
| 2.2.5 | Agreements | Supplementary records relating to the development, maintenance and review of agreements. | TEMPORARY Destroy 2 years after action completed. | | |
| 2.3 | Appeals | <i>The activities involved in the process of appeals against decisions by application to a higher authority. (KAAA)</i> | | | |
| 2.3.1 | Appeals | Records documenting a successful appeal by a member of a board or committee to a higher authority on decisions taken with respect to the: <ul style="list-style-type: none"> operation of the board or committee or rights and entitlements of the board or committee's membership. | PERMANENT | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|---|-----------------------------|--|---|---|--|
| 2 BOARD & COMMITTEE MANAGEMENT | | | | | |
| 2.3.2 | Appeals | Records documenting an unsuccessful appeal by a member of a board or committee to a higher authority on decisions taken with respect to the: <ul style="list-style-type: none"> • operation of the board or committee or • rights and entitlements of the board or • committee's membership. | TEMPORARY Destroy 7 years after action completed. | | |
| 2.4 | Authorisation | <i>The process of seeking and granting permission to undertake a requested action. (KAAA)</i> | | | |
| | | See: Item 13.4 STRATEGIC MANAGEMENT - Authorisation for delegations of authority to senior executive and other employees. | | | |
| 2.4.1 | Authorisation | Delegations of authority of power to boards and committees. | PERMANENT | <ul style="list-style-type: none"> • Ministerial delegations | <ul style="list-style-type: none"> • Records of Ministerial delegations |
| 2.5 | Membership | <i>The activities associated with managing the establishment, composition and dis-establishment of boards and committees. Includes nominations, elections, appointments and reappointment of members, as well as separation processes resulting from retirements, dismissals, resignations, deaths and dispensation of services.</i> | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|---|--------------------------------|---|------------------|--------------------|--|
| 2 BOARD & COMMITTEE MANAGEMENT | | | | | |
| 2.5.1 | Membership | Records relating to the establishment or dis-establishment of a board or committee and its sub-committees. | PERMANENT | | <ul style="list-style-type: none"> • Terms of reference • Members' handbook • Operating procedures • Approvals |
| | | <p>See Also: Item 2.3 BOARD & COMMITTEE MANAGEMENT - Appeals.</p> <p>See Also: Item 4.1 COMPENSATION - Case Management (Compensation Claims) for compensations claims by members.</p> <p>See Also: Item 5.6 EMPLOYEE MANAGEMENT - Counselling for records relating to the counselling of members.</p> <p>See Also: Item 5.7 EMPLOYEE MANAGEMENT - Discipline for records relating to the discipline of members, including investigations, charges, formal inquiries and punishment.</p> <p>See Also: Item 5.9 EMPLOYEE MANAGEMENT - Grievances for records associated with the handling and resolution of grievances.</p> <p>See Also: Item 5.13 EMPLOYEE MANAGEMENT - Remuneration for records relating to the payment of allowances to members for travel, meals, etc.</p> <p>See Also: Item 5.13 EMPLOYEE MANAGEMENT - Remuneration for records relating to member remuneration.</p> <p>See Also: Item 6.8 FINANCIAL MANAGEMENT - Insurance for records relating to insurance relevant to members.</p> <p>See Also: 13.6.1 STRATEGIC MANAGEMENT - Compliance for register of interests for members.</p> <p>See Also: Item 14.1 WORK HEALTH & SAFETY - Accidents and Incidents involving members.</p> | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|---|-----------------------------|--|---|---|--|
| 2 BOARD & COMMITTEE MANAGEMENT | | | | | |
| 2.5.2 | Membership | Records relating to the appointment and separation of individual members of a board or committee and its sub-committees. | TEMPORARY Destroy 100 years after action completed. | <ul style="list-style-type: none"> • Appointment & reappointment of members • Retirements • Resignations • Dismissals • Death • Dispensation of services | <ul style="list-style-type: none"> • Appointment submissions • Letters of appointment & reappointment |
| 2.5.3 | Membership | Records documenting routine or administrative arrangements relating to the membership of a board or committee. | TEMPORARY Destroy 2 years after action completed. | <ul style="list-style-type: none"> • Support processes undertaken to elect employee representatives to a board or committee • Consideration of prospective members that do not proceed to appointment | <ul style="list-style-type: none"> • Contact lists • Ballot papers • Eligibility lists • Expressions of interest • Unsolicited applications for appointment |
| 2.6 | Proceedings | <i>The activities associated with the management of boards and committees or their sub-committees. Includes proceedings, minutes, reports, agendas, etc.</i> | | | |
| | | See Also: Item 2.5 BOARD & COMMITTEE MANAGEMENT - Membership. | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|---|-----------------------------|---|------------------|--------------------|--|
| 2 BOARD & COMMITTEE MANAGEMENT | | | | | |
| 2.6.1 | Proceedings | Master copy of proceedings for board or committee meetings. | PERMANENT | | <ul style="list-style-type: none"> • Agendas • Minutes • Briefing papers • Reports • Submissions • Recommendations & resolutions • Related correspondence arising from business discussed or resolutions passed at meetings |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|---|-----------------------------|--|---|--------------------|--|
| 2 BOARD & COMMITTEE MANAGEMENT | | | | | |
| 2.6.2 | Proceedings | Records of sub-committees established to support boards or committee activities where not submitted to the board or committee. | PERMANENT | | <ul style="list-style-type: none"> • Agendas • Minutes • Briefing papers • Reports • Submissions • Recommendations & resolutions • Related correspondence arising from business discussed or resolutions passed at meetings |
| 2.6.3 | Proceedings | Records of sub-committees established to support board or committee activities where submitted to the board or committee. | TEMPORARY Destroy 5 years after action completed. | | <ul style="list-style-type: none"> • Agendas • Minutes • Reports • Recommendations • Supporting documents |
| 2.6.4 | Proceedings | Records documenting administrative arrangements relating to meetings of boards or committees or their sub-committees. | TEMPORARY Destroy 2 years after action completed. | | <ul style="list-style-type: none"> • Contact lists • Venue bookings • Hire of equipment • Catering records |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|---|-----------------------------|--|---|---|---|
| 2 BOARD & COMMITTEE MANAGEMENT | | | | | |
| 2.7 | Reporting | <i>The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and to provide formal statements or findings of the results of their examination or investigation. Includes agenda, briefing, business, discussion papers, proposals, reports, reviews and returns. (KAAA)</i> | | | |
| 2.7.1 | Reporting | Master copy of formal reports submitted by a board or committee. | PERMANENT | <ul style="list-style-type: none"> • Reports to the Minister • Reports to the Government • Reports to the agency | |
| 2.7.2 | Reporting | Supplementary records relating to the development and preparation of reports. | TEMPORARY Destroy 2 years after action completed. | | <ul style="list-style-type: none"> • Briefings • Working papers • Draft proposals • Research material & associated data • Consultation papers & comments |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|------------------------------|-----------------------------|---|---|--------------------|-----------------|
| 3 COMMUNITY RELATIONS | | | | | |
| 3 | COMMUNITY RELATIONS | The function of establishing rapport with the community, raising and maintaining the agency's broad public profile and actively engaging with the community. Includes marketing, advertising, media liaison, events, speeches and participation in community activities. Also includes relationships with professional bodies and industry, the management of customer services, handling public reaction to those services, customer consultation and feedback. (KAAA) | | | |
| 3.1 | Addresses (presentations) | The activity of giving addresses for training, professional, community relations, government relations or sales purposes. Includes speeches and multi-media presentations. (KAAA) | | | |
| | | See Also: Item 5.17 EMPLOYEE MANAGEMENT - Training for the delivery by employees of addresses (presentations) to other employees. See Also: Item 7.1 GOVERNMENT RELATIONS - Addresses (presentations). | | | |
| 3.1.1 | Addresses (presentations) | Records relating to addresses and presentations: <ul style="list-style-type: none"> given at National or State occasions or on matters of substantial public interest and debate or by agency representatives at significant events such as conferences or professional association seminars. | PERMANENT | | |
| 3.1.2 | Addresses (presentations) | Records relating to other addresses and presentations to community bodies and organisations. | TEMPORARY Destroy 7 years after action completed. | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|------------------------------|-----------------------------|---|---|---|--|
| 3 COMMUNITY RELATIONS | | | | | |
| 3.1.3 | Addresses (presentations) | Supplementary records relating to addresses, speeches and presentations. | TEMPORARY Destroy 2 years after action completed. | | <ul style="list-style-type: none"> Working papers Briefing notes |
| 3.2 | Arrangements | <i>The activities involved in arranging for a journey or trip. Also includes arrangements made for the delivery of equipment or goods and the usage made of facilities, equipment and space. (KAAA)</i> | | | |
| | | See Also: Item 5.2 EMPLOYEE MANAGEMENT - Arrangements for travel arrangements. | | | |
| 3.2.1 | Arrangements | Records relating to arrangements made under simple contract to support community relations activities. | TEMPORARY Destroy 8 years after action completed. | | |
| 3.2.2 | Arrangements | Records relating to other arrangements made to support community relations activities. | TEMPORARY Destroy 2 years after action completed. | <ul style="list-style-type: none"> Arrangements for guest speakers | |
| 3.3 | Conferences | <i>The activities involved in arranging or attending conferences held either by the agency or by other agencies and organisations. Includes registrations, publicity, reports of participants, etc.</i> | | | |
| | | See: Item 12. PUBLICATION (Various Activities) for published reports, proceedings, legal deposit, etc. | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|------------------------------|-----------------------------|--|---|---|---|
| 3 COMMUNITY RELATIONS | | | | | |
| 3.3.1 | Conferences | Master copy of records relating to conferences arranged by the agency. | PERMANENT | | <ul style="list-style-type: none"> • Programs • Presentations • Transcripts of speeches • Proceedings • Reports of conferences |
| 3.3.2 | Conferences | Records relating to arrangements to hold conferences arranged by the agency. | TEMPORARY Destroy 7 years after action completed. | <ul style="list-style-type: none"> • Program development • Publicity • Venue, catering, accommodation & transport arrangements | <ul style="list-style-type: none"> • Simple contracts with suppliers/ providers |
| 3.3.3 | Conferences | Master copy of papers presented by agency employees at other conferences. | PERMANENT | | |
| 3.3.4 | Conferences | Supplementary records relating to other conferences attended by employees. | TEMPORARY Destroy 2 years after action completed. | | <ul style="list-style-type: none"> • Programs • Invitations • Proceedings |
| 3.4 | Enquiries | <i>The activities associated with the handling of requests for information about the agency and its services by the general public or another agency or organisation. (KAAA)</i> | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|------------------------------|-----------------------------|---|--|--|-----------------|
| 3 COMMUNITY RELATIONS | | | | | |
| | | <p>See Also: Item 7.2 GOVERNMENT RELATIONS - Briefings. See Also: Item 9.1 INFORMATION MANAGEMENT - Case Management (FOI). See Also: Item 9.6 INFORMATION MANAGEMENT - Enquiries.</p> | | | |
| 3.4.1 | Enquiries | Records relating to the management of enquiries. | <p>TEMPORARY Destroy 8 years after action completed.</p> | <ul style="list-style-type: none"> Enquiries requiring investigation & a specific response Enquiries resulting in a routine or form letter response Enquiries referred to another agency for response | |
| 3.4.2 | Enquiries | Responses to surveys conducted by community organisations. | <p>TEMPORARY Destroy 2 years after action completed.</p> | | |
| 3.5 | Events | <i>The activities associated with arranging and managing events such as celebrations, ceremonies, functions, displays and exhibitions.</i> | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|------------------------------|-----------------------------|--|---|---|-----------------|
| 3 COMMUNITY RELATIONS | | | | | |
| 3.5.1 | Events | Records relating to events: <ul style="list-style-type: none"> of National or State significance or those organised to mark major milestones or of major significance to the agency. | PERMANENT | <ul style="list-style-type: none"> Anniversaries Opening of landmark structures Launch of innovative or new programs Opening of major client facilities | |
| 3.5.2 | Events | Records relating to other events. | TEMPORARY Destroy 5 years after action completed. | | |
| 3.5.3 | Events | Records relating to the sponsoring by the agency of community honours, awards or prizes. | TEMPORARY Destroy 5 years after action completed. | | |
| 3.5.4 | Events | Supplementary records relating to the staging of events. | TEMPORARY Destroy 2 years after action completed. | <ul style="list-style-type: none"> Management of design, production & setting up of events | |
| 3.6 | Greetings | <i>The activities associated with preparing and sending letters of appreciation or condolences. Includes mailing lists for Christmas cards. (KAAA)</i> | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|------------------------------|-----------------------------|---|--|--|---|
| 3 COMMUNITY RELATIONS | | | | | |
| 3.6.1 | Greetings | Records relating to the receipt and sending of greetings. | TEMPORARY Destroy 1 year after action completed. | | <ul style="list-style-type: none"> Address lists kept for sending of greetings by the agency Letters of appreciation Letters of thanks Condolences Letters of introduction |
| 3.7 | Liaison | <i>The activities associated with maintaining regular general contact between the agency and professional associations, professionals in related fields, private sector organisations and community groups. Includes sharing informal advice and discussions, membership of professional associations. (KAAA)</i> | | | |
| | | | See: Item 13.12 STRATEGIC MANAGEMENT - Joint Ventures for projects that are joint ventures. | | |
| 3.7.1 | Liaison | Records relating to liaison with community groups, lobbyists, professional associations or private sector organisations. | TEMPORARY Destroy 10 years after action completed. | <ul style="list-style-type: none"> Collaboration on projects | |
| 3.7.2 | Liaison | Records relating to arrangements for membership in business or professional associations. | TEMPORARY Destroy 2 years after action completed. | <ul style="list-style-type: none"> Participation or non-participation of members in the activities of business or professional associations | |
| 3.8 | Marketing | <i>The process of analysing, creating and selling products and services. Includes market research, sale forecasting, advertising, media releases, promotion, pricing and product evaluation. (KAAA)</i> | | | |
| | | | See Also: Item 12.3 PUBLICATION – Production for published promotional materials. | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|------------------------------|-----------------------------|--|---|--------------------|--|
| 3 COMMUNITY RELATIONS | | | | | |
| | | See: Item 13.16 STRATEGIC MANAGEMENT – Planning for marketing plans. | | | |
| 3.8.1 | Marketing | Records relating to research, plans and programs documenting the promotion of the agency's image, general services, etc. | PERMANENT | | <ul style="list-style-type: none"> Market research summaries |
| 3.8.2 | Marketing | Records relating to the management of publicity and marketing relating to specific services and/or products produced or organised by the agency. | TEMPORARY Destroy 8 years after action completed. | | <ul style="list-style-type: none"> Market research summaries |
| 3.9 | Media Relations | <i>The activities associated with establishing a relationship between the media and the agency. Includes cultivating media contacts, coordinating access to the media, authorising and issuing press releases and briefings, and organising media interviews. (KAAA)</i> | | | |
| 3.9.1 | Media Relations | Master set of agency media releases or articles relating to the agency and/or its activities. | PERMANENT | | <ul style="list-style-type: none"> Media releases Press cutting books/organised collection |
| 3.9.2 | Media Relations | Records relating to the management of the agency's relationship with the media. | TEMPORARY Destroy 5 years after action completed. | | <ul style="list-style-type: none"> Media monitoring reports |
| 3.9.3 | Media Relations | Supplementary records relating to the preparation of media/publicity material. | TEMPORARY Destroy 2 years after action completed. | | |
| 3.10 | Public Reaction | <i>The process of handling public reaction to an agency's policies or services. Includes anonymous letters, letters of complaint and letters of congratulation or appreciation received from the public. (KAAA)</i> | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|--|-----------------------------|---|---|--|--|
| 3 COMMUNITY RELATIONS | | | | | |
| See Also: Item 3.4 COMMUNITY RELATIONS - Enquiries. | | | | | |
| 3.10.1 | Public Reaction | Records relating to the management of public reaction that: <ul style="list-style-type: none"> sets a precedent or results in the reversal of a government decision or results in changes to government or results in changes to agency policy and/or procedures. | PERMANENT | | |
| 3.10.2 | Public Reaction | Records relating to the management of other public reaction. | TEMPORARY Destroy 8 years after action completed. | <ul style="list-style-type: none"> Public reaction requiring investigation & a specific response Public reaction resulting in a routine or form letter response Public reaction referrals to another agency | |
| 3.10.3 | Public Reaction | Summary records of received complaints and/or suggestions. | TEMPORARY Destroy 8 years after action completed. | | <ul style="list-style-type: none"> Complaints/ suggestions register |
| 3.11 | Submissions | <i>The preparation and submission of a formal statement (eg report, statistics, etc) supporting a case or opinion held by the agency which is submitted to another agency or organisation or within the agency for the purpose of either gain or support. (KAAA)</i> | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|------------------------------|-----------------------------|---|---|--------------------|---|
| 3 COMMUNITY RELATIONS | | | | | |
| | | See: Item 7.2 GOVERNMENT RELATIONS - Briefings for submissions to other government agencies. | | | |
| 3.11.1 | Submissions | Records relating to submissions to non-government organisations made directly by the agency. | PERMANENT | | |
| 3.11.2 | Submissions | Records relating to agency contribution to Across-Government submissions to non-government organisations coordinated by a lead or responsible agency. | TEMPORARY Destroy 5 years after action completed. | | |
| 3.11.3 | Submissions | Supplementary records relating to agency submissions. | TEMPORARY Destroy 2 years after action completed. | | <ul style="list-style-type: none"> Working papers Administrative arrangements |
| 3.12 | Visits | <i>The activities involved in arranging visits by other agencies or organisations, the public and students to the agency, with a view to inform, educate or promote the services, operation and role of the agency. Includes arranging visits by employees to other agencies or organisations. (KAAA)</i> | | | |
| | | See: Item 7.5 GOVERNMENT RELATIONS - Visits for records relating to visits to or by other agencies or governments. | | | |
| 3.12.1 | Visits | Records relating to official visits to either: <ul style="list-style-type: none"> the agency by dignitaries or delegations from non-government organisations or by agency employees to non-government organisations either in Australia or overseas. | PERMANENT | | <ul style="list-style-type: none"> Visit reports |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|------------------------------|-----------------------------|--|---|--|-----------------|
| 3 COMMUNITY RELATIONS | | | | | |
| 3.12.2 | Visits | Records relating to other visits either: <ul style="list-style-type: none"> to the agency by members of the public and people from non-government organisations or by agency employees to community and non-government organisations. | TEMPORARY Destroy 5 years after action completed. | | |
| 3.12.3 | Visits | Records relating to administrative arrangements associated with visits. | TEMPORARY Destroy 2 years after action completed. | <ul style="list-style-type: none"> Security arrangements Travel arrangements | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|-----------------------|--|---|---|--|--|
| 4 COMPENSATION | | | | | |
| 4 | COMPENSATION | The function of providing compensation to employees and visitors injured while proceeding to or from work, during working hours or on the agency's premises. Includes the recovery of injured employees and compensation for damage to property where such damage is claimed as the agency's responsibility. (KAAA) | | | |
| 4.1 | Case Management (Compensation Claims) | <i>The process of administering and managing payments in accordance with an insurance policy as compensation for injury, death, or denial of rights of a person or damage or destruction of property. Includes disputes over rights and ownership, and recompense sought for stolen or lost property.</i> | | | |
| | | Note: Operational records of agencies where compensation claims relate to clients of the agency are <u>not</u> covered by this GDS. Include in agency operational RDS. | | | |
| | | Note: Dispose of internal appeal records as if they form part of the claim file. | | | |
| | | See: Item 6.1.7 FINANCIAL MANAGEMENT - Accounting for payments/invoices <u>not</u> managed as part of the claim file. | | | |
| 4.1.1 | Case Management (Compensation Claims) | Summary records relating to compensation claims. | PERMANENT | | <ul style="list-style-type: none"> Register of compensation claims |
| 4.1.2 | Case Management (Compensation Claims) | Records relating to the management of claims under the Workers Rehabilitation and Compensation Act (repealed) that do not transition into the Return to Work Scheme. | TEMPORARY Destroy 30 years after claim finalised. | <ul style="list-style-type: none"> Claims that are not active at 1 July 2015 | <ul style="list-style-type: none"> Incident reports Medical records Written advice Payments Other information related to a case |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|-----------------------|---------------------------------------|--|---|---|--|
| 4 COMPENSATION | | | | | |
| 4.1.3 | Case Management (Compensation Claims) | Records relating to the management of claims under the Return to Work Act (as amended) where the whole person impairment is greater than 5% but less than 30% . | TEMPORARY Destroy 30 years after claim finalised. | <ul style="list-style-type: none"> • Non-seriously injured workers • Income maintenance of worker is capped at 2 years & medical support at 3 years • Internal appeals relating to a claim • Litigation | <ul style="list-style-type: none"> • Incident reports • Medical records • Written advice • Payments • Other information related to a case |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|-----------------------|---------------------------------------|---|---|---|--|
| 4 COMPENSATION | | | | | |
| 4.1.4 | Case Management (Compensation Claims) | Records relating to the management of claims under the Return to Work Act (as amended) where: <ul style="list-style-type: none"> the whole person impairment is 30% or greater OR the worker has died from a work injury. | TEMPORARY Destroy 20 years after claim finalised. | <ul style="list-style-type: none"> Seriously injured workers Payments made to dependent spouse or domestic partner until the worker's retirement age & payments made to dependent child until 18 years of age or 26 years of age for fulltime students. Worker receives income support until retirement age & medical support until death Internal appeals relating to a claim Litigation | <ul style="list-style-type: none"> Incident reports Medical records Written advice Payments Other information related to a case |
| 4.1.5 | Case Management (Compensation Claims) | Records relating to the management of claims under the Return to Work Act (as amended) where the claim is finalised within four weeks of date of incapacity. | TEMPORARY Destroy 10 years after claim finalised. | <ul style="list-style-type: none"> Worker has minor medical treatment for a work incident but returns to work quickly Internal appeals relating to a claim Litigation | <ul style="list-style-type: none"> Incident reports Medical records Written advice Payments Other information related to a case |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|-----------------------|---------------------------------------|---|--|---|--|
| 4 COMPENSATION | | | | | |
| 4.1.6 | Case Management (Compensation Claims) | Agency records relating to external appeals to the South Australian Employment Tribunal, Supreme Court or other authority, relating to specific compensation cases. | TEMPORARY Destroy 10 years after action completed. | | |
| 4.1.7 | Case Management (Compensation Claims) | Records relating to the management of compensation claims for personal injury made by or on behalf of visitors to agencies under 18 years of age . | TEMPORARY Destroy 35 years after date of birth. | | <ul style="list-style-type: none"> • Incident reports • Medical records • Written advice • Payments • Other information related to a case |
| 4.1.8 | Case Management (Compensation Claims) | Records relating to the management of other compensation claims. | TEMPORARY Destroy 10 years after claim finalised. | <ul style="list-style-type: none"> • Claims for personal injury made by or on behalf of visitors to agencies over 18 years of age • Claims made by employees or visitors for loss or damage to property | <ul style="list-style-type: none"> • Incident reports • Medical records • Written advice • Payments • Other information related to a case |
| 4.2 | Recovery | <i>The process of managing programs designed to restore the injured employee 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 Recovery and Return to Work Coordinator.</i> | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|-----------------------|-----------------------------|---|---|--|--|
| 4 COMPENSATION | | | | | |
| 4.2.1 | Recovery | Records relating to the development of recovery and return to work programs by the agency, not relating to specific cases. | PERMANENT | | |
| 4.2.2 | Recovery | Records relating to the management of individual recovery cases . | TEMPORARY Destroy 100 years after employee's date of birth. | <ul style="list-style-type: none"> Management directly by the agency Management through a third party provider | <ul style="list-style-type: none"> Recovery and return to work case files |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|------------------------------|-----------------------------|--|--|---|--|
| 5 EMPLOYEE MANAGEMENT | | | | | |
| 5 | EMPLOYEE MANAGEMENT | The function of managing all employees in the organisation. Includes appeals, overtime, salaries, superannuation and working hours when related to persons/individuals rather than to Industrial Relations. Also includes arrangements for employee travel and the provision of childcare by the agency. | | | |
| | | Note: 'Employees' include Ministerial, ongoing, temporary, part-time, casual, sessional, weekly paid and hourly paid employees, people working under scholarships, traineeships, apprenticeships, volunteer arrangements and similar relationships. | | | |
| | | Note: Supporting information on the management of employee records is available from the Office for the Public Sector. | | | |
| | | See: Item 13.26 STRATEGIC MANAGEMENT – Social Clubs for records relating to an agency's relationship with social clubs. | | | |
| | | See: Item 13.28 STRATEGIC MANAGEMENT – Suggestions for suggestions from employees. | | | |
| 5.1 | Appeals | <i>The activities involved in the process of appeals against decisions by the application to a higher authority. (KAAA)</i> | | | |
| | | See Also: Item 2.3 BOARD & COMMITTEE MANAGEMENT - Appeals for appeals by a member of a board or committee. | | | |
| | | See Also: Item 8.3 INDUSTRIAL RELATIONS – Appeals for appeals by the agency or affecting agency policy. | | | |
| 5.1.1 | Appeals | Records relating to advice or advocacy assistance in cases where an unfair dismissal case affects an individual or class of individuals . | TEMPORARY Destroy 15 years after action completed. | | <ul style="list-style-type: none"> Case files |
| 5.1.2 | Appeals | Records relating to other appeals, whether resolved by an external tribunal or other authority or within the agency . | TEMPORARY Destroy 7 years after action completed. | <ul style="list-style-type: none"> Promotion, grievance & disciplinary appeals | <ul style="list-style-type: none"> Case files |
| 5.2 | Arrangements | <i>The activities involved in arranging for a journey or trip. Includes preparing travel itineraries, entitlements, etc. (KAAA)</i> | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|------------------------------|------------------------------------|---|---|---|---|
| 5 EMPLOYEE MANAGEMENT | | | | | |
| | | Note: For arrangement records that may be used as proof of attendance see GDS 27 and 32. | | | |
| | | Note: Records of agencies, such as workbooks and journals that document arrangements related to a core operational function, eg client services, are <u>not</u> covered by this GDS. Include in agency operational RDS. | | | |
| | | See Also: Item 3.2 COMMUNITY RELATIONS - Arrangements. | | | |
| 5.2.1 | Arrangements | Diaries and appointment schedules. | TEMPORARY Destroy 5 years after action completed. | <ul style="list-style-type: none"> Designating & documenting times for business related meetings, inspections, court appearances & other work activities | <ul style="list-style-type: none"> Diaries Schedules Appointment books |
| 5.2.2 | Arrangements | Records relating to travel arrangements for employees. | TEMPORARY Destroy 7 years after action completed | <ul style="list-style-type: none"> Domestic or overseas travel Travel for work purposes &/or training | <ul style="list-style-type: none"> Applications & supporting information |
| 5.3 | Case Management (Employees) | <i>The activities involved in maintaining personal information about employees for a range of employee management functions.</i> | | | |
| | | Note: When an employee is reassigned from one State public sector agency to another, the official personal file of that employee should be forwarded under confidential cover to the person responsible for employee records in the employee's new business unit. | | | |
| | | <p>See Also: Item 4.1 COMPENSATION - Case Management (Compensation Claims).</p> <p>See Also: Item 5.15 EMPLOYEE MANAGEMENT - Security for actual criminal history information about an employee.</p> <p>See Also: Item 14.1 WORK HEALTH & SAFETY - Accidents & Incidents for records relating to accidents or incidents involving employees.</p> | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|------------------------------|-----------------------------|--|------------------|--|-----------------|
| 5 EMPLOYEE MANAGEMENT | | | | | |
| 5.3.1 | Case Management (Employees) | Records relating to substantial honours and awards conferred on employees as tokens of distinction or achievement. | PERMANENT | <ul style="list-style-type: none"> Honorary degrees Australian Honours Public Service Medal | |
| | | See: Item 5.3.2 EMPLOYEE MANAGEMENT - Case Management (Employees) for scholarships, prizes and gifts bestowed on employees. | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples | |
|------------------------------|-----------------------------|-------------------------------------|---|--|---|--|
| 5 EMPLOYEE MANAGEMENT | | | | | | |
| 5.3.2 | Case Management (Employees) | Personal files of agency employees. | TEMPORARY Destroy 100 years after date of birth | <ul style="list-style-type: none"> Personal files of employees who died on duty or were discharged for medical reasons Personal files of employees who were known to have been exposed to workplace hazards, eg dangerous chemicals, air-borne asbestos, radiation, contaminated blood, excessive noise, etc | <p>Personal files <u>may</u> include:</p> <ul style="list-style-type: none"> Date of birth Application for employment Confirmation for employment Contract of employment Current address, next of kin, telephone number Medical condition/s which may affect an employee & create an emergency situation, including emergency contacts Evidence of qualifications Evidence of professional registration Informed consent forms completed by employee for checks conducted Summary of action & outcome regarding conduct of criminal history checks, medical history checks, drug use checks, other employment screening | <ul style="list-style-type: none"> Evidence of required visas, eg training, working, etc Appointments, reassignments, approvals, etc. Salary determination & approvals Approvals relating to condition of employment Approval to engage in outside employment Summary of action taken in relation to unsatisfactory performance management Record of study courses & completed training courses Records of honours & awards Scholarships, prizes & gifts Summary of exit interview/exist checklist Separation documentation, eg TVSP, cessation advice Other relevant information |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|------------------------------|--------------------------------|---|---|--|---|
| 5 EMPLOYEE MANAGEMENT | | | | | |
| 5.4 | Case Management (Roles) | <i>The activities involved in maintaining information about roles for a range of employee management functions.</i> | | | |
| 5.4.1 | Case Management (Roles) | Records relating to the management of positions or roles. | TEMPORARY Destroy 7 years after action completed. | <ul style="list-style-type: none"> • Role establishment • Role adjustment • Role redesign • Role reclassification • Role disestablishment • Management of unoccupied positions/roles, including engagement of casual employees • Unsuccessful applications to reclassify or vary a position or role | <ul style="list-style-type: none"> • Position files for ongoing & temporary positions • Applications not proceeded with |
| 5.5 | Control | <i>The activities associated with creating, maintaining and evaluating control mechanisms. Includes classification, indexing, registration, forms design etc to ensure maximum control over records and recordkeeping systems. Also includes control mechanisms for other information resources and systems. (KAAA)</i> | | | |
| | | <p>See: Item 14.2.2 WORK HEALTH & SAFETY – Control for WH&S training registers.</p> <p>See Also: Item 6.5 FINANCIAL MANAGEMENT - Control.</p> <p>See Also: Item 9.2 INFORMATION MANAGEMENT - Control.</p> | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|------------------------------|-----------------------------|--|--|---|---|
| 5 EMPLOYEE MANAGEMENT | | | | | |
| 5.5.1 | Control | Management systems that allow the identification and management of employees in summary form. | PERMANENT | | <ul style="list-style-type: none"> Employee registers Training registers Personal history cards Forms A & B where maintained separately Human Resource Management Systems, eg Concept HRMS master list, CHRIS, etc |
| 5.5.2 | Control | Internal staff directories. | TEMPORARY Destroy 2 years after action completed. | | |
| 5.6 | Counselling | <i>The activities associated with giving advice or guidance to an employee for various reasons. (KAAA)</i> | | | |
| | | | See: Item 5.7 EMPLOYEE MANAGEMENT - Discipline for records of counselling resulting from discipline. | | |
| | | | See: Item 5.11 EMPLOYEE MANAGEMENT - Performance Management for records of counselling resulting from performance management. | | |
| | | | See Also: Item 5.9 EMPLOYEE MANAGEMENT - Grievances. | | |
| | | | See Also: Item 14.3. WORK HEALTH & SAFETY - Health & Safety, Promotion & Wellbeing. | | |
| 5.6.1 | Counselling | Records relating to counselling of employees for purposes other than performance management and/or discipline. | TEMPORARY Destroy 5 years after action completed. | <ul style="list-style-type: none"> Participation of employees in health & safety, promotion & wellbeing programs | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|------------------------------|-----------------------------|---|------------------|--|--|
| 5 EMPLOYEE MANAGEMENT | | | | | |
| 5.7 | Discipline | <i>The activities and actions associated with the discipline process. Includes investigations, charges, formal inquiries, punishment and appeals. (KAAA)</i> | | | |
| | | Note: Records relating to employees employed under the Education Act (as amended), the Police Act (as amended) and the Health Care Act (as amended) are <u>not</u> covered by this GDS. Include in agency operational RDS. | | | |
| | | See: Item 5.1 EMPLOYEE MANAGEMENT - Appeals for disciplinary matters that are appealed. | | | |
| | | See: Item 5.6 EMPLOYEE MANAGEMENT - Counselling for records of counselling not resulting from either discipline or performance management. | | | |
| | | See: Item 5.11 EMPLOYEE MANAGEMENT - Performance Management for records of counselling resulting from performance management. | | | |
| | | See: Item 5.16 EMPLOYEE MANAGEMENT - Separations for definition of 'separation'. | | | |
| | | See Also: Item 5.9 EMPLOYEE MANAGEMENT - Grievances. | | | |
| 5.7.1 | Discipline | Records relating to disciplinary cases: <ul style="list-style-type: none"> generating substantial media interest and debate and/or resulting in changes to agency policy or procedures. | PERMANENT | <ul style="list-style-type: none"> Dismissal Criminal conviction or civil finding Activities as defined by the ICAC Act (as amended) Internal inquiries Ongoing disciplinary action | <ul style="list-style-type: none"> Case files |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|------------------------------|------------------------------|---|--|--|--|
| 5 EMPLOYEE MANAGEMENT | | | | | |
| 5.7.2 | Discipline | Records relating to the management of cases where employees are formally disciplined . | TEMPORARY Destroy 10 years after action completed. | <ul style="list-style-type: none"> Dismissal Criminal conviction or civil finding Activities as defined by the ICAC Act (as amended) Internal inquiries Ongoing disciplinary action | <ul style="list-style-type: none"> Case files |
| 5.7.3 | Discipline | Records relating to the management of other disciplinary cases. | TEMPORARY Destroy 2 years after action completed. | <ul style="list-style-type: none"> No disciplinary action taken Allegations are not proven | <ul style="list-style-type: none"> Case files |
| 5.8 | Employment Conditions | <i>The activities associated with managing the general conditions of employment for employees. (KAAA)</i> | | | |
| 5.8.1 | Employment Conditions | Records relating to the management of general conditions of employment for employees. | TEMPORARY Destroy 7 years after action completed. | <ul style="list-style-type: none"> Overtime Working hours Provision of vehicles Study assistance Child care | |
| 5.8.2 | Employment Conditions | Records relating to the management of redeployment programs . | TEMPORARY Destroy 7 years after action completed. | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|------------------------------|-----------------------------|--|---|---|---|
| 5 EMPLOYEE MANAGEMENT | | | | | |
| 5.8.3 | Employment Conditions | Records relating to the provision of agency operated/managed childcare for individual children. | TEMPORARY Destroy 30 years after action completed. | <ul style="list-style-type: none"> Personal identification of children | <ul style="list-style-type: none"> Attendance records Accident reports Custody & pickup arrangements Medication & special needs forms |
| 5.9 | Grievances | <i>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, work organisation, peers, supervisors or subordinates. Also includes grievances regarding the provision of access to opportunities such as training, equipment, promotion or higher duties. (KAAA)</i> | | | |
| | | | <p>See Also: Item 5.1 EMPLOYEE MANAGEMENT - Appeals.</p> <p>See Also: Item 13.11 STRATEGIC MANAGEMENT - Integrity Investigations.</p> <p>See Also: Item 14.4 WORK HEALTH & SAFETY - Inspections.</p> | | |
| 5.9.1 | Grievances | Records relating to grievances and complaints: <ul style="list-style-type: none"> generating substantial public interest and debate and/or resulting in changes to agency policy or procedures. | PERMANENT | | |
| 5.9.2 | Grievances | Records relating to the management of grievances and complaints by employees about WH&S matters affecting them personally. | TEMPORARY Destroy 100 years after action completed. | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|------------------------------|-------------------------------|--|--|--------------------|---|
| 5 EMPLOYEE MANAGEMENT | | | | | |
| 5.9.3 | Grievances | Records relating to the resolution of other grievances and complaints. | TEMPORARY Destroy 7 years after action completed. | | |
| 5.10 | Infringements | <i>The activities associated with handling breaches of rules. Includes driving or traffic infringements and infringements of the agency's intellectual property. (KAAA)</i> | | | |
| | | <p>See Also: Item 5.6 EMPLOYEE MANAGEMENT - Counselling.</p> <p>See Also: Item 5.7 EMPLOYEE MANAGEMENT - Discipline.</p> <p>See Also: Item 9.7 INFORMATION MANAGEMENT - Intellectual Property.</p> <p>See Also: Item 9.10 INFORMATION MANAGEMENT - Privacy.</p> <p>See Also: Item 11.2 LEGAL SERVICES - Litigation.</p> | | | |
| 5.10.1 | Infringements | Records relating to employee infringements of intellectual property . | TEMPORARY Destroy 10 years after action completed. | | |
| 5.10.2 | Infringements | Records relating to employee traffic infringements . | TEMPORARY Destroy 5 years after action completed. | | <ul style="list-style-type: none"> Expiation notices |
| 5.10.3 | Infringements | Records relating to employee infringements <u>not</u> resulting in counselling, discipline or litigation. | TEMPORARY Destroy 2 years after action completed. | | |
| 5.11 | Performance Management | <i>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. (KAAA)</i> | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|------------------------------|-----------------------------|---|---|--|--|
| 5 EMPLOYEE MANAGEMENT | | | | | |
| | | <p>See Also: Item 4.1 COMPENSATION - Case Management (Compensation Claims).</p> <p>See Also: Item 5.1 EMPLOYEE MANAGEMENT - Appeals.</p> <p>See Also: Item 5.3 EMPLOYEE MANAGEMENT - Case Management (Employee Management).</p> <p>See Also: Item 5.6 EMPLOYEE MANAGEMENT - Counselling.</p> <p>See Also: Item 5.7 EMPLOYEE MANAGEMENT - Discipline.</p> <p>See Also: Item 5.9 EMPLOYEE MANAGEMENT - Grievances.</p> <p>See Also: Item 5.16 EMPLOYEE MANAGEMENT - Separations.</p> <p>See Also: Item 5.17 EMPLOYEE MANAGEMENT - Training.</p> | | | |
| 5.11.1 | Performance Management | Records relating to performance monitoring and improvement management for individual employees . | TEMPORARY Destroy 2 years after action completed. | | <ul style="list-style-type: none"> • Documentation of minimum requirements • Performance development review forms • Development plans |
| 5.12 | Recruitment | <i>The process of recruiting, which includes applying for approval to fill existing vacancies, the advertising of vacant positions and the handling of applications, interviews, selection, culling and appointment. (KAAA)</i> | | | |
| | | See Also: Item 5.15 EMPLOYEE MANAGEMENT - Security for conduct of criminal history checks as part of the recruitment process. | | | |
| 5.12.1 | Recruitment | Records relating to any appointment requiring a Ministerial or Cabinet Submission . | PERMANENT | <ul style="list-style-type: none"> • Chief Executives • Statutory Officers | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|------------------------------|-----------------------------|--|---|--|---|
| 5 EMPLOYEE MANAGEMENT | | | | | |
| 5.12.2 | Recruitment | Records relating to the management of group schemes . | TEMPORARY Destroy 7 years after action completed. | <ul style="list-style-type: none"> • Traineeships • Cadetships • Graduate employment • Work experience schemes | |
| 5.12.3 | Recruitment | Records relating to the marketing of recruitment campaigns . | TEMPORARY Destroy 5 years after action completed. | | |
| 5.12.4 | Recruitment | Records relating to the process of recruitment and selection of nominees for specific roles . | TEMPORARY Destroy 2 years after action completed. | <ul style="list-style-type: none"> • Establishment of selection panel • Unsolicited applications | <ul style="list-style-type: none"> • Job & person specifications • Role descriptions • Applications & supporting documentation • Record of interviews • Selection report • Recommendations • Delegate's approval |
| 5.13 | Remuneration | <p><i>The process of managing the payment of salaries and allowances to employees. Allowances are paid in addition to salary to cover expenses incurred in the course of employment.</i></p> <p>See: Item 5.3.2 EMPLOYEE MANAGEMENT - Case Management (Employees) for transfer in/out and superannuation contribution forms maintained on an employee's personal file and also used to calculate superannuation or long service leave entitlements.</p> | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|------------------------------|-----------------------------|---|---|---|--|
| 5 EMPLOYEE MANAGEMENT | | | | | |
| | | See: Item 5.4 EMPLOYEE MANAGEMENT - Case Management (Employees) for higher duties allowances. | | | |
| | | See: Item 5.16 EMPLOYEE MANAGEMENT - Separations for definition of 'separation'. | | | |
| 5.13.1 | Remuneration | Master records relating to leave required to calculate superannuation or long service leave entitlements. | TEMPORARY Destroy 100 years after date of birth. | <ul style="list-style-type: none"> Unauthorised leave | <ul style="list-style-type: none"> System-based calculations from Human Resource Management Systems |
| 5.13.2 | Remuneration | Other records relating to employee salaries. | TEMPORARY Destroy 7 years after action completed. | <ul style="list-style-type: none"> Substantive salaries Allowances, including for travelling, moving, shifts, meals, etc Allowances not approved Overtime Penalties Deductions Superannuation contributions Leave Adjustments Variations Approvals | <ul style="list-style-type: none"> Attendance time sheets Certificates Attendance records |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|------------------------------|-----------------------------|--|---|---|---|
| 5 EMPLOYEE MANAGEMENT | | | | | |
| 5.14 | Representatives | The activities associated with the nomination, appointment or resignation of individuals or groups of employees appointed by the agency or their co-workers as official representatives to agencies, offices, unions, employees' participation committees, councils or groups. Includes agency legal representatives. (KAAA) | | | |
| 5.14.1 | Representatives | Records relating to the nomination, appointment and resignation of agency or employee representatives. | TEMPORARY Destroy 7 years after action completed. | <ul style="list-style-type: none"> Representation on WHS Committees First aid officers Emergency evacuation and fire wardens Safety officers Election of WHS representatives | <ul style="list-style-type: none"> Register of WHS representatives |
| 5.15 | 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 employees or criminal history checks. (KAAA) | | | |
| | | See: Item 5.16 EMPLOYEE MANAGEMENT - Separations for definition of 'separation'. | | | |
| | | See Also: Item 1.14 ASSET/PHYSICAL RESOURCE MANAGEMENT - Security. | | | |
| | | See Also: Item 5.3 EMPLOYEE MANAGEMENT - Case Management (Employees) for summary of action and outcome regarding employee checks and screening. | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|------------------------------|-----------------------------|---|---|---|---|
| 5 EMPLOYEE MANAGEMENT | | | | | |
| 5.15.1 | Security | Copies of criminal history information provided to the agency as the result of a criminal history check conducted by the Commonwealth (CrimTrac or successor) . | Such information is the property of either the Commonwealth or SAPO – maintain and dispose of in accordance with provisions of the contract or memorandum of understanding. | <ul style="list-style-type: none"> Check directly sought from the Commonwealth if an agency is accredited Check sought from SAPO if agency not accredited | <ul style="list-style-type: none"> National Police Checks Criminal History Checks |
| 5.15.2 | Security | Copies of criminal history information and certificates provided to the agency by an applicant as part of the recruitment process . | TEMPORARY Destroy 6 months after action completed. | <ul style="list-style-type: none"> Information and certificates obtained by an individual as part of pre-engagement/pre-employment/pre-appointment process | <ul style="list-style-type: none"> Copies of Criminal History Checks & Certificates |
| 5.15.3 | Security | Records relating to other screening of employees or prospective employees by or on behalf of the agency. | TEMPORARY Destroy 3 years after action completed. | <ul style="list-style-type: none"> Child-related employment screening Disability services screening Vulnerable persons/aged care screening Other general employment screening | <ul style="list-style-type: none"> Copies of screening checks & certificates/letters |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|------------------------------|-----------------------------|---|---|--------------------|-----------------|
| 5 EMPLOYEE MANAGEMENT | | | | | |
| 5.16 | Separations | <i>The activities associated with managing any method of leaving an agency. Includes resignation, retirement, dismissal, death, redundancy, retrenchment and dispensations of services of temporary employees. Excludes transfers. (KAAA)</i> | | | |
| | | See: Item 5.3 EMPLOYEE MANAGEMENT - Case Management (Employees) for separation of individuals. See: Item 5.8 EMPLOYEE MANAGEMENT - Employment Conditions for redeployment. | | | |
| 5.16.1 | Separations | Records relating to the management of separation schemes . | TEMPORARY Destroy 7 years after action completed. | | |
| 5.17 | Training | <i>The activities associated with all aspects of training (external/internal) available to employees. (KAAA)</i> | | | |
| | | Note: Training courses delivered as an agency's core operational function, eg external training in standards mandated by the agency, are <u>not</u> covered by this GDS. Include in agency operational RDS. | | | |
| | | See: Item 13.11 STRATEGIC MANAGEMENT - Integrity Investigations for employee education programs about corruption, misconduct and/or maladministration. | | | |
| 5.17.1 | Training | Records relating to the development and implementation of strategies and education programs by agencies designed to prevent or minimise corruption, misconduct and/or maladministration in public administration. | PERMANENT | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|------------------------------|-----------------------------|--|--|---|--|
| 5 EMPLOYEE MANAGEMENT | | | | | |
| 5.17.2 | Training | Records relating to the provision of training and induction programs to employees on WH&S matters . | TEMPORARY Destroy 30 years after action completed. | <ul style="list-style-type: none"> Hazard awareness training relevant to specific workplace conditions Training for managers & employees on their WH&S responsibilities | <ul style="list-style-type: none"> Handouts Programs Training/ workshop notes Administrative arrangements |
| 5.17.3 | Training | Records relating to the provision of professional training for employees. | TEMPORARY Destroy 30 years after action completed. | <ul style="list-style-type: none"> Certificate, diploma &/or degree courses at TAFE institutes, universities or other RTOs | <ul style="list-style-type: none"> Applications for financial assistance & study leave Approvals Attendance records Progress reports Assessments Results |
| 5.17.4 | Training | Records relating to the provision of other training for employees. | TEMPORARY Destroy 7 years after action completed. | <ul style="list-style-type: none"> Mentoring On the job Training Shadowing | <ul style="list-style-type: none"> Handouts Programs Training/ workshop notes |
| 5.17.5 | Training | Records relating to the development of course material for training employees. | TEMPORARY Destroy 7 years after action completed. | <ul style="list-style-type: none"> Courses conducted by the agency Courses conducted by external consultants on behalf of agency | <ul style="list-style-type: none"> Handouts Programs Training/ workshop notes |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|------------------------------|-----------------------------|--|---|--|--|
| 5 EMPLOYEE MANAGEMENT | | | | | |
| 5.17.6 | Training | Records relating to the development of course material by the agency for use by external bodies such as RTOs . | TEMPORARY Destroy 7 years after action completed | <ul style="list-style-type: none"> Courses conducted by TAFE institutes, universities and other RTOs | <ul style="list-style-type: none"> Handouts Programs Training/ workshop notes |
| 5.17.7 | Training | Records relating to the evaluation of training courses provided to employees. | TEMPORARY Destroy 2 years after action completed. | <ul style="list-style-type: none"> Courses conducted by the agency Courses conducted by external consultants | <ul style="list-style-type: none"> Feedback forms |
| 5.17.8 | Training | Records relating to administrative arrangements for training. | TEMPORARY Destroy 2 years after action completed. | <ul style="list-style-type: none"> Courses conducted by the agency Courses conducted by external consultants | <ul style="list-style-type: none"> Contact lists Venue bookings Hire of equipment Catering records |
| 5.17.9 | Training | Records relating to the development and implementation of training and education programs by agencies designed to educate employees on how to manage and respond to incidents or allegations of abuse of children, young people and vulnerable adults. Also includes vulnerable adults and adults where the incidents or allegations of abuse occurred as a child. | PERMANENT | <ul style="list-style-type: none"> | <ul style="list-style-type: none"> |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|-------------------------------|-----------------------------|---|---|--|-----------------|
| 6 FINANCIAL MANAGEMENT | | | | | |
| 6 | FINANCIAL MANAGEMENT | The function of managing the agency's financial resources. Includes establishing, operating, and maintaining accounting systems, controls and procedures, financial planning, framing budgets and budget submissions, obtaining grants, managing funds in the form of allocations from the Consolidated Fund and revenue from charging, trading and investments. Also includes the monitoring and analysis of assets to assist the delivery of economic and social services to government, industry and the community. (KAAA) | | | |
| | | Note: Operational records of the Department of Treasury and Finance and the Auditor-General's Department are <u>not</u> covered by this GDS. Include in agency operational RDS. | | | |
| | | Note: For detailed information on financial management procedures see the Financial Management Framework available from the Department of Treasury and Finance. | | | |
| 6.1 | Accounting | <i>The process of collecting, recording, classifying, summarising and analysing information on financial transactions, and subsequently on the financial position and operating results of the agency. Includes financial statements and the implementation, maintenance, monitoring and auditing of the agency's accounting systems and internal controls. (KAAA)</i> | | | |
| | | See: Item 6.5 FINANCIAL MANAGEMENT - Control for subsidiary ledgers for fixed assets and for register of unclaimed moneys. See: Item 13.11 STRATEGIC MANAGEMENT - Integrity Investigations for records of deficiencies and losses resulting from actual, attempted or suspected fraud, theft, misappropriation or negligence on the part of employees. | | | |
| 6.1.1 | Accounting | Records relating to the management of unclaimed moneys . | TEMPORARY Destroy 5 years after action completed. | <ul style="list-style-type: none"> All background information | |
| 6.1.2 | Accounting | Records relating to the collection of moneys from fines and expiation notices . | TEMPORARY Destroy 7 years after action completed. | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|-------------------------------|-----------------------------|---|---|--|---|
| 6 FINANCIAL MANAGEMENT | | | | | |
| 6.1.3 | Accounting | Records relating to the management of banking matters . | TEMPORARY Destroy 7 years after action completed. | <ul style="list-style-type: none"> Management of bank accounts, eg applications, approvals, closures | <ul style="list-style-type: none"> Bank account summaries Bank deposit, withdrawal & direct debit statements Cancelled, lost, replaced & dishonoured cheques |
| 6.1.4 | Accounting | Records relating to the management of deficiencies and losses . | TEMPORARY Destroy 7 years after action completed. | <ul style="list-style-type: none"> Write-offs & losses Overpayments Recovery of debts | <ul style="list-style-type: none"> Summaries of material losses |
| 6.1.5 | Accounting | Records relating to the management of the agency's contingent assets and liabilities . | TEMPORARY Destroy 7 years after action completed. | | <ul style="list-style-type: none"> Quarterly reports Summaries of contingency assets & contingency liabilities |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|-------------------------------|-----------------------------|--|---|--------------------|---|
| 6 FINANCIAL MANAGEMENT | | | | | |
| 6.1.6 | Accounting | Master records relating to the management of revenue and expenditure . | TEMPORARY Destroy 5 years after action completed. | | <ul style="list-style-type: none"> • General & subsidiary ledgers • Transaction summary records, including payment summary documentation for PAYG purposes • Reconciliations, including credit & debit cards • Reports for checking & control of accounts payable, accounts, receivable, general ledger • Business Activity Statement • Periodic system reports for GST compliance • Chart of Accounts |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|-------------------------------|-----------------------------|--|--|--|--|
| 6 FINANCIAL MANAGEMENT | | | | | |
| 6.1.7 | Accounting | Other records relating to the management of revenue and expenditure. | TEMPORARY Destroy 5 years after action completed. | <ul style="list-style-type: none"> Discharged liabilities | <ul style="list-style-type: none"> Accounts payable batches Accounts receivable batches Approvals Cheques Receipts Claims & payment vouchers Job timesheets (accounting) Cash books & journals Sales tax records Statement by supplier re: ABN or PAYG withholding |
| 6.1.8 | Accounting | Cardholder data relating to a purchase transaction, ie: <ul style="list-style-type: none"> Primary Account Number (PAN) 1 Cardholder name 2 Service code 2 Expiration date 2. | TEMPORARY Destroy 6 months after action completed. | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|-------------------------------|-----------------------------|---|---|--|--|
| 6 FINANCIAL MANAGEMENT | | | | | |
| | | <p>Note 1: Mask PAN when displayed; the first six and last four digits are the maximum number of digits you may display (not applicable for authorised people with a legitimate business need to see the full PAN). Render PAN, at minimum, unreadable anywhere it is stored.</p> <p>Note 2: These data elements must be protected if stored in conjunction with the PAN. Protection should be per PCI DSS (<i>Payment Card Industry Data Security Standards</i>) requirements for general protection of the cardholder data environment.</p> | | | |
| 6.1.9 | Accounting | Sensitive cardholder authentication data relating to a purchase transaction. | <p>TEMPORARY Destroy immediately after authorisation.</p> <p>TEMPORARY Destroy 1 month after payment of invoice finalised</p> | <ul style="list-style-type: none"> • Full magnetic stripe data • C'W2/CAV2/CVC2/CID • PIN/PIN block | <ul style="list-style-type: none"> • Invoices |
| 6.1.10 | Accounting | Invoices received by agencies that are processed and also retained by a shared/bureau service. | <p>TEMPORARY Destroy 1 month after payment of invoice finalised</p> | <ul style="list-style-type: none"> • Invoices processed by Shared Services SA on behalf of client agencies | <ul style="list-style-type: none"> • Invoices |
| 6.2 | Acquisition | <i>The process of gaining ownership or use of property and other items required in the conduct of business through purchase or requisitions. (KAAA)</i> | | | |
| | | Note: Acquisition conducted as an agency's core operational function is not covered by this GDS. Include in agency operational RDS. | | | |
| | | See: List of Definitions, p.23 for a definition of 'equipment and stores'. | | | |
| | | See Also: Item 6.10 FINANCIAL MANAGEMENT - Procurement (Goods and Services) | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|-------------------------------|-----------------------------|---|---|---|---|
| 6 FINANCIAL MANAGEMENT | | | | | |
| 6.2.1 | Acquisition | Records relating to the acquisition of properties: <ul style="list-style-type: none"> • of National or State significance and/or • that generate substantial public interest, debate and/or controversy. | PERMANENT | <ul style="list-style-type: none"> • Heritage-listed buildings | <ul style="list-style-type: none"> • Specifications • Building plans • Project management records • Reports into the acquisition of such properties |
| 6.2.2 | Acquisition | Records relating to the acquisition of assets containing asbestos or other hazardous materials . | TEMPORARY Destroy 100 years after action completed. | <ul style="list-style-type: none"> • Acquisition of property included on an asbestos or hazardous substances register • Acquisition of equipment and stores | <ul style="list-style-type: none"> • Investigations or reports into the acquisition of such assets |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|-------------------------------|-----------------------------|--|---|---|--|
| 6 FINANCIAL MANAGEMENT | | | | | |
| 6.2.3 | Acquisition | Records relating to the acquisition of other assets . | TEMPORARY Destroy 7 years after action completed. | <ul style="list-style-type: none"> Acquisition of property not containing asbestos or other hazardous materials Acquisition of equipment and stores not containing asbestos or other hazardous materials Acquisition of software, hardware and applications Acquisition of standard fleet vehicles, including purchasing, hiring, leasing Investigations or reports into the acquisition of assets | <ul style="list-style-type: none"> Quotations Requisitions Orders Invoices Petty cash forms Business cases Requests for proposals Testing records Specifications Selection documentation System documentation Licenses Upgrade agreements |
| 6.2.4 | Acquisition | Records relating to the acquisition of services not requiring a contract. | TEMPORARY Destroy 8 years after action completed | <ul style="list-style-type: none"> Low-level services, eg catering | <ul style="list-style-type: none"> Quotations Requisitions Orders Invoices |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|-------------------------------|-----------------------------|--|---|--------------------|--|
| 6 FINANCIAL MANAGEMENT | | | | | |
| 6.2.5 | Acquisition | Records relating to fleet vehicle registration . | TEMPORARY Destroy 5 years after action completed | | |
| 6.2.6 | Acquisition | Records relating to the acquisition of external publications and library materials . | TEMPORARY Destroy 5 years after action completed. | | <ul style="list-style-type: none"> • Subscriptions • Orders • Approvals |
| 6.2.7 | Acquisition | Other acquisition source records retained in business units or regional offices . | TEMPORARY Destroy 2 years after action completed. | | <ul style="list-style-type: none"> • Purchase order book butts |
| 6.2.8 | Acquisition | Records relating to unsuccessful quotations for the acquisition of assets and physical resources. | TEMPORARY Destroy 2 years after action completed. | | |
| 6.3 | Allocation | <i>The process of assigning money, items or equipment to employees or agency units. (KAAA)</i> | | | |
| 6.3.1 | Allocation | Records relating to the allocation of credit cards to employees . | TEMPORARY Destroy 7 years after action completed. | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|-------------------------------|-----------------------------|---|---|--|--|
| 6 FINANCIAL MANAGEMENT | | | | | |
| 6.3.2 | Allocation | Records relating to the allocation of funds within the agency. | TEMPORARY Destroy 5 years after action completed. | <ul style="list-style-type: none"> • Allocations to agency units • Allocations for specific programs | |
| 6.4 | Budgeting | <i>The process of planning the use of expected income and expenditure over a specified period. (KAAA)</i> | | | |
| 6.4.1 | Budgeting | Records relating to budgeting of significant new policy proposals or programs. | PERMANENT | <ul style="list-style-type: none"> • Detailed justification & substantive background information | <ul style="list-style-type: none"> • Budget bi-lateral bids |
| 6.4.2 | Budgeting | Annual budget estimates submitted by the Chief Executive to the Minister for approval. | PERMANENT | | <ul style="list-style-type: none"> • Annual budget estimates • Revised estimates |
| 6.4.3 | Budgeting | Records relating to the development of agency budget estimates . | TEMPORARY Destroy 7 years after action completed. | | <ul style="list-style-type: none"> • Working papers • Calculations • Costings of ongoing programs • Periodic returns to Treasury • Budget reviews |
| 6.4.4 | Budgeting | Regional office, business unit or branch records relating to agency budget estimates. | TEMPORARY Destroy 5 years after action completed. | | <ul style="list-style-type: none"> • Submissions for input into whole agency budget |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|-------------------------------|-----------------------------|---|--|--------------------|---|
| 6 FINANCIAL MANAGEMENT | | | | | |
| 6.5 | Control | <i>The activities associated with creating, maintaining and evaluating control mechanisms. Includes classification, indexing, registration, form design etc to ensure maximum control over records and recordkeeping system. Also includes control mechanisms for other information resources and systems. (KAAA)</i> | | | |
| | | See Also: Item 5.5 EMPLOYEE MANAGEMENT - Control. See Also: Item 9.2 INFORMATION MANAGEMENT - Control. | | | |
| 6.5.1 | Control | Master, summary records relating to control of core financial management records and systems. | PERMANENT | | <ul style="list-style-type: none"> Register of unclaimed moneys required to be maintained under Treasurer's Instructions Register of Financial Delegations Register of Contracts |
| 6.5.2 | Control | Master, summary records relating to control of secondary financial management records and systems. | TEMPORARY Destroy 10 years after action completed. | | <ul style="list-style-type: none"> Register of contractors & suppliers Register of tenders |
| 6.6 | Financial Statements | <i>The process of compiling annual statements presented in prescribed tabular form showing receipts and payments, both actual and budgeted for the current financial year and the actual amounts received or paid for the previous financial year. (KAAA)</i> | | | |
| | | See: Item 13.21 STRATEGIC MANAGEMENT - Reporting for annual reports containing financial statements. | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|-------------------------------|-----------------------------|---|---|--------------------|--|
| 6 FINANCIAL MANAGEMENT | | | | | |
| 6.6.1 | Financial Statements | Records relating to the consolidated or summary annual statements of accounts not captured in the agency's annual report or the Auditor-General's annual report. | PERMANENT | | |
| 6.6.2 | Financial Statements | Records relating to other annual statements of accounts. | TEMPORARY Destroy 5 years after action completed. | | <ul style="list-style-type: none"> Annual financial statements to the Auditor-General |
| 6.7 | Grant Funding | <i>The activities associated with the application for and receipt of grants. (KAAA)</i> | | | |
| | | Note: Records of agencies that disburse grants to other agencies or organisations are <u>not</u> covered by this GDS. Include in agency operational RDS. | | | |
| 6.7.1 | Grant Funding | Records relating to successful applications made by the agency for grants. | TEMPORARY Destroy 8 years after action completed. | | |
| 6.7.2 | Grant Funding | Records relating to unsuccessful applications made by the agency for grants. | TEMPORARY Destroy 2 years after action completed. | | |
| 6.8 | Insurance | <i>The process of taking out premiums to cover loss or damage to property or premises, and to cover customers and employees against injury or death resulting from incidents on the agency's premises or whilst engaged during employment. (KAAA)</i> | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|--|-----------------------------|---|--|--|--|
| 6 FINANCIAL MANAGEMENT | | | | | |
| 6.8.1 | Insurance | Records relating to the management of workers compensation insurance policies and levies covering employees . | TEMPORARY Destroy 30 years after term of policy or levy premium expires. | <ul style="list-style-type: none"> Injury or death resulting from accidents or incidents while on duty | <ul style="list-style-type: none"> Insurance policies |
| 6.8.2 | Insurance | Records relating to the management of insurance policies and levies covering members of Boards and Committees, clients or visitors . | TEMPORARY Destroy 30 years after term of policy or levy premium expires. | <ul style="list-style-type: none"> Injury or death resulting from accidents or incidents while on duty | <ul style="list-style-type: none"> Insurance policies |
| 6.8.3 | Insurance | Records relating to the management of other insurance policies and levies. | TEMPORARY Destroy 5 years after term of policy or levy premium expires. | <ul style="list-style-type: none"> Civil liability Loss or damage to property Travel Strata arrangements Professional indemnity Construction | <ul style="list-style-type: none"> Insurance policies |
| 6.9 | Payments | <i>The activities involved in the preparation and payment of money, except in cases of payment of membership fees and subscriptions to journals, etc. Includes payment of employee expenses in attending public service interviews, etc. (KAAA)</i> | | | |
| See Also: Item 6.1 FINANCIAL MANAGEMENT - Accounting. | | | | | |
| 6.9.1 | Payments | Records relating to special or ex gratia payments over \$1000. | PERMANENT | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|-------------------------------|---|---|---|--|--|
| 6 FINANCIAL MANAGEMENT | | | | | |
| 6.9.2 | Payments | Records relating to other payments of money. | TEMPORARY Destroy 5 years after action completed. | <ul style="list-style-type: none"> Special or ex gratia payments under \$1000 Payment of employee expenses | <ul style="list-style-type: none"> Claims, approvals & other supporting documentation |
| 6.10 | Procurement (Goods & Services) | <i>The activities involved in arranging, assessing, procuring and managing the performance of work or the provision of goods or services by an external contractor or consultant, or by using external bureau services. Sometimes referred to as outsourcing. Also includes the process of gaining ownership or use of property and other items required in the conduct of business through purchase or requisitions.</i> | | | |
| | | | Note: Where an agency is responsible for providing consultancy services to other agencies or organisations, ie contracting-in, the related records are <u>not</u> covered by this GDS. Include in agency operational RDS. | | |
| | | | Note: Where an agency is responsible for Across-Government tenders and contracts, the related records are <u>not</u> covered by this GDS. Include in agency operational RDS. However, the records of other agencies participating in such contracts are covered by this GDS. | | |
| | | | See Also: Item 6.2 FINANCIAL MANAGEMENT - Acquisition. See Also: Item 13.12 STRATEGIC MANAGEMENT - Joint Ventures. | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|-------------------------------|--------------------------------|--|---|--------------------|--|
| 6 FINANCIAL MANAGEMENT | | | | | |
| 6.10.1 | Procurement (Goods & Services) | Records relating to the receipt and assessment of tenders that: <ul style="list-style-type: none"> are significant and/or have created major public interest or created controversy. | PERMANENT | | <ul style="list-style-type: none"> Statement of requirements Request for proposals Expressions of interest Specifications Public notices Submissions Evaluation arrangements Final reports & recommendations |
| 6.10.2 | Procurement (Goods & Services) | Records relating to the receipt and assessment of tenders relating to: <ul style="list-style-type: none"> asbestos or other hazardous materials removal and/or remediation works. | TEMPORARY Destroy 100 years after action completed. | | <ul style="list-style-type: none"> Statement of requirements Request for proposals Expressions of interest Specifications Public notices Submissions Evaluation arrangements Final reports & recommendations |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|-------------------------------|--------------------------------|--|---|--|--|
| 6 FINANCIAL MANAGEMENT | | | | | |
| 6.10.3 | Procurement (Goods & Services) | Records relating to the receipt and assessment of other tenders . | TEMPORARY Destroy 8 years after action completed. | <ul style="list-style-type: none"> • Successful tenders • Unsuccessful tenders • Tenders not proceeded with | <ul style="list-style-type: none"> • Statement of requirements • Request for proposals • Expressions of interest • Specifications • Public notices • Submissions • Evaluation arrangements • Final reports & recommendations |
| 6.10.4 | Procurement (Goods & Services) | Records relating to the management of contracts that: <ul style="list-style-type: none"> • are significant and/or • have created major public interest or • created controversy. | PERMANENT | | <ul style="list-style-type: none"> • Contracts • Agreements • Terms & conditions • Guarantees & undertakings • Contract performance records • Contract variations • Related correspondence |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|-------------------------------|--------------------------------|---|---|--|---|
| 6 FINANCIAL MANAGEMENT | | | | | |
| 6.10.5 | Procurement (Goods & Services) | Records relating to the management of contracts relating to: <ul style="list-style-type: none"> • asbestos or • other hazardous materials removal and/or • remediation works. | TEMPORARY Destroy 100 years after action completed. | | <ul style="list-style-type: none"> • Contracts • Agreements • Terms & conditions • Guarantees & undertakings • Contract performance records • Contract variations • Related correspondence |
| 6.10.6 | Procurement (Goods & Services) | Records relating to the management of other contracts under seal (specialty contracts). | TEMPORARY Destroy 17 years after action completed. | <ul style="list-style-type: none"> • Contracts proceeded with • Contracts finalised but not proceeded with | <ul style="list-style-type: none"> • Contracts • Agreements • Terms & conditions • Guarantees & undertakings • Contract performance records • Contract variations • Related correspondence |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|-------------------------------|--------------------------------|---|---|--|---|
| 6 FINANCIAL MANAGEMENT | | | | | |
| 6.10.7 | Procurement (Goods & Services) | Records relating to the management of other contracts <u>not</u> under seal (simple contracts). | TEMPORARY Destroy 8 years after action completed. | <ul style="list-style-type: none"> • Contracts proceeded with • Contracts finalised but not proceeded with | <ul style="list-style-type: none"> • Contracts • Agreements • Terms & conditions • Guarantees & undertakings • Contract performance records • Contract variations • Related correspondence |
| 6.10.8 | Procurement (Goods & Services) | Records documenting administrative arrangements relating to procurement. | TEMPORARY Destroy 2 years after action completed. | | <ul style="list-style-type: none"> • Advertising • Working papers |
| 6.11 | Taxation | <i>The activities associated with preparing Commonwealth and State taxation returns, dealing with Commonwealth private taxation rulings and complying with tax obligations such as FBT, GST and PAYG. Also includes managing any other taxation matters required of agencies through legislation or Treasurer's Instructions.</i> | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|-------------------------------|-----------------------------|--|---|---|--|
| 6 FINANCIAL MANAGEMENT | | | | | |
| 6.11.1 | Taxation | Records relating to taxation matters of the agency. | TEMPORARY Destroy 6 years after action completed. | <ul style="list-style-type: none"> • Tax exemptions • External tax advice | <ul style="list-style-type: none"> • Fringe Benefits Tax (FBT) records • Business Activity Statements (BAS) • Certificates • Tax payment records (including Pay As You Go (PAYG) withholding tax) • Goods and Services Tax (GST) records • Payroll tax records • Correspondence with the Australian Tax Office & Treasury • Tax exempt applications to ATO |
| 6.11.2 | Taxation | Records relating to fringe benefits tax liabilities of individuals. | TEMPORARY Destroy 7 years after action completed. | | <ul style="list-style-type: none"> • Returns • Declarations • Supporting documentation |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|-------------------------------|-----------------------------|---|---|---|--|
| 6 FINANCIAL MANAGEMENT | | | | | |
| 6.11.3 | Taxation | Agency copies of payment summaries and employee termination payment statements. | TEMPORARY Destroy 7 years after action completed. | | <ul style="list-style-type: none"> Group certificates |
| 6.11.4 | Taxation | Records relating to employee income tax declarations. | TEMPORARY Destroy 1 year after superseded. | <ul style="list-style-type: none"> Employee Tax File Numbers | |
| 6.12 | Treasury Management | <i>The process of managing the funds of an agency in an efficient and economical manner by ensuring an effective system of internal control is in operation. Includes investments and loans. (KAAA)</i> | | | |
| 6.12.1 | Treasury Management | Records relating to management of the agency's: <ul style="list-style-type: none"> appropriations investments loans and trust accounts. | TEMPORARY Destroy 7 years after action completed. | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|-------------------------------|----------------------------------|---|---|---|--|
| 7 GOVERNMENT RELATIONS | | | | | |
| 7 | GOVERNMENT RELATIONS | The function of administering the formal relationship between the agency and those processes of government not covered by other general administrative or functional keywords. Includes the agency's relationship with Ministers and Members of Parliament and the political processes of Government; liaison with bodies carrying out investigations and participating in formal inquiries and investigations such as Royal Commissions and inquiries by Parliamentary Committees and the Ombudsman; and relationships with other Local, State, Commonwealth or overseas governments. (KAAA) | | | |
| 7.1 | Addresses (presentations) | <i>The activity of giving addresses for training, professional, community relations, government relations or sales purposes. Includes speeches and multi-media presentations. (KAAA)</i> | | | |
| | | See Also: Item 3.1 COMMUNITY RELATIONS - Addresses (presentations). See Also: Item 5.17 EMPLOYEE MANAGEMENT - Training for presentations by employees at training seminars, workshops, etc. | | | |
| 7.1.1 | Addresses (presentations) | Records relating to addresses and presentations given by employees at events . | PERMANENT | <ul style="list-style-type: none"> • Events arranged by the agency • Events arranged by other government agencies and organisations | |
| 7.1.2 | Addresses (presentations) | Records relating to addresses and presentations of a routine or informational nature . | TEMPORARY Destroy 2 years after action completed. | | <ul style="list-style-type: none"> • Working papers • Speeches |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|-------------------------------|---------------------------------|--|--|--------------------|--|
| 7 GOVERNMENT RELATIONS | | | | | |
| 7.2 | Briefings (Agencies) | <p>The activities associated with agencies providing submissions, advice, responses to representations and briefings to the Minister, Cabinet, Cabinet Committees and other agencies and governments, including:</p> <ul style="list-style-type: none"> the preparation and submission of a formal statement supporting a case or opinion held by the agency that is submitted to the Premier, the Minister, Cabinet or another agency or government, for the purpose of either gain or support offering opinions to the Minister as to an action or judgement and providing briefings to the Minister on aspects of agency policies, procedures, obligations and liabilities. Includes the process of advising preparing responses to the questions raised in Parliament and elsewhere by Members of Parliament on behalf of their constituents preparing responses to community-based representations that have been directed to the agency by the Minister (Ministerial responses). | | | |
| | | | <p>Note: Records held by Cabinet, Cabinet Sub-Committee, Cabinet Committees and Cabinet Task Forces are <u>not</u> covered by this GDS. Include in agency operational RDS.</p> | | |
| | | | <p>Note: In accordance with Cabinet Guides (as amended) Ministers are responsible to the Premier for the safe keeping and retention of original Cabinet documents. Cabinet Office returns the version tabled in Cabinet (which includes the decision and any annotations by the Premier as Chair of Cabinet) to Ministers to be stored with the original documents. This is despite the electronic lodgement of submission copies via the Electronic Cabinet Online (ECO) system.</p> | | |
| | | | | | <p>The master copy of Cabinet documents (including ‘Sensitive: SA Cabinet’ documents, Submissions to Cabinet or Cabinet Sub-committee, Cabinet matters for noting, Board or Committee appointments requiring approval by Executive Council, Version tabled in Cabinet and returned to Minister by Cabinet Office) should be held by Ministers’ Offices and then transferred to the custody of the Office of the relevant Chief Executive or to State Records immediately prior to each State Election.</p> <p>See: Item 13.1 STRATEGIC MANAGEMENT - Advice for advice provided internal to an agency, eg CE, senior management.</p> |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|--|--------------------------------|---|---|--------------------|---|
| 7 GOVERNMENT RELATIONS | | | | | |
| <p>See Also: Item 2.1 BOARD & COMMITTEE MANAGEMENT - Advice. See Also: Item 11.1 LEGAL SERVICES - Advice.</p> | | | | | |
| 7.2.1 | Briefings (Agencies) | Drafts and copies of Cabinet documents held for reference purposes by the agency. | TEMPORARY Destroy 2 years after action completed. | | |
| 7.2.2 | Briefings (Agencies) | Records relating to the provision of submissions, advice and briefings to the Minister which relate to: <ul style="list-style-type: none"> • contentious issues or • issues of major significance to the agency or • issues of major significance to the community at large. | PERMANENT | | <ul style="list-style-type: none"> • Ministerial briefings • Reports to the Minister • Minister speech notes |
| 7.2.3 | Briefings (Agencies) | Records relating to other submissions, advice or briefings to the Minister relating to the operational functions of the agency. | TEMPORARY Destroy 8 years after action completed. | | <ul style="list-style-type: none"> • Ministerial briefings • Reports to the Minister • Minister speech notes |
| 7.2.4 | Briefings (Agencies) | Records relating to submissions: <ul style="list-style-type: none"> • to other agencies or other governments made directly by the agency OR • that are Across-Government and coordinated by the agency. | PERMANENT | | |
| 7.2.5 | Briefings (Agencies) | Records relating to agency contributions to across-government submissions to lead or responsible agencies. | TEMPORARY Destroy 5 years after action completed. | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|-------------------------------|--------------------------------|--|--|--------------------|--|
| 7 GOVERNMENT RELATIONS | | | | | |
| 7.2.6 | Briefings (Agencies) | Records relating to the provision of responses to Ministerials or to Parliamentary Questions where there is evidence of subsequent changes to government or agency policy. | PERMANENT | | <ul style="list-style-type: none"> Responses to Ministerial enquiries |
| 7.2.7 | Briefings (Agencies) | Records relating to the provision of other responses to Ministerials and Parliamentary Questions. | TEMPORARY Destroy 10 years after action completed. | | <ul style="list-style-type: none"> Responses to Ministerial enquiries |
| 7.2.8 | Briefings (Agencies) | Department or business unit copies of records relating to representations and responses. | TEMPORARY Destroy 2 years after action completed. | | |
| 7.3 | Greetings | <i>The activities associated with preparing and sending letter of appreciation or condolences. Includes mailing lists for Christmas cards. (KAAA)</i> | | | |
| | | See: Item 3.6 COMMUNITY RELATIONS - Greetings. | | | |
| 7.4 | Inquiries | <i>The activities associated with liaising with bodies carrying out inquiries and participating in them. Inquiries are investigations carried out by persons or bodies who have been empowered to inquire and report on a subject, such as Royal Commissions, Parliamentary, Coronial and Ombudsman Inquiries. Includes the agency's participation in the inquiry by providing evidence in the form of records, submissions or employees. (KAAA)</i> | | | |
| | | Note: Records created or managed by Royal Commissions or Commissions of Inquiry are <u>not</u> covered by this GDS. These are <u>covered</u> by General Disposal Schedule 26. | | | |
| | <i>Agency Inquiries</i> | <i>Inquiries relating directly to the functions of the agency.</i> | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|-------------------------------|--------------------------------|---|---|---|---|
| 7 GOVERNMENT RELATIONS | | | | | |
| 7.4.1 | Inquiries | Records relating to the provision of submissions and statements of information to the Inquiry. | PERMANENT | <ul style="list-style-type: none"> Implementation of the recommendations of the Inquiry. | <ul style="list-style-type: none"> Submissions Statements of information Report of recommendations |
| | <i>Other Inquiries</i> | <i>Inquiries not relating directly to the functions of the agency.</i> | | | |
| 7.4.2 | Inquiries | Records which include input by the agency or a nil response . | TEMPORARY Destroy 7 years after action completed. | | <ul style="list-style-type: none"> Submissions Statements of information Report of recommendations |
| 7.5 | Visits | <i>The activities involved in arranging visits by other agencies or organisations, the public and students to the agency, with a view to inform, educate or promote the services, operation and role of the agency. Includes arranging visits by employees to other agencies or organisations. (KAAA)</i> | | | |
| | | See: Item 3.12 COMMUNITY RELATIONS - Visits for records relating to visits to or by non-government organisations. | | | |
| 7.5.1 | Visits | Records relating to official visits to either: <ul style="list-style-type: none"> the agency by dignitaries or delegations from other governments or by agency employees to other government organisations either in Australia or overseas. | PERMANENT | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|-------------------------------|--------------------------------|---|---|--|-----------------|
| 7 GOVERNMENT RELATIONS | | | | | |
| 7.5.2 | Visits | Records relating to other visits either: <ul style="list-style-type: none"> to the agency by people from other agencies or other governments or by agency employees to other government organisations. | TEMPORARY Destroy 2 years after action completed. | <ul style="list-style-type: none"> Ministerial visits | |
| 7.5.3 | Visits | Records relating to administrative arrangements associated with visits. | TEMPORARY Destroy 2 years after action completed. | <ul style="list-style-type: none"> Security arrangements Travel arrangements | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|-------------------------------|--------------------------------|---|--|---|-----------------|
| 8 INDUSTRIAL RELATIONS | | | | | |
| 8 | INDUSTRIAL RELATIONS | The function of establishing formal relations with the agency's employees and their representatives to achieve a harmonious workplace. Includes negotiations conducted to obtain determinations, agreements or awards, industrial disputes settled within the agency or by an external arbiter and reports of the state of industrial relations within the agency. (KAAA) | | | |
| 8.1 | Advice | The activities associated with offering opinions by or to the agency as to an action or judgement. Includes process of advising. (KAAA) | | | |
| | | <p>See Also: Item 7.2 GOVERNMENT RELATIONS - Briefings.</p> <p>See Also: Item 11.1 LEGAL SERVICES - Advice.</p> <p>See Also: Item 13.1 STRATEGIC MANAGEMENT - Advice.</p> | | | |
| 8.1.1 | Advice | Records relating to the provision of substantive advice to the Minister or Chief Executive . | PERMANENT | Advice relating to substantive aspects of agency: <ul style="list-style-type: none"> • industrial relations policies • industrial relations procedures • functions • obligations and/or liabilities • Advice to stakeholders, such as employer & employee associations | |
| 8.1.2 | Advice | Records relating to other advice concerning industrial relations matters, but <u>excluding</u> legal advice. | TEMPORARY Destroy 17 years after action completed. | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|-------------------------------|------------------------------------|--|---|--|---|
| 8 INDUSTRIAL RELATIONS | | | | | |
| 8.2 | Agreements (Industrial) | <i>The processes associated with the establishment, maintenance, review and negotiation of workplace agreements and awards.</i> | | | |
| 8.2.1 | Agreements (Industrial) | Records relating to the negotiation, implementation and review of industrial agreements or awards: <ul style="list-style-type: none"> • affecting agency employees and • where the agency has substantial input. | PERMANENT | <ul style="list-style-type: none"> • State awards • State agreements | <ul style="list-style-type: none"> • Master copy of determinations • Master copy of agreements & awards • Agency-wide contentious agreements • Precedent-setting agreements |
| 8.2.2 | Agreements (Industrial) | Records relating to other industrial agreements and awards. | TEMPORARY Destroy 7 years after action completed. | <ul style="list-style-type: none"> • Federal awards • Agreements and awards where the agency does not have substantial input | |
| 8.2.3 | Agreements (Industrial) | Records relating to negotiations that do not result in enterprise agreements or awards . | TEMPORARY Destroy 7 years after action completed. | | |
| 8.2.4 | Agreements (Industrial) | Supplementary records accumulated during the enterprise bargaining process. | TEMPORARY Destroy 2 years after action completed. | | <ul style="list-style-type: none"> • Working papers • Notes |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|-------------------------------|--------------------------------|---|---|--|-----------------|
| 8 INDUSTRIAL RELATIONS | | | | | |
| 8.3 | Appeals | <i>The activities involved in the process of appeals against decisions by application to a higher authority. (KAAA)</i> | | | |
| | | See: Item 5.1 EMPLOYEE MANAGEMENT - Appeals for appeals by individual employees or a class of individuals. | | | |
| 8.3.1 | Appeals | Records relating to policy advice or advocacy assistance in unfair dismissal cases where the claim has Across-Government implications . | PERMANENT | | |
| 8.3.2 | Appeals | Records relating to agency appeals of Fair Work or Enterprise Bargaining decisions . | PERMANENT | | |
| 8.4 | Disputes (Industrial) | <i>The process of handling any disagreement pertaining to awards, agreements, demarcation issues, breaches of injunctions, secret ballots, etc. (KAAA)</i> | | | |
| 8.4.1 | Disputes (Industrial) | Records relating to industrial action or disputes that: <ul style="list-style-type: none"> have a major impact on agency operations or are of a precedent-setting nature. | PERMANENT | <ul style="list-style-type: none"> Strikes Conciliation & dispute resolution processes | |
| 8.4.2 | Disputes (Industrial) | Records relating to other industrial action or disputes. | TEMPORARY Destroy 7 years after action completed. | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|---------------------------------|-------------------------------|--|-----------------|--------------------|-----------------|
| 9 INFORMATION MANAGEMENT | | | | | |
| 9 | INFORMATION MANAGEMENT | The function of managing the agency's information resources. Includes creating, capturing, registering, classifying, indexing, storing, retrieving and disposing of records and developing strategies to manage records. Also includes the acquisition, control and disposal of library and other information products, items kept for reference purposes, and the provision of services to internal and external customers, based on information resources. Data administration, archival records and the handling of Freedom of Information (FOI) requests are also classified under this keyword. (KAAA) | | | |
| | | Note: Operational records of State Records and the State Library of South Australia are <u>not</u> covered by this GDS. Include in agency operational RDS. | | | |
| 9.1 | Case Management (FOI) | See Also: Item 10.INFORMATION TECHNOLOGY (Various Activities). Cases that relate to particular incidents, persons, agencies, organisations or clients. Includes the process of obtaining access to information held as records by government agencies, government ministers and other public bodies in accordance with Freedom of Information (FOI) legislation. Includes appeals to external authorities. Note: Includes Freedom of Information (FOI) case files where a number of activities are kept together on the one file. Note: 'Action Completed', in the case of FOI case files, is when the matter is 'determined' as prescribed by the Freedom of Information Act (as amended). Note: For original documents subject to applications under the FOI Act, including withheld and amended documents, retain until all action completed and FOI appeal period has expired, then dispose of in accordance with relevant disposal schedule, ie GDS 30 or an operational RDS. | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|---------------------------------|-----------------------------|---|--|--------------------|--|
| 9 INFORMATION MANAGEMENT | | | | | |
| 9.1.1 | Case Management (FOI) | Records relating to the management of FOI cases that: <ul style="list-style-type: none"> are precedent-setting or generate substantial public interest or are referred to external authorities as part of the prescribed appeal process. | PERMANENT | | <ul style="list-style-type: none"> Case files |
| 9.1.2 | Case Management (FOI) | Records relating to the management of FOI cases that: <ul style="list-style-type: none"> are contentious and involving recurring or protracted requests or involve amendments to records or involve internal reviews. | TEMPORARY Destroy 10 years after action completed. | | <ul style="list-style-type: none"> Case files |
| 9.1.3 | Case Management (FOI) | Records relating to the management of FOI cases that: <ul style="list-style-type: none"> are routine or are of a non-contentious nature. | TEMPORARY Destroy 5 years after action completed. | | <ul style="list-style-type: none"> Case files |
| 9.1.4 | Case Management (FOI) | Records relating to the management of FOI applications that are: <ul style="list-style-type: none"> withdrawn or referred to other agencies. | TEMPORARY Destroy 2 years after action completed. | | <ul style="list-style-type: none"> Case files |
| 9.2 | Control | <i>The activities associated with creating, maintaining and evaluating control mechanisms. Includes classification, indexing, registration, form design etc to ensure maximum control over records and recordkeeping system. Also includes control mechanisms for other information resources and systems. (KAAA)</i> | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|---------------------------------|-----------------------------|--|--|--|--|
| 9 INFORMATION MANAGEMENT | | | | | |
| | | <p>See Also: Item 5.5 EMPLOYEE MANAGEMENT - Control.</p> <p>See Also: Item 6.5 FINANCIAL MANAGEMENT - Control.</p> <p>See Also: Item 9.8 INFORMATION MANAGEMENT - Inventory.</p> | | | |
| 9.2.1 | Control | Master, summary records relating to central control of agency recordkeeping systems. | PERMANENT | <ul style="list-style-type: none"> Details of control numbers, titles, record abstracts, date ranges, records transferred to archives, destruction dates, etc | <ul style="list-style-type: none"> Registers Indexes Registers of documents under seal |
| 9.2.2 | Control | Metadata elements used for records control. | PERMANENT | <ul style="list-style-type: none"> File & document registration, disposal details, etc SARKMS-defined control metadata | <ul style="list-style-type: none"> Metadata within an EDRMS Data maps/matrices |
| 9.2.3 | Control | Supplementary records supporting central control of agency records. | TEMPORARY Destroy 2 years after action completed. | <ul style="list-style-type: none"> Barcodes Locations File movements Resubmits | <ul style="list-style-type: none"> Subsidiary registers kept in branch, regional or project offices Working records relating to identifying and describing metadata elements |
| 9.2.4 | Control | Records relating to administrative classification schema for agency-specific and general records. | TEMPORARY Destroy 10 years after action completed. | <ul style="list-style-type: none"> Classification schema developed by or for the agency or obtained externally | <ul style="list-style-type: none"> Keyword AAA Thesaurus of Administrative Terms |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|---------------------------------|-----------------------------|---|--|--|--|
| 9 INFORMATION MANAGEMENT | | | | | |
| 9.2.5 | Control | Control records documenting agency library collections . | TEMPORARY Destroy 10 years after action completed. | | <ul style="list-style-type: none"> Library catalogues Resource Centre catalogues |
| 9.3 | Data Administration | <i>The activities associated with maintaining and using the data that is held in a system, either automated or manual. Includes the maintenance of data dictionaries and the application of vital records and counter disaster plan objectives to safeguard against data loss or corruption. (KAAA)</i> | | | |
| | | See: Item 10.4 INFORMATION TECHNOLOGY - System Management for records that relate to the management of databases as systems. | | | |
| | | See: Item 13.24 STRATEGIC MANAGEMENT - Risk Management for identification of vital records. | | | |
| | | See Also: Item 9.2.2 INFORMATION MANAGEMENT – Control for SARKMS defined control metadata. | | | |
| 9.3.1 | Data Administration | Records relating to the management of metadata elements not related to the control of records. | TEMPORARY Destroy 20 years after action completed | <ul style="list-style-type: none"> Metadata attached to digital platforms, eg databases, documents, electronic records, websites, intranets, workflow etc | |
| 9.3.2 | Data Administration | Records relating to the planning, coordination and migration of data between information systems . | TEMPORARY Destroy 20 years after action completed. | <ul style="list-style-type: none"> EDRMS Line-of-business systems | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|---------------------------------|-----------------------------|--|--|--|---|
| 9 INFORMATION MANAGEMENT | | | | | |
| 9.3.3 | Data Administration | Records relating to administrative support for the maintenance of data standards, data definitions and data dictionaries. | TEMPORARY Destroy 20 years after action completed. | | <ul style="list-style-type: none"> Records that explain the meaning, purpose, logical relationships, use & origin of data Software operating manuals |
| 9.4 | Disposal | <i>The process of disposing of property no longer required by the agency, by sale, transfer, termination of lease, auction, or destruction. Includes destruction or transfer to archives, and the program of activities to facilitate the orderly transfer of semi-active and inactive records from current office space into low cost or archival storage. (KAAA)</i> | | | |
| 9.4.1 | Disposal | Records relating to the destruction of temporary records. | PERMANENT | | <ul style="list-style-type: none"> Destruction registers Destruction lists Destruction certificates |
| 9.4.2 | Disposal | Records relating to the management of temporary or permanent records. | TEMPORARY Retain for life of agency. Upon cessation of agency refer to <i>Managing Records During Administrative Change Guideline.</i> | <ul style="list-style-type: none"> Transfer of temporary records to secondary storage Transfer of permanent records to State Records | <ul style="list-style-type: none"> Consignment/box lists Receipts of transfer Public access determinations Consignment lists Series registrations Agency registrations Agency user nomination forms |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|---------------------------------|-----------------------------|--|--|---|---|
| 9 INFORMATION MANAGEMENT | | | | | |
| 9.4.3 | Disposal | Records relating to the development of records disposal schedules specific to the operations of the agency. | TEMPORARY Destroy 20 years after action completed. | | <ul style="list-style-type: none"> Appraisal reports Agency copy of disposal schedule/s |
| 9.4.4 | Disposal | Records documenting administrative arrangements relating to the management of temporary or permanent records. | TEMPORARY Destroy 2 years after action completed. | | <ul style="list-style-type: none"> Courier arrangements Retrieval requests |
| 9.4.5 | Disposal | Records relating to the disposal of library materials and other information products. | TEMPORARY Destroy 5 years after action completed. | | |
| 9.5 | Distribution | <i>The activities associated with disseminating items, correspondence or publications through sales, deliveries or other customer services. (KAAA)</i> | | | |
| 9.5.1 | Distribution | Records relating to the arrangement for the receipt and dispatch of mail. | TEMPORARY Destroy 2 years after action completed. | <ul style="list-style-type: none"> Arrangement of courier services & electronic data interchange | <ul style="list-style-type: none"> Fax reports Courier booking forms |
| 9.5.2 | Distribution | Records relating to the distribution of correspondence and other items in the agency. | TEMPORARY Destroy 2 years after action completed. | | |
| 9.6 | Enquiries | <i>The activities associated with the handling of requests for information about the agency and its services by the general public or another agency or organisation. (KAAA)</i> | | | |
| | | See: Item 11.2 LEGAL SERVICES - Litigation for enquiries relating to legal cases. | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|---------------------------------|------------------------------|--|--|--|---|
| 9 INFORMATION MANAGEMENT | | | | | |
| | | <p>See Also: Item 3.4 COMMUNITY RELATIONS - Enquiries.</p> <p>See Also: Item 3.10 COMMUNITY RELATIONS - Public Reaction.</p> <p>See Also: Item 9.1 INFORMATION MANAGEMENT - Case Management (FOI).</p> | | | |
| 9.6.1 | Enquiries | Records relating to the provision of access to information outside of litigation, State Records Act or FOI processes. | TEMPORARY Destroy 8 years after action completed. | <ul style="list-style-type: none"> Requests from Tribunals, Ombudsman's Office, etc | |
| 9.6.2 | Enquiries | Records relating to library services provided by the agency. | TEMPORARY Destroy 5 years after action completed. | | <ul style="list-style-type: none"> Summaries of acquisitions Summaries of loans Summaries of users |
| 9.7 | Intellectual Property | <i>The activities involved in managing the agency's intellectual property, both published and unpublished. Includes copyright, patents, trademarks, royalties and matters of confidentiality such as trade secrets, which are not available to the public under Freedom of Information (FOI) legislation. (KAAA)</i> | | | |
| | | <p>See: Item 5.10 EMPLOYEE MANAGEMENT - Infringements for infringements by employees.</p> <p>See: Item 11.2 LEGAL SERVICES - Litigation for records relating to legal cases.</p> | | | |
| 9.7.1 | Intellectual Property | Records relating to the establishment of copyright, patents and trademarks administered by the agency. | PERMANENT | | |
| 9.7.2 | Intellectual Property | Records relating to infringement of agency intellectual property. | TEMPORARY Destroy 10 years after action completed. | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|---|-----------------------------|--|---|--|-----------------|
| 9 INFORMATION MANAGEMENT | | | | | |
| 9.7.3 | Intellectual Property | Records relating to the ongoing management of copyright, patents and trademarks. | TEMPORARY Destroy 7 years after action completed. | <ul style="list-style-type: none"> Requests to reproduce material from the agency's records or publications Agency requests to reproduce material in which another party holds the intellectual property Administration of royalties received by the agency | |
| 9.8 | Inventory | <i>The activities associated with listing and preparing lists of items and assets in the possession of the agency. (KAAA)</i> | | | |
| See Also: Item 9.2 INFORMATION MANAGEMENT - Control. | | | | | |
| 9.8.1 | Inventory | Records relating to inventories of information and library management materials. | TEMPORARY Destroy 2 years after action completed. | <ul style="list-style-type: none"> File covers Barcode labels Boxes | |
| 9.9 | Preservation | <i>The activities involved in the preservation, conservation, protection, maintenance, restoration and enhancement of properties, including buildings and land, and information resources.</i> | | | |
| 9.9.1 | Preservation | Master copy of an agency's conservation plan for the preservation of records and other information resources. | PERMANENT | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|---------------------------------|-----------------------------|---|--|--|--|
| 9 INFORMATION MANAGEMENT | | | | | |
| 9.9.2 | Preservation | Records relating to specialised conservation projects for agency records. | PERMANENT | <ul style="list-style-type: none"> Conservation projects for specific collection of records such as photographs | <ul style="list-style-type: none"> Conservation surveys Consultant reports & recommendations |
| 9.9.3 | Preservation | Records relating to other conservation activities. | TEMPORARY Destroy 5 years after action completed. | <ul style="list-style-type: none"> Environmental control of storage areas Book repairs | <ul style="list-style-type: none"> Temperature monitoring worksheets/readings Humidity readings |
| 9.10 | Privacy | <i>The activities associated with applying the principles of privacy. Includes data protection in relation to privacy. Also includes the process of collection, handling, use and disclosure of records of a private, personal or confidential nature to maintain that the rights of a living person (or immediate family) are secure from unauthorised disclosure or access to such information.</i> (KAAA) | | | |
| | | | See: Item 9.11 INFORMATION MANAGEMENT - Security for the protection of other/non-personal data. | | |
| 9.10.1 | Privacy | Records relating to the management of privacy cases that: <ul style="list-style-type: none"> are precedent-setting or generate substantial public interest or are referred to external authorities, eg Privacy Committee of South Australia. | PERMANENT | | <ul style="list-style-type: none"> Case files |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|---------------------------------|-----------------------------|--|--|---|---|
| 9 INFORMATION MANAGEMENT | | | | | |
| 9.10.2 | Privacy | Records relating to the management of other privacy matters . | TEMPORARY Destroy 10 years after action completed. | <ul style="list-style-type: none"> Privacy breaches, including investigations and responding to complaints Other cases involving the management of privacy Ongoing protection of information to ensure privacy | <ul style="list-style-type: none"> Case files Special procedures for management of personal information Consent forms for use of images/personal information for publication |
| 9.11 | Security | <i>The activities associated with measures taken to protect people, premises, equipment or information from accidental or intentional damage or from unauthorised access. (KAAA)</i> | | | |
| | | <p>See: Item 1.14 ASSET/PHYSICAL RESOURCE MANAGEMENT - Security for the security of assets and physical resources.</p> <p>See: Item 5.7 EMPLOYEE MANAGEMENT - Discipline for disciplinary action involving security breaches by employees.</p> <p>See: Item 5.15 EMPLOYEE MANAGEMENT - Security for criminal history checks of employees.</p> <p>See: Item 10.4 INFORMATION TECHNOLOGY - System Management for IT security restrictions.</p> | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|---------------------------------|-----------------------------|---|---|---|---|
| 9 INFORMATION MANAGEMENT | | | | | |
| 9.11.1 | Security | Records relating to breaches of security or incidents: <ul style="list-style-type: none"> resulting in the laying of charges or where sabotage is strongly suspected. | PERMANENT | <ul style="list-style-type: none"> External hacking of data Intrusion to restricted areas Cyber-terrorism Intentional damage or deletion of information/data Liaison with law enforcement agencies | <ul style="list-style-type: none"> Records of investigations |
| 9.11.2 | Security | Records relating to other breaches of security or incidents. | TEMPORARY Destroy 5 years after action completed. | <ul style="list-style-type: none"> Incidents not resulting in laying of charges Where sabotage is not suspected | <ul style="list-style-type: none"> Records of investigations |
| 9.11.3 | Security | Records relating to the provision of ongoing protection for agency information. | TEMPORARY Destroy 5 years after action completed. | <ul style="list-style-type: none"> Special security arrangements for sensitive/ confidential information | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|----------------------------------|--------------------------------|---|---|--------------------|--|
| 10 INFORMATION TECHNOLOGY | | | | | |
| 10 | INFORMATION TECHNOLOGY | The function of developing or acquiring, testing and implementing applications and databases to support the business needs of an agency to capture, store, retrieve, transfer, communicate and disseminate information through automated systems. Includes the evaluation of software and the licensing and disposal of systems. Also includes communication network systems such as video conferencing, voice mail and electronic mail and the technical aspects of the Internet, Intranet and Websites. | | | |
| | | Note: Operational records of agencies that create, control and manage Across-Government systems as a core function, eg Office of the Chief Information Officer, are <u>not</u> covered by this GDS. Include in agency operational RDS. | | | |
| | | See: Item 1.ASSET/PHYSICAL RESOURCE MANAGEMENT (Various Activities) for records relating to Information Technology hardware and equipment. See: Item 6.2 FINANCIAL MANAGEMENT - Acquisition for records relating to the acquisition of software, hardware and applications. See: Item 9. INFORMATION MANAGEMENT (Various Activities) for records relating to information content. | | | |
| 10.1 | Application Development | The activities associated with developing software and programming codes to run business applications. Includes specification, testing, pilots, prototyping and metadata requirements. (KAAA) | | | |
| 10.1.1 | Application Development | Records relating to the development or modification of applications that become operational. | TEMPORARY Destroy 7 years after action completed. | | <ul style="list-style-type: none"> • Surveys • Status reports • Pilot documentation • Operational specifications • Flowcharts |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|----------------------------------|-----------------------------|--|---|---|--|
| 10 INFORMATION TECHNOLOGY | | | | | |
| 10.1.2 | Application Development | Records relating to the development or modification of applications not proceeded with. | TEMPORARY Destroy 2 years after action completed. | | |
| 10.2 | Disposal | <i>The process of disposing of property no longer required by the agency, by sale, transfer, termination of lease, auction, or destruction. Includes destruction or transfer to archives, and the program of activities to facilitate the orderly transfer of semi-active and inactive records from current office space into low-cost or archival storage. (KAAA)</i> | | | |
| | | See: Item 1.6 ASSET/PHYSICAL RESOURCE MANAGEMENT - Disposal for the disposal of IT hardware and equipment. See: Item 9.4 INFORMATION MANAGEMENT - Disposal for the disposal of actual data. | | | |
| 10.2.1 | Disposal | Records relating to the disposal of IT systems and applications. | TEMPORARY Destroy 5 years after action completed. | <ul style="list-style-type: none"> Decommissioning of a software application | |
| 10.3 | Maintenance (IT) | <i>The activities associated with keeping IT applications and systems in effective operation on a daily basis.</i> | | | |
| | | See: Item 1.11 ASSET/PHYSICAL RESOURCE MANAGEMENT - Maintenance for the maintenance of equipment. See: Item 6.10 FINANCIAL MANAGEMENT - Procurement (Goods & Services) for maintenance contracts for systems and applications. | | | |
| | | See Also: Item 10.4 INFORMATION TECHNOLOGY - System Management. | | | |
| 10.3.1 | Maintenance (IT) | Records relating to the maintenance of IT systems and applications. | TEMPORARY Destroy 2 years after action completed. | | <ul style="list-style-type: none"> Service histories Work orders Authorisations LAN usage reports WAN usage reports |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|----------------------------------|-----------------------------|--|--|---|--|
| 10 INFORMATION TECHNOLOGY | | | | | |
| 10.4 | System Management | <p><i>The activities associated with the building, prototyping, accessing and testing of IT systems and applications. Includes the management of regular programs of backups and journals and monitoring usage and response times. Also includes management of security restrictions such as user rules, passwords.</i></p> <p>See: Item 9.3 INFORMATION MANAGEMENT - Data Administration for the administration and management of data/information content.</p> <p>See Also: 10.3 INFORMATION TECHNOLOGY - Maintenance.</p> | | | |
| 10.4.1 | System Management | Records relating to the development and modelling of IT systems and applications. | TEMPORARY Destroy 10 years after action completed. | <ul style="list-style-type: none"> Systems, applications and usage protocols | |
| 10.4.2 | System Management | Records relating to IT security restrictions applied to different levels of information and different levels of users. | TEMPORARY Destroy 5 years after action completed. | | <ul style="list-style-type: none"> User identifications Passwords Applications for access to systems & networks |
| 10.4.3 | System Management | Records relating to the implementation and ongoing management of applications and systems. | TEMPORARY Destroy 2 years after action completed. | <ul style="list-style-type: none"> Routine operation & usage | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|--------------------------|-----------------------------|--|------------------|--------------------|-----------------|
| 11 LEGAL SERVICES | | | | | |
| 11 | LEGAL SERVICES | The function of providing legal services to the agency. Includes the interpretation and provision of advice to the agency regarding legal matters and the handling of legal action and disputes. Also includes legal advice received from in-house consultants and external sources including the Crown Solicitor's Office. (KAAA) | | | |
| 11.1 | Advice | Note: Operational records of the Attorney-General's Department, including the Crown Solicitor's Office, are not covered by this GDS. Include in agency operational RDS. <i>The activities associated with offering opinions by or to the agency as to an action or judgement. Includes the process of advising. (KAAA)</i> | | | |
| | | Note: For legal advice relating to matters for which the agency maintains a case file, eg compensation claims, grievance complaints, contracts, FOI applications, etc dispose as for the related case file in accordance with this GDS or agency operational RDS. | | | |
| | | See Also: Item 2.1 BOARD & COMMITTEE MANAGEMENT - Advice. See Also: Item 7.2 GOVERNMENT RELATIONS - Briefings. See Also: Item 8.1 INDUSTRIAL RELATIONS - Advice. See Also: Item 13.1 STRATEGIC MANAGEMENT - Advice. | | | |
| 11.1.1 | Advice | Records relating to the seeking and receiving of opinions from the Crown Solicitor's Office relating to agency operations. | PERMANENT | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|--------------------------|-----------------------------|--|--|--------------------|-----------------|
| 11 LEGAL SERVICES | | | | | |
| 11.1.2 | Advice | <p>Legal advice relating to:</p> <ul style="list-style-type: none"> • interpretation of legislation administered by the agency or • precedent-setting matters or • matters generating substantial public interest and/or debate or • matters resulting in substantial changes to agency policy and/or procedures or • matters concerning incidents or allegations of abuse of children and young people. Also includes vulnerable adults or adults where the incidents or allegations of abuse occurred as a child. | PERMANENT | | |
| 11.1.3 | Advice | Records relating to other legal advice. | TEMPORARY Destroy 10 years after action completed. | | |
| 11.2 | Litigation | <i>The activities involved in managing lawsuits or legal proceedings between the agency and other parties. (KAAA)</i> | | | |
| | | Note: For legal advice relating to matters for which the agency maintains a case file, eg compensation claims, grievance complaints, contracts, FOI applications, etc dispose as for the related case file in accordance with this GDS or agency operational RDS. | | | |
| | | See Also: Item 9.6 INFORMATION MANAGEMENT - Enquiries. | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|--------------------------|-----------------------------|--|--|---|---|
| 11 LEGAL SERVICES | | | | | |
| 11.2.1 | Litigation | Records relating to managing lawsuits or legal proceedings that are: <ul style="list-style-type: none"> precedent-setting matters or matters generating substantial public interest and/or debate or matters resulting in substantial changes to agency policy and/or procedures. | PERMANENT | | <ul style="list-style-type: none"> Case files Copies of documents |
| 11.2.2 | Litigation | Records relating to litigation or legal proceedings of other matters. | TEMPORARY Destroy 10 years after action completed. | | <ul style="list-style-type: none"> Case files Copies of documents |
| 11.2.3 | Litigation | Records relating to the implementation of subpoenas and discovery orders . | TEMPORARY Destroy 10 years after action completed. | <ul style="list-style-type: none"> Arrangements for agency witnesses to attend court | <ul style="list-style-type: none"> List of documents discovered |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|-----------------------|-----------------------------|---|---|--|---|
| 12 PUBLICATION | | | | | |
| 12 | PUBLICATION | The function of having works, irrespective of format, issued for sale or general 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. Includes external publications (such as technical papers, issue 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 online information services. (KAAA) | | | |
| | | See Also: Item 9.7 INFORMATION MANAGEMENT - Intellectual Property for consent forms relating to publication. | | | |
| | | See Also: Item 9.10 INFORMATION MANAGEMENT - Privacy for consent forms relating to publication. | | | |
| 12.1 | Corporate Style | The activity of compiling and administering guidelines on the consistency in written style, graphic design etc within the agency's documents. Includes designing logos, letterhead, stationery, publications, etc that incorporate the corporate image of the agency. (KAAA) | | | |
| 12.1.1 | Corporate Style | Records relating to the development and implementation of the corporate style of the agency. | TEMPORARY Destroy 5 years after action completed. | <ul style="list-style-type: none"> • Agency documents • Stationery • Publications • Forms • Templates | <ul style="list-style-type: none"> • Agency style manuals • Revisions and updates |
| 12.2 | Distribution | The activities associated with disseminating items, correspondence or publications through sales, deliveries or other customer services. (KAAA) | | | |
| | | Note: See Introduction of GDS 30 for information relating to legal deposit. | | | |
| 12.2.1 | Distribution | Records relating to the distribution of agency publications. | TEMPORARY Destroy 2 years after action completed. | <ul style="list-style-type: none"> • Monitoring of supply | <ul style="list-style-type: none"> • Circulation lists • Stock inventories |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|-----------------------|-----------------------------|--|---|---|---|
| 12 PUBLICATION | | | | | |
| 12.3 | Production | <p><i>The process involved in producing material into an end result or output, eg a product or publication. Includes design, layout, typesetting, desktop publishing, printing, binding, etc. (KAAA)</i></p> <p>See: Item 3.9.1 COMMUNITY RELATIONS – Media Relations for media releases and articles. See: Item 13.22 STRATEGIC MANAGEMENT - Reporting for annual reports.</p> | | | |
| 12.3.1 | Production | Master copy of agency publications. | PERMANENT | <ul style="list-style-type: none"> • Publications produced by the agency • Publications produced on behalf of the agency | <ul style="list-style-type: none"> • Journals • Books • Newspapers • Articles |
| 12.3.2 | Production | Periodic 'snapshots' of agency services. | PERMANENT | <ul style="list-style-type: none"> • Printed or electronically stored • In-house services, eg Intranet • Online or web-based | <ul style="list-style-type: none"> • Web pages |
| 12.3.3 | Production | Records relating to arrangements for design and production of agency publications. | TEMPORARY Destroy 5 years after action completed. | <ul style="list-style-type: none"> • Printing • Copying • Arrangements for production of films, videos, multi-media, online services | <ul style="list-style-type: none"> • Simple contracts with suppliers/ providers |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|-----------------------|-----------------------------|--|---|--------------------|---|
| 12 PUBLICATION | | | | | |
| 12.3.4 | Production | Records relating to the preparation of agency publications. | TEMPORARY Destroy 2 years after action completed. | | <ul style="list-style-type: none">• Notes• Reference material• Galley proofs• Bromides• Mock-ups• Artwork• Camera-ready copies• Final printing masters |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|--------------------------------|--------------------------------|---|------------------|--|---|
| 13 STRATEGIC MANAGEMENT | | | | | |
| 13 | STRATEGIC MANAGEMENT | The function of applying broad systematic management planning for the agency. Includes the activities involved with the development, monitoring, and reviewing of business plans, strategic plans, work plans, corporate plans, energy and waste management plans and other long-term organisational strategies. Also includes the development of the corporate mission, objectives, continuous improvement processes, quality assurance and certification, and the formulation and amendment of legislation that provides the legislative basis for the agency. (KAAA) | | | |
| 13.1 | Advice | The activities associated with offering opinions by or to the agency as to an action or judgement. Includes the process of advising. (KAAA) | | | |
| | | <p>See: Item 7.2 GOVERNMENT RELATIONS - Briefings for advice provided external to the agency, eg Premier, Minister, Cabinet, Parliament, etc.</p> <p>See: Item 8.1 INDUSTRIAL RELATIONS - Advice for advice concerning industrial relations matters.</p> <p>See: Item 11.1 LEGAL SERVICES - Advice for legal advice.</p> | | | |
| 13.1.1 | Advice | Records relating to the provision of advice to senior executive relating to substantive aspects of agency or matters concerning incidents or allegations of abuse of children, young people and vulnerable adults. Also includes vulnerable adults or adults where the incidents or allegations of abuse occurred as a child: <ul style="list-style-type: none"> • policies • procedures • functions • obligations and/or • liabilities. | PERMANENT | <ul style="list-style-type: none"> • Advice to Chief Executives • Advice to Officers occupying statutory positions within the agency | <ul style="list-style-type: none"> • Formal minutes • Briefings |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|--------------------------------|--------------------------------|---|--|--|--|
| 13 STRATEGIC MANAGEMENT | | | | | |
| 13.1.2 | Advice | Records relating to the provision advice to <u>senior executive</u> on other aspects of agency policies, procedures, functions, obligations and liabilities. | TEMPORARY Destroy 20 years after action completed. | <ul style="list-style-type: none"> • Advice to Chief Executives • Advice to Officers occupying statutory positions within the agency | <ul style="list-style-type: none"> • Formal minutes • Briefings |
| 13.1.3 | Advice | Records relating to the provision of other advice. | TEMPORARY Destroy 8 years after action completed. | | <ul style="list-style-type: none"> • Formal minutes • Briefings |
| 13.2 | Agreements | <i>The processes associated with the establishment, maintenance, review and negotiation of agreements. (KAAA)</i> | | | |
| 13.2.1 | Agreements | Records relating to agreements concerning substantive aspects of agency: <ul style="list-style-type: none"> • policies • procedures • functions • obligations and/or • liabilities. | PERMANENT | <ul style="list-style-type: none"> • Development, maintenance and review of agreements | <ul style="list-style-type: none"> • Memoranda of understanding • Executed/signed agreements |
| 13.2.2 | Agreements | Records relating to agreements under seal . | TEMPORARY Destroy 17 years after action completed. | <ul style="list-style-type: none"> • Development, maintenance & review of agreements • Agreements finalised but not proceeded with | <ul style="list-style-type: none"> • Memoranda of understanding • Executed/signed agreements |



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| 13 STRATEGIC MANAGEMENT | | | | | |
| 13.2.3 | Agreements | Records relating to agreements not under seal . | TEMPORARY Destroy 8 years after action completed. | <ul style="list-style-type: none"> Development, maintenance & review of agreements Agreements finalised but not proceeded with | <ul style="list-style-type: none"> Memoranda of understanding Executed/signed agreements |
| 13.2.4 | Agreements | Supplementary records relating to the development, maintenance and review of agreements. | TEMPORARY Destroy 2 years after action completed | | |
| 13.3 | Audit | <i>The activities associated with officially checking financial, quality assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards and correctly record the events, processes and business of the agency in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality assurance audits. (KAAA)</i> | | | |
| 13.3.1 | Audit | Official audit reports on compliance of agency programs and operations with accepted WH&S standards . | PERMANENT | | |
| 13.3.2 | Audit | Supplementary records relating to WH&S audits. | TEMPORARY Destroy 7 years after action completed. | <ul style="list-style-type: none"> Arrangements for inspection of workplaces & records | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
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| 13 STRATEGIC MANAGEMENT | | | | | |
| 13.3.3 | Audit | Records relating to <u>internal or external audits</u> resulting in significant changes to agency: <ul style="list-style-type: none"> • policy • procedures • systems • facilities and/or processes. | PERMANENT | <ul style="list-style-type: none"> • Audits by the Auditor-General | |
| 13.3.4 | Audit | Records relating to other internal or external audits of agency: <ul style="list-style-type: none"> • policy • procedures • systems • facilities and/or • processes. | TEMPORARY Destroy 7 years after action completed | <ul style="list-style-type: none"> • Audits by the Auditor-General | |
| 13.3.5 | Audit | Supplementary records relating to <u>internal or external audits</u> . | TEMPORARY Destroy 2 years after action completed. | | <ul style="list-style-type: none"> • Working papers |
| 13.4 | Authorisation | <i>The process of seeking and granting permission to undertake a requested action. (KAAA)</i> | | | |
| | | Note: Credit cards issued to agency clients are <u>not</u> covered by this GDS. Include in agency operational RDS. | | | |
| | | See: Item 2.4 BOARD & COMMITTEE MANAGEMENT - Authorisation for delegations of authority to boards and committees. | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
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| 13 STRATEGIC MANAGEMENT | | | | | |
| 13.4.1 | Authorisation | Records relating to the approval and granting of official seals of agencies, Ministers or organisations. Includes seal presses and seals . See 13.7.1 for register of official seals. | PERMANENT | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
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| 13 STRATEGIC MANAGEMENT | | | | | |
| 13.4.2 | Authorisation | Records relating to delegations of authority to senior executive . | PERMANENT | <ul style="list-style-type: none">• Delegations to Chief Executives• Delegations to Officers occupying statutory positions• Issuing, approval, review, removal and revocation of delegations | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
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| 13 STRATEGIC MANAGEMENT | | | | | |
| 13.4.3 | Authorisation | Records relating to delegations to other employees. | TEMPORARY Destroy 7 years after action completed. | <ul style="list-style-type: none"> Issuing, approval, review, removal and revocation of delegations | <ul style="list-style-type: none"> Financial delegations HR delegations Accredited FOI Officer designations |
| 13.4.4 | Authorisation | Records relating to authorisations for employee undertakings . | TEMPORARY Destroy 7 years after action completed. | <ul style="list-style-type: none"> Attendance at functions Travel Terms & conditions of use of fleet vehicles for work & private purposes Payment of allowances Authorisation for expenditure on specific items | <ul style="list-style-type: none"> Applications & supporting information |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
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| 13 STRATEGIC MANAGEMENT | | | | | |
| 13.4.5 | Authorisation | Credit card client authorisations. | TEMPORARY Destroy 5 years after action completed. | | <ul style="list-style-type: none"> Credit card/direct debit authorisations to conduct financial transactions on behalf of clients Amendments to authorisations |
| 13.5 | Committees | <p><i>The activities associated with the management of internal, departmental, inter-agency, inter-governmental and external committees Includes establishment, appointment of members, terms of reference, proceedings, minutes, reports, agendas, etc.</i></p> <p>Note: Includes committees relating to agency functions unless requiring coverage in agency operational RDS.</p> <p>See: Item 2.BOARD & COMMITTEE MANAGEMENT (Various Activities) for boards and committees that either advise the agency on agency matters or oversee or provide a framework for the direction and control of an agency.</p> <p>See: Item 5.14 EMPLOYEE MANAGEMENT - Representatives for the nomination and election of committee members.</p> <p>See Also: Item 13.14 STRATEGIC MANAGEMENT – Meetings.</p> | | | |
| 13.5.1 | Committees | Records of corporate executive and senior management committees. | PERMANENT | <ul style="list-style-type: none"> Committees established to consider & authorise policy & determine major agency programs | <ul style="list-style-type: none"> Agendas Minutes Reports Meeting submissions Terms of reference Records of membership |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|--------------------------------|--------------------------------|--|--|---|---|
| 13 STRATEGIC MANAGEMENT | | | | | |
| 13.5.2 | Committees | Records of external or inter-agency committees for which the agency provides the secretariat. | PERMANENT | | <ul style="list-style-type: none"> • Agendas • Minutes • Reports • Meeting submissions • Terms of reference • Records of membership |
| 13.5.3 | Committees | Records of other committees. | TEMPORARY Destroy 10 years after action completed. | <ul style="list-style-type: none"> • External or inter-agency committees for which the agency <u>does not</u> provide the secretariat • Non-strategic committees or work groups established for administrative purposes | <ul style="list-style-type: none"> • Agendas • Minutes • Reports • Meeting submissions |
| 13.5.4 | Committees | Master copy of proceedings of corporate or central office WH&S committees . | PERMANENT | <ul style="list-style-type: none"> • Advice to management from WH&S committees on WH&S matters • Consultation between management & relevant WH&S committee representatives. | <ul style="list-style-type: none"> • Agendas • Minutes • Reports • Meeting submissions |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
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| 13 STRATEGIC MANAGEMENT | | | | | |
| 13.5.5 | Committees | Master copy of proceedings of branch, regional office and/or workplace WH&S committees. | TEMPORARY Destroy 100 years after action completed. | <ul style="list-style-type: none"> Advice to management from WH&S committees on WH&S matters Consultation between management & relevant WH&S committee representatives. | <ul style="list-style-type: none"> Agendas Minutes Reports Meeting submissions |
| 13.5.6 | Committees | Records relating to administrative arrangements for committee meetings. | TEMPORARY Destroy 2 years after action completed. | | <ul style="list-style-type: none"> Contact lists Venue bookings Hire of equipment Catering records |
| 13.6 | Compliance | <i>The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements to which the agency is subject. Includes compliance with legislation and with national and international standards, such as the ISO 9000 series. (KAAA)</i> | | | |
| | | <p>See: Item 13.10.1 STRATEGIC MANAGEMENT – Evaluation and Review for inspections regarding asbestos and other hazards.</p> <p>See Also: Item 13.11 STRATEGIC MANAGEMENT - Integrity Investigations.</p> <p>See Also: Item 13.25 STRATEGIC MANAGEMENT - Risk Management.</p> <p>See: Item 13.25.3 STRATEGIC MANAGEMENT – Risk Management for inspections regarding carcinogens.</p> <p>See Also: Item 14.4 WORK HEALTH & SAFETY - Inspections.</p> | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|--------------------------------|--------------------------------|---|--|--|--|
| 13 STRATEGIC MANAGEMENT | | | | | |
| 13.6.1 | Compliance | Summary records that provide evidence of compliance. | PERMANENT | | <ul style="list-style-type: none"> Register of gifts Register of interests Compliance register prescribed under legislation |
| 13.6.2 | Compliance | Records relating to the identification and management of major breaches of compliance requirements. | PERMANENT | <ul style="list-style-type: none"> WH&S compliance requirements | <ul style="list-style-type: none"> Prescribed compliance registers |
| 13.6.3 | Compliance | Records relating to the identification and management of minor breaches of compliance requirements. | TEMPORARY Destroy 10 years after action completed. | | |
| 13.6.4 | Compliance | Records documenting agency compliance with mandatory standards, statutory requirements or procedures. | TEMPORARY Destroy 5 years after action completed. | | <ul style="list-style-type: none"> Travel itineraries Records relating to official inspections Guidelines, standards, Acts, Regulations, by-laws & other compliance information |
| 13.7 | Control | <i>The activities associated with creating, maintaining and evaluating control mechanisms. Includes classification, indexing, registration, form design etc to ensure maximum control over records and recordkeeping system. Also includes control mechanisms for other information resources and systems. (KAAA)</i> | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|--------------------------------|--------------------------------|---|---|---|--|
| 13 STRATEGIC MANAGEMENT | | | | | |
| | | <p>See Also: Item 5.5 EMPLOYEE MANAGEMENT - Control.</p> <p>See Also: Item 6.5 FINANCIAL MANAGEMENT - Control.</p> <p>See Also: Item 9.2 INFORMATION MANAGEMENT - Control.</p> | | | |
| 13.7.1 | Control | <p>Master, summary records of official seals.</p> <p>See 13.4.1 for seal presses and official seals.</p> | PERMANENT | | <ul style="list-style-type: none"> Register of official seals |
| 13.8 | Customer Service | <p>The activities associated with the planning, monitoring and evaluation of services provided to customers by the agency. (KAAA)</p> | | | |
| 13.8.1 | Customer Service | Records relating to the development and implementation of quality management practices relating to meeting customer needs, and the management of specialised customer services. | TEMPORARY Destroy 5 years after action completed. | <ul style="list-style-type: none"> Help/ information desks Interpreters Facilities for disabled customers Changes to opening hours Outreach services | |
| 13.8.2 | Customer Service | Recordings of customer interactions used for quality or training purposes . | TEMPORARY Destroy 2 years after action completed. | | |
| 13.9 | Donations | The activities associated with managing money, items, artefacts or property donated to the agency, or by the agency and or its employees to charities, etc. Includes managing unsolicited donations. (KAAA) | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
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| 13 STRATEGIC MANAGEMENT | | | | | |
| | | <p>Note: Operational records of agencies that receive and manage donations as a core function, eg the State Library, South Australian Museum, Art Gallery of South Australia, History SA, etc are <u>not</u> covered by this GDS. Include in agency operational RDS.</p> | | | |
| 13.9.1 | Donations | <p>Records relating to significant donations and/or bequests to the agency that:</p> <ul style="list-style-type: none"> generate substantial public interest or generate substantial media interest and debate and/or result in changes to agency policy or procedures. | PERMANENT | | |
| 13.9.2 | Donations | Records relating to other donations and bequests. | TEMPORARY Destroy 5 years after action completed. | <ul style="list-style-type: none"> Donations and bequests to the agency Donations of money or goods by the agency | |
| 13.10 | Evaluation & Review | <p><i>The process of determining the suitability of potential or existing programs, assets, systems or services in relation to meeting the needs of the given situation. Includes review and ongoing monitoring. Also includes recommendations resulting from these activities.</i></p> | | | |
| | | <p>Note: The evaluation and review of specialist items and items unique to the agency is <u>not</u> covered in this GDS. Include in agency operational RDS.</p> | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
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| 13 STRATEGIC MANAGEMENT | | | | | |
| 13.10.1 | Evaluation & Review | Records relating to evaluations to determine agency requirements for assets that contain asbestos or hazardous material . | TEMPORARY Destroy 100 years after action completed. | <ul style="list-style-type: none"> • Inspections of property included on an asbestos or hazardous substances register • Review of equipment & stores • Review of vehicles | |
| 13.10.2 | Evaluation & Review | Records relating to the management of evaluation and review processes to determine the requirements for, and effectiveness of, agency structures, systems, programs, services and assets . | TEMPORARY Destroy 5 years after action completed. | <ul style="list-style-type: none"> • Inspections of other property • Review of equipment & stores • Review of vehicles | <ul style="list-style-type: none"> • Feasibility studies • Performance indicators • Surveys • Questionnaires • Requests for information • Reviews & reports • Working papers • Audit trail records • System records |
| 13.11 | Integrity Investigations | <p><i>The process that allows the disclosure and investigation of corruption, misconduct and/or maladministration. Includes involvement in prevention projects undertaken by external authorities, eg Independent Commissioner Against Corruption. Also includes actual, attempted or suspected fraud, theft, misappropriation or negligence.</i></p> <p>Note: Records relating to the activity of integrity investigations maintained and managed by the Independent Commissioner Against Corruption and the Office for Public Integrity are <u>not</u> covered by this GDS. Include in agency operational RDS.</p> | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|--------------------------------|--------------------------------|--|------------------|--------------------|--|
| 13 STRATEGIC MANAGEMENT | | | | | |
| | | | | | |
| | | Note: Records of an agency deemed to be an ‘Inquiry Agency’ as defined by the ICAC Act (as amended) are <u>not</u> covered by this GDS. Include in agency operational RDS. | | | |
| | | Note: Records of a ‘public officer’ as defined by the ICAC Act (as amended) are <u>not</u> covered by this GDS. Advice is being sought on whether such records are ‘official records’ as defined by the State Records Act (as amended). | | | |
| | | See: Item 5.7 EMPLOYEE MANAGEMENT - Discipline for cases of corruption, misconduct or maladministration involving an employee. | | | |
| | | See: Item 5.17 EMPLOYEE MANAGEMENT - Training for records relating to education programs designed to prevent or minimise corruption, misconduct and/or maladministration in public administration. | | | |
| | | See: Item 13.21. STRATEGIC MANAGEMENT - Reporting for reports submitted by an agency to OPI as required by the ICAC Act (as amended). | | | |
| 13.11.1 | Integrity Investigations | Records relating to the disclosures under the Whistleblowers Protection Act (as amended) made by or about employees and/or agency operations . | PERMANENT | | |
| 13.11.2 | Integrity Investigations | Records relating to investigations of maladministration in public administration by an agency as a public authority that: <ul style="list-style-type: none"> • are precedent setting or • generate substantial public and/or media interest or • result in changes to agency policy and procedures. | PERMANENT | | <ul style="list-style-type: none"> • Case files • Reports • Investigation records |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
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| 13 STRATEGIC MANAGEMENT | | | | | |
| 13.11.3 | Integrity Investigations | Records relating to investigations of maladministration in public administration by an agency as a public authority where allegations are proven . | TEMPORARY Destroy 50 years after action completed. | | <ul style="list-style-type: none"> • Case files • Reports • Investigation records |
| 13.11.4 | Integrity Investigations | Records relating to investigations of maladministration in public administration by an agency as a public authority where allegations are not proven . | TEMPORARY Destroy 20 years after action completed. | | <ul style="list-style-type: none"> • Case files • Reports • Investigation records |
| 13.11.5 | Integrity Investigations | Records relating to corruption, misconduct, maladministration or disclosures in other agencies . | TEMPORARY Destroy 10 years after action completed. | | |
| 13.12 | Joint Ventures | <i>The activities involved in managing joint operations between departments, either within the agency or with other agencies or organisations, 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 organisations. (KAAA)</i> | | | |
| | | See Also: Item 6.10 FINANCIAL MANAGEMENT - Procurement (Goods & Services). | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|--------------------------------|--------------------------------|--|---|--|-----------------|
| 13 STRATEGIC MANAGEMENT | | | | | |
| 13.12.1 | Joint Ventures | Records relating to participation in joint ventures that are of major significance to: <ul style="list-style-type: none"> the Nation or the State or the agency. | PERMANENT | <ul style="list-style-type: none"> Joint ventures with other SA government agencies, the Commonwealth, other States and Local Government, public-private partnerships Joint ventures requiring a major investment by the agency &/or occasioning substantial public interest | |
| 13.12.2 | Joint Ventures | Records relating to participation in other joint ventures or joint ventures <u>not</u> proceeded with. | TEMPORARY Destroy 8 years after action completed. | <ul style="list-style-type: none"> Joint ventures with other SA government agencies, the Commonwealth, other States and Local Government, public-private partnerships Joint ventures where the agency does not have a lead role or provides minimal input | |
| 13.12.3 | Joint Ventures | Records documenting administrative arrangements relating to joint ventures. | TEMPORARY Destroy 2 years after action completed. | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
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| 13 STRATEGIC MANAGEMENT | | | | | |
| 13.13 | Legislation | <i>The process of making laws. Includes local, State, Commonwealth and overseas Acts, Bills and subsections of Acts, and amendments to each. (KAAA)</i> | | | |
| 13.13.1 | Legislation | Records relating to the development or major review of legislation administered by the agency. | PERMANENT | Legislation, including: <ul style="list-style-type: none"> • Bills • Acts • Regulations | |
| 13.13.2 | Legislation | Records relating to the minor review of legislation administered by the agency. | TEMPORARY Destroy 5 years after action completed. | Legislation, including: <ul style="list-style-type: none"> • Bills • Acts • Regulations | |
| 13.13.3 | Legislation | Records relating to agency input into the development or review of other legislation . | TEMPORARY Destroy 2 years after action completed. | <ul style="list-style-type: none"> • Comments provided by the agency | |
| 13.14 | Meetings | <i>The activities associated with gatherings held to formulate, discuss, update, or resolve issues and matters pertaining to the management of the section, department or agency as a whole. Includes arrangements, agenda, taking of minutes, etc. (KAAA)</i> | | | |
| | | Note: Includes meetings relating to agency functions unless requiring coverage in agency operational RDS. | | | |
| | | See: Item 2.BOARD & COMMITTEE MANAGEMENT (Various Activities) for boards and committees that either advise the agency on agency matters or oversee or provide a framework for the direction and control of an agency. | | | |
| | | See Also: Item 13.5 STRATEGIC MANAGEMENT - Committees. | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|--------------------------------|--------------------------------|---|--|--------------------|--|
| 13 STRATEGIC MANAGEMENT | | | | | |
| 13.14.1 | Meetings | Records relating to non-committee based meetings that: <ul style="list-style-type: none"> highlight changes to structure and operations or are on issues affecting staff or volunteer relationships or are on issues affecting the agency relationship to the public and/or its clients. <p>See 13.14.4 for meetings that focus on agency functions.</p> | TEMPORARY Destroy 20 years after action completed. | | |
| 13.14.2 | Meetings | Records relating to other non-committee based meetings held for administrative purposes. | TEMPORARY Destroy 5 years after action completed. | | |
| 13.14.3 | Meetings | Records relating to administrative arrangements for meetings. | TEMPORARY Destroy 2 years after action completed. | | <ul style="list-style-type: none"> Contact lists Venue bookings Hire of equipment Catering records |
| 13.14.4 | Meetings | Records relating to non-committee based meetings that focus on agency functions. See Item 13.14.1 and 13.14.2 for other non-committee meetings | PERMANENT | | <ul style="list-style-type: none"> |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|--------------------------------|--------------------------------|--|---|--------------------|--|
| 13 STRATEGIC MANAGEMENT | | | | | |
| 13.15 | Performance Management | <p><i>The process of identifying, developing and evaluating corporate and employee work performance programs so that the agency's goals and objectives are achieved. Also includes employees benefiting through recognition, performance feedback, catering for work needs and offering career guidance.</i></p> <p>See: Item 5.11 EMPLOYEE MANAGEMENT - Performance Management for records relating to individual employees.</p> | | | |
| 13.15.1 | Performance Management | Records relating to the development, implementation and review of performance management programs in the agency. | TEMPORARY Destroy 5 years after action completed. | | <ul style="list-style-type: none"> Summary reports |
| 13.16 | Planning | <p><i>The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs. (KAAA)</i></p> | | | |
| 13.16.1 | Planning | Master copy of approved, agency-wide business, corporate and/or strategic plans. | PERMANENT | | <ul style="list-style-type: none"> Marketing Plans Strategic plans Corporate plans Y2K compliance contingency plans Risk management plans Disaster Preparedness & recovery plans Business plans |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
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| 13 STRATEGIC MANAGEMENT | | | | | |
| 13.16.2 | Planning | Master copy of other plans, including those of divisions, branches, sections and regional offices. | TEMPORARY Destroy 5 years after action completed. | | |
| 13.16.3 | Planning | Records relating to the development of business, strategic, corporate or other plans. | TEMPORARY Destroy 2 years after action completed. | | <ul style="list-style-type: none"> • Input into plans • Comments on drafts & revisions • Reports • Working papers |
| 13.17 | Policy | <i>The activities associated with developing and establishing decisions, directions and precedents that act as a reference for future decision making, as the basis from which the agency's operating procedures are determined. (KAAA)</i> | | | |
| | | Note: Includes policy relating to agency functions unless requiring coverage in agency operational RDS. | | | |
| 13.17.1 | Policy | Records relating to the formulation of agency policies that have the authorisation of the Corporate Executive or Senior Management. | PERMANENT | | <ul style="list-style-type: none"> • Master copy of policy • Master copy of proposals adopted • Consultation papers • Final reports/ recommendation • Master copy of policy circular • Outsourcing policies • Implementation documentation |



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|--------------------------------|--------------------------------|---|---|--|---|
| 13 STRATEGIC MANAGEMENT | | | | | |
| 13.17.2 | Policy | Records relating to the formulation of other agency policies. | TEMPORARY Destroy 10 years after action completed. | <ul style="list-style-type: none"> • Policies of divisions, branches, sections & regional offices | <ul style="list-style-type: none"> • Master copy of proposals adopted • Consultation papers • Final reports/recommendation • Master copy of policy circular • Implementation documentation |
| 13.17.3 | Policy | Records relating to Across-Government policy initiatives where the agency is lead-agency . | PERMANENT | | |
| 13.17.4 | Policy | Records relating to Across-Government policy initiatives where the agency is <u>not</u> lead-agency . | TEMPORARY Destroy 10 years after action completed. | | |
| 13.17.5 | Policy | Reference material relating to policy matters on hazardous substances . | TEMPORARY Destroy 100 years after action completed. | | <ul style="list-style-type: none"> • Copies of policy circulars • Copies of reports • Copies of other agencies' policies, publications, etc |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples | |
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| 13 STRATEGIC MANAGEMENT | | | | | | |
| 13.17.6 | Policy | Supplementary records relating to the background and development of agency policies. | TEMPORARY Destroy 2 years after action completed. | | <ul style="list-style-type: none"> Working papers Interim reports Surveys Proposals not adopted Input by divisions, branches, sections & regional offices | |
| 13.17.7 | Policy | Records relating to the formulation, implementation and review of agency policies relating to the management of and response to abuse incidents or allegations of children, young people and vulnerable adults. Also includes vulnerable adults or adults where the incidents or allegations of abuse occurred as a child. | PERMANENT | | <ul style="list-style-type: none"> Master copy of policy Master copy of proposals adopted Consultation papers Final reports/ recommendation Master copy of policy circular Outsourcing policies Implementation documentation | |
| 13.18 | Procedures | <i>Standard methods of operating laid down by an agency according to formulated policy. (KAAA)</i> | | | | |
| | | Note: Includes procedures relating to agency functions unless requiring coverage in agency operational RDS. | | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|--------------------------------|--------------------------------|---|--|---|--|
| 13 STRATEGIC MANAGEMENT | | | | | |
| 13.18.1 | Procedures | Records relating to the development of agency procedures for WHS matters . | TEMPORARY Destroy 45 years after action completed. | <ul style="list-style-type: none"> Division, section, branch or regional office procedures | <ul style="list-style-type: none"> Standard operating procedures (SOP) Master copy of procedures Implementation documentation |
| 13.18.2 | Procedures | Records relating to the development of other agency procedures. | TEMPORARY Destroy 10 years after action completed. | <ul style="list-style-type: none"> Division, section, branch or regional office procedures | <ul style="list-style-type: none"> Y2K guidelines Operating manuals for hardware & software Circulars Manuals Handbooks Instructions General security procedures for users & systems Master copy of procedures Implementation documentation |
| 13.18.3 | Procedures | Supplementary records relating to the background and development of agency procedures. | TEMPORARY Destroy 2 years after action completed. | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|--------------------------------|--------------------------------|--|------------------|--------------------|--|
| 13 STRATEGIC MANAGEMENT | | | | | |
| 13.18.4 | Procedures | Records relating to the formulation, implementation and review of agency procedures. | PERMANENT | | <ul style="list-style-type: none"> Master copy of procedures |
| 13.18.5 | Procedures | Records relating to the formulation, implementation and review of agency procedures relating to abuse incidents or allegations of children, young people and vulnerable adults. Also includes vulnerable adults or adults where the incidents or allegations of abuse occurred as a child. | PERMANENT | | |
| 13.19 | Program Management | <i>The activities associated with the coordination and management of an ongoing series of actions to respond to a need or achieve common goals or objectives. Includes planning, implementing, monitoring and assessing programs.</i> | | | |
| | | Note: Programs relating to agency operational functions are <u>not</u> covered by this GDS. Include in agency operational RDS. | | | |
| 13.19.1 | Program Management | Records relating to the development, implementation and review of significant/major programs. | PERMANENT | | <ul style="list-style-type: none"> Submission approvals Discussion papers Workshop notes Funding proposals & applications Research reports Recommendations |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|--------------------------------|--------------------------------|--|--|--------------------|--|
| 13 STRATEGIC MANAGEMENT | | | | | |
| 13.19.2 | Program Management | Records relating to the development, implementation and review of other programs . | TEMPORARY Destroy 10 years after action completed. | | <ul style="list-style-type: none"> • Submission approvals • Discussion papers • Workshop notes • Funding proposals & applications • Research reports • Recommendations |
| 13.19.3 | Program Management | Records relating to the monitoring of program outcomes . | TEMPORARY Destroy 5 years after action completed. | | <ul style="list-style-type: none"> • Statistical information • Reports • Compliance records |
| 13.19.4 | Program Management | Supplementary records relating to the development, implementation and review of programs. | TEMPORARY Destroy 2 years after action completed. | | <ul style="list-style-type: none"> • Briefings • Working papers • Research material & associated data • Consultation records • Comments |
| 13.20 | Project Management | <i>The activities associated with managing a set of approved activities, which are carried out according to a plan to achieve a definite outcome within a given time. Includes cost and quality parameters, with specific and temporarily allocated resources.</i> | | | |
| | | Note: Projects relating to agency operational functions are <u>not</u> covered by this GDS. Include in agency operational RDS. | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|--------------------------------|--------------------------------|---|--|--------------------|--|
| 13 STRATEGIC MANAGEMENT | | | | | |
| | | See: Item 13.12 STRATEGIC MANAGEMENT - Joint Ventures for projects and initiatives that are joint ventures with other government agencies or the private sector. | | | |
| 13.20.1 | Project Management | Records relating to the development, implementation, review and closure of significant/major projects . | PERMANENT | | <ul style="list-style-type: none"> Approved business cases &/or project charters |
| 13.20.2 | Project Management | Records relating to the development, implementation, review and closure of other projects . | TEMPORARY Destroy 10 years after action completed. | | <ul style="list-style-type: none"> Approved business cases &/or project charters |
| 13.20.3 | Project Management | Supplementary records relating to the planning and development of projects. | TEMPORARY Destroy 2 years after action completed. | | <ul style="list-style-type: none"> Briefings Working papers Research material & associated data Consultation records Comments |
| 13.21 | Recognition | <i>The activity of recognising distinction or achievement of agencies or groups and teams within agencies. Includes the conferring of awards.</i> | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|--------------------------------|--------------------------------|--|--|--|---|
| 13 STRATEGIC MANAGEMENT | | | | | |
| 13.21.1 | Recognition | Records relating to awards granted to agencies. | TEMPORARY Destroy 8 years after action completed. | <ul style="list-style-type: none"> Awards granted to agencies by external bodies Awards granted to groups or teams within an agency by the agency or external bodies Government-wide award programs | <ul style="list-style-type: none"> Award nominations Award certificates |
| 13.22 | Reporting | <i>The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and to provide formal statements or findings of the results of their examination or investigation. Includes agenda, briefing, business, discussion papers, proposals, reports, reviews and returns. (KAAA)</i> | | | |
| | | | See: Item 2.7 BOARD & COMMITTEE MANAGEMENT - Reporting for reporting by governing or advisory bodies and their committees and sub-committees. | | |
| | | | See: Item 6.6 FINANCIAL MANAGEMENT - Financial Statements for financial statements. | | |
| 13.22.1 | Reporting | Master copy of agency's annual report. | PERMANENT | | |
| 13.22.2 | Reporting | Reports submitted by an agency to OPI as required by the ICAC Act (as amended). | PERMANENT | <ul style="list-style-type: none"> Corruption Misconduct Maladministration | <ul style="list-style-type: none"> Reports |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|--------------------------------|--------------------------------|---|---|---|---|
| 13 STRATEGIC MANAGEMENT | | | | | |
| 13.22.3 | Reporting | Records relating to external WHS formal reporting. | TEMPORARY Destroy 100 years after action completed. | <ul style="list-style-type: none"> Other WHS reports required on a regular basis Reporting to external agencies required as a statutory obligation | |
| 13.22.4 | Reporting | Records relating to other formal reporting. | TEMPORARY Destroy 7 years after action completed. | <ul style="list-style-type: none"> Reporting to external agencies required as a statutory obligation Reporting for internal purposes Other reports required on a regular basis | <ul style="list-style-type: none"> Reports relating to budget estimates FOI reports |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|--------------------------------|--------------------------------|---|---|---|---|
| 13 STRATEGIC MANAGEMENT | | | | | |
| 13.22.5 | Reporting | Periodic, routine or system reporting used to monitor and document recurring activities. | TEMPORARY Destroy 2 years after action completed. | <ul style="list-style-type: none"> Cumulative & summary reports Work progress reports Backlog & production reports | <ul style="list-style-type: none"> Consolidated monthly & quarterly financial statements Monthly accrual statements Monthly reports of expenditure & payments Y2K compliancy reports Progress reports on agency liability regarding employee salaries & entitlements Regular reports regarding fixed assets & accountable items Internet service logs Employee Internet use logs Data logs |
| 13.22.6 | Reporting | Responses to surveys requested by other agencies or community organisations. | TEMPORARY Destroy 2 years after action completed. | | <ul style="list-style-type: none"> Survey responses |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|--------------------------------|--------------------------------|--|--|--|-----------------|
| 13 STRATEGIC MANAGEMENT | | | | | |
| 13.23 | Research | <p><i>The activities involved in investigating or enquiring into a subject or area of interest in order to discover facts, principles, etc. Used to support the development of projects, standards, guidelines, etc. and the business activities of the agency in general. Includes following up enquiries relating to agency programs, projects, working papers, literature searches, etc. (KAAA)</i></p> | | | |
| | | <p>See: Item 13.20 STRATEGIC MANAGEMENT - Project Management for major research projects.</p> | | | |
| 13.23.1 | Research | Records relating to research into agency business functions and processes. | <p>TEMPORARY Destroy 10 years after action completed.</p> | <ul style="list-style-type: none"> • Functional analysis • Formulation of a picture of what the agency does & how it documents its activities • Determination of future needs | |
| 13.23.2 | Research | Records relating to detailed research conducted in the agency. | <p>TEMPORARY Destroy 7 years after action completed.</p> | <ul style="list-style-type: none"> • In response to enquiries • For background material for projects | |
| 13.23.3 | Research | Records relating to routine research conducted in the agency. | <p>TEMPORARY Destroy 5 years after action completed.</p> | <ul style="list-style-type: none"> • Collating information generated by library & Internet searches • Information from other agencies | |
| 13.24 | Restructuring | <p><i>The activities involved in the reassessment of the activities, goals and structure of an agency. Includes consideration of the number of employees, their role descriptions, equipment, and other resources required to meet objectives. (KAAA)</i></p> | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|--------------------------------|--------------------------------|--|--|---|---|
| 13 STRATEGIC MANAGEMENT | | | | | |
| 13.24.1 | Restructuring | Records relating to the development and implementation of a new agency structure. | PERMANENT | <ul style="list-style-type: none"> • Arrangements to do with the establishment of the structure • Australian Stock Exchange registration | <ul style="list-style-type: none"> • Organisational charts • ABN registrations • Company registrations |
| 13.24.2 | Restructuring | Records relating to a substantial reassessment and restructure of an existing agency structure. | PERMANENT | <ul style="list-style-type: none"> • Outsourcing of functions • Sale or long-term lease of government enterprises • Arrangements for the transfer of responsibilities & employees' assets, etc to one or more agencies | <ul style="list-style-type: none"> • Organisational charts |
| 13.24.3 | Restructuring | Records relating to minor restructuring of whole or part of agency. | TEMPORARY Destroy 10 years after action completed. | <ul style="list-style-type: none"> • Arrangements to do with the restructure | <ul style="list-style-type: none"> • Organisational charts |
| 13.25 | Risk Management | <i>The process involving the identification of risks, and the implementation of appropriate practices and procedures that will reduce wastage and the impact of economic loss arising from an incident. (KAAA)</i> | | | |
| | | See: Item 13.16.1 STRATEGIC MANAGEMENT - Planning for actual risk management plans. | | | |
| 13.25.1 | Risk Management | Records relating to the implementation of major risk management plans and initiatives. | PERMANENT | <ul style="list-style-type: none"> • Implementation of Disaster/Risk Management Plans | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|--------------------------------|--------------------------------|---|---|--|--|
| 13 STRATEGIC MANAGEMENT | | | | | |
| 13.25.2 | Risk Management | Records relating to the implementation of minor risk management plans and initiatives. | TEMPORARY Destroy 8 years after action completed. | | |
| 13.25.3 | Risk Management | Records relating to risk assessment and management of hazards in agency work places. | TEMPORARY Destroy 100 years after action completed. | <ul style="list-style-type: none"> • Hazard identification & risk assessment, including dangerous chemicals, air-borne contaminants, radiation • Measures taken to eliminate or control risks • Measures taken to prevent accidents occurring • Measures taken to prevent or minimise exposure • Surveillance & monitoring of workplace environments • Maintenance & distribution of hazardous substances notices & labels | <ul style="list-style-type: none"> • Risk assessment reports • Regular hazard surveys • Material safety data sheets • Carcinogen authorisations & inspection reports |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|--------------------------------|--------------------------------|---|---|---|---|
| 13 STRATEGIC MANAGEMENT | | | | | |
| 13.25.4 | Risk Management | Records relating to the assessment and management of other risks. | TEMPORARY Destroy 7 years after action completed. | <ul style="list-style-type: none"> • Identification of records that are vital to agency operations • Fire safety and emergency services | <ul style="list-style-type: none"> • Risk assessment surveys • Safety certification • Reports on fire safety equipment |
| 13.26 | Social Clubs | <i>The activities involved in the agency's relationship with social clubs. (KAAA)</i> | | | |
| | | Note: Records of social club activities, such as registration or incorporation, minutes of management committees, and financial records are <u>not</u> covered by this GDS. Such records are non-official and not covered by the State Records Act (as amended). | | | |
| 13.26.1 | Social Clubs | Records relating to agency's relationship with social clubs. | TEMPORARY Destroy 2 years after action completed. | <ul style="list-style-type: none"> • Support &/or sponsorship given by the agency | |
| 13.27 | Standards | <i>The process of implementing industry or agency benchmarks for services and processes to enhance the quality and efficiency of the agency. (KAAA)</i> | | | |
| 13.27.1 | Standards | Master copy of official standards developed by the agency. | PERMANENT | | |
| 13.27.2 | Standards | Supplementary records relating to the development of standards by the agency. | TEMPORARY Destroy 2 years after action completed. | | <ul style="list-style-type: none"> • Reference material • Working papers |
| 13.28 | Suggestions (Employees) | <i>The process of using suggestions from employees to improve the services and processes of the agency.</i> | | | |
| | | See: Item 3.10 COMMUNITY RELATIONS - Public Reaction for suggestions from the public. | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|--------------------------------|--|--|---|---|-----------------|
| 13 STRATEGIC MANAGEMENT | | | | | |
| 13.28.1 | Suggestions (Employees) | Records relating to employee suggestions. | TEMPORARY Destroy 2 years after action completed. | <ul style="list-style-type: none"> Investigations & associated reports | |
| 13.29 | Abuse Incidents and Allegations | <p><i>The activities associated with receiving, managing, investigating, reporting on and responding to incidents or allegations of abuse of children, young people and vulnerable adults. Also includes vulnerable adults or adults where the incidents or allegations of abuse occurred as a child.</i></p> <p>See Also: Item 5.17 EMPLOYEE MANAGEMENT – Training - for records relating to the development and implementation of training and education programs by agencies designed to educate employees on how to manage and respond to incidents or allegations of abuse.</p> <p>See Also: Item 11.1 LEGAL SERVICES – Advice - for matters concerning incidents or allegations of abuse.</p> <p>See Also: Item 13.1 STRATEGIC MANAGEMENT - Advice - for matters concerning incidents or allegations of abuse.</p> <p>See Also: Item 13.18 STRATEGIC MANAGEMENT - Policy- for records relating to the formulation, implementation and review of agency policies relating to the management of and response to abuse incidents or allegations.</p> <p>See Also: Item 13.19 STRATEGIC MANAGEMENT - Procedures- for records relating to the formulation, implementation and review of agency procedures relating to abuse incidents or allegations.</p> | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|--------------------------------|---------------------------------|---|--|--------------------|-----------------|
| 13 STRATEGIC MANAGEMENT | | | | | |
| 13.29.1 | Abuse Incidents and Allegations | <p>Records relating to children and young people. Also includes vulnerable adults or adults where the incidents or allegations of abuse occurred as a child. Includes:</p> <ul style="list-style-type: none"> the receipt and investigation of incidents of abuse or allegations of abuse including the receipt of the complaint or allegation, evidence, records of interviews conducted, supporting materials and research and appeals of decisions made. Also includes material provided to/from external law enforcement agencies. records relating to actions taken to address allegations and cases of abuse and related matters, including counselling, discipline and decisions of external authorities. records relating to the provision of support, redress or remedial action for individuals who have made allegations of abuse. records relating to internal or external reviews of the process of handling incidents or allegations of abuse. Includes final review report, recommendations, consultations and supporting material and evidence. | TEMPORARY Destroy 105 years after date of birth. | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|--------------------------------|--|---|---|--------------------|-----------------|
| 13 STRATEGIC MANAGEMENT | | | | | |
| 13.29.2 | Abuse Incidents and Allegations | <p>Records relating to vulnerable adults. Includes records:</p> <ul style="list-style-type: none"> relating to the receipt and investigation of incidents of abuse or allegations of abuse including the receipt of the complaint or allegation, evidence, records of interviews conducted, supporting materials and research and appeals of decisions made. Also includes material provided to/from external law enforcement agencies. relating to actions taken to address allegations and cases of abuse and related matters, including counselling, discipline and decisions of external authorities. relating to the provision of support, redress or remedial action for individuals who have made allegations of abuse. | TEMPORARY Destroy 7 years after date of death or 45 years after action completed whichever is earlier | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|------------------------------------|----------------------------------|--|--|--|--|
| 14 WORK HEALTH & SAFETY | | | | | |
| 14 | WORK HEALTH & SAFETY | The function of implementing and co-ordinating work health and safety and associated legislation throughout the agency. Includes safety policy and the monitoring of safe work practices, procedures and preventative measures. | | | |
| 14.1 | Accidents & Incidents | Note: For definition of 'hazardous substance' refer to the Definitions section, p.28. | | | |
| | | <i>The activities involved in dealing with incidents causing injury or damage. Includes damage or injury to the agency's property or employee incurred while coming to, during or leaving work, or to the general public or visitors whilst on the agency's premises. Also includes measures to prevent accidents occurring.</i> | | | |
| | | See: Item 1.1 ASSET/PHYSICAL RESOURCE MANAGEMENT - Accidents & Incidents for damage to vehicles. See: Item 4.1 COMPENSATION - Case Management (Compensation Claims) for claims for compensation. | | | |
| | | See Also: Item 14.2 WORK HEALTH & SAFETY - Control. | | | |
| 14.1.1 | Accidents & Incidents | Records relating to the management of personal injuries to employees <u>not</u> resulting in claims for compensation. | TEMPORARY Destroy 45 years after action completed. | | <ul style="list-style-type: none"> Records captured in a hazards & incidents reporting system, eg HIRMS |
| 14.1.2 | Accidents & Incidents | Official accident and incident reports involving either employees or visitors. | TEMPORARY Destroy 45 years after action completed. | <ul style="list-style-type: none"> Accidents & incident reports <u>not</u> maintained on a case file | <ul style="list-style-type: none"> Records captured in a hazards & incidents reporting system, eg HIRMS |
| 14.1.3 | Accidents & Incidents | Records relating to the management of personal injuries to visitors aged under 18 years <u>not</u> resulting in claims for compensation. | TEMPORARY Destroy 30 years after action completed. | <ul style="list-style-type: none"> Accidents & incident reports maintained on a case file | <ul style="list-style-type: none"> Records captured in a hazards & incidents reporting system, eg HIRMS |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|------------------------------------|--------------------------------|---|--|--|---|
| 14 WORK HEALTH & SAFETY | | | | | |
| 14.1.4 | Accidents & Incidents | Records relating to the management of personal injuries to visitors aged 18 years or more <u>not</u> resulting in claims for compensation. | TEMPORARY Destroy 10 years after action completed. | <ul style="list-style-type: none"> Accidents & incident reports maintained on a case file | <ul style="list-style-type: none"> Records captured in a hazards & incidents reporting system, eg HIRMS |
| 14.1.5 | Accidents & Incidents | Records relating to the management of reports of damage to property <u>not</u> resulting in claims for compensation. | TEMPORARY Destroy 8 years after action completed. | | |
| 14.2 | Control | <i>The activities associated with creating, maintaining and evaluating control mechanisms. Includes classification, indexing, registration, form design etc to ensure maximum control over records and recordkeeping system. Also includes control mechanisms for other information resources and systems. (KAAA)</i> | | | |
| | | See: 5.5 EMPLOYEE MANAGEMENT – Control for non-WH&S training registers. See 5.17.2 EMPLOYEE MANAGEMENT – Training for records of WH&S training. | | | |
| 14.2.1 | Control | Master summary records of accidents, incidents and hazardous substances. | PERMANENT | | <ul style="list-style-type: none"> Accident & incident registers Register of asbestos Register of hazardous substances |
| 14.2.2 | Control | Other master summary records regarding WH&S matters. | TEMPORARY Destroy 45 years after action completed. | <ul style="list-style-type: none"> First aid | <ul style="list-style-type: none"> First aid registers WH&S training registers |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|------------------------------------|--|---|--|--|--|
| 14 WORK HEALTH & SAFETY | | | | | |
| 14.3 | Health & Safety Promotion & Wellbeing | <i>The process of promotion by the agency of programs that encourage the establishment and maintenance of a healthy work environment. Includes the administration of first aid.</i> | | | |
| | | Note: Records relating to the treatment received by individual employees in agency first aid or medical centres need to be placed on the employee's personal file and disposed of according to Item 5.3 EMPLOYEE MANAGEMENT - Case Management (Employees). | | | |
| | | See: Item 5.6 EMPLOYEE MANAGEMENT - Counselling for records relating to the counselling of employees on health and safety related matters. | | | |
| | | See Also: Item 5.17 EMPLOYEE MANAGEMENT - Training. | | | |
| | | See Also: Item 13.24 STRATEGIC MANAGEMENT - Risk Management for surveillance and monitoring of workplace environments. | | | |
| | | See Also: Item 14.2 WORK HEALTH & SAFETY - Control. | | | |
| 14.3.1 | Health & Safety Promotion & Wellbeing | Records relating to first aid of a major nature. | TEMPORARY Destroy 45 years after action completed. | <ul style="list-style-type: none"> First aid of a major nature administered by the agency to employees or visitors | <ul style="list-style-type: none"> Treatment records |
| 14.3.2 | Health & Safety Promotion & Wellbeing | Records relating to other first aid matters. | TEMPORARY Destroy 10 years after action completed. | <ul style="list-style-type: none"> First aid of a minor nature administered by the agency to employees or visitors Management of first aid or medical centres operated by the agency | <ul style="list-style-type: none"> Treatment records Statistical summaries General administrative records regarding the operation of a facility |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|------------------------------------|---|---|--|--|--|
| 14 WORK HEALTH & SAFETY | | | | | |
| 14.3.3 | Health & Safety Promotion & Wellbeing | Records maintained by the agency relating to health monitoring of individuals engaged in hazardous work . | TEMPORARY Destroy 45 years after action completed. | <ul style="list-style-type: none"> Use of hazardous chemicals, substances &/or equipment Hazardous workplaces | <ul style="list-style-type: none"> Health surveillance record |
| 14.3.4 | Health & Safety Promotion & Wellbeing | Records relating to the development and implementation of programs which promote and encourage a healthy and safe work environment. | TEMPORARY Destroy 30 years after action completed. | <ul style="list-style-type: none"> Employee assistance programs Quit smoking programs Provision of relevant facilities and equipment | |
| 14.3.5 | Health & Safety Promotion & Wellbeing | Records relating to the management of routine health-related screening programs delivered or facilitated by the agency. | TEMPORARY Destroy 5 years after action completed. | <ul style="list-style-type: none"> Blood pressures checks Cholesterol testing, etc Eye-testing for screen-based work Hearing testing Vaccinations | <ul style="list-style-type: none"> Summary reports from service providers |
| 14.4 | Inspections | <i>The process of official examinations of facilities, equipment and items to ensure compliance with agreed standards and objectives. (KAAA)</i> | | | |
| | | See: Item 13.25.3 STRATEGIC MANAGEMENT – Risk Management for records relating to remedial action taken as a result of hazard inspections and investigations. | | | |



| Item No. | FUNCTION Activity / Process | Description / Disposal Class | Disposal Action | Inclusion Examples | Record Examples |
|------------------------------------|--------------------------------|--|--|---|---|
| 14 WORK HEALTH & SAFETY | | | | | |
| 14.4.1 | Inspections | Records relating to inspections and investigations into major work health and safety hazards. | PERMANENT | <ul style="list-style-type: none"> Precedent setting cases resulting in major changes to workplaces &/or work practices | <ul style="list-style-type: none"> Inspection or investigation reports |
| 14.4.2 | Inspections | Records relating to other work health and safety inspections and investigations. | TEMPORARY Destroy 10 years after action completed. | <ul style="list-style-type: none"> Inspections and investigations of minor work health and safety hazards Routine worksite inspections Programmed inspections not the result of an incident or episode | <ul style="list-style-type: none"> Inspection or investigation reports |



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