

Retention and Disposal Schedules – Template Instructions

Within the Retention and Disposal Schedule Template:

[Italicised text in square brackets] – This is information that should be deleted from the completed template.

<Text in larger/smaller than symbols> - This information is to be inserted by the Organisation, delete symbols.

All other text, where it is relevant to the organisation, may be copied into the Retention and Disposal Schedule (R&D).

Organisations **must** modify the text where the existing text does not reflect their particular practices.

A Table of Contents and Index are to be included for ease of use of the Schedule.

Include the Organisation Name and identify the document as a “Retention and Disposal Schedule for Functional Records” in the Header.

Include the Organisation Name, RD number (issued by the SRO when the revised R&D is submitted), version number, page numbers and date of the document in the Footer. (**Do not** use auto update dates). This information **MUST** be updated each time the draft R&D is amended.

The Introduction to the R&D consists of:

- A cover page
- A Table of Contents
- Section 1 – About This Document
- Section 2 – Recordkeeping Environment
- Section 3 – Organisation’s Records
- Section 4 – Organisation’s Recordkeeping Practices
- Section 5 – Definitions
- Section 6 – Index

All sections must be addressed. Information that complies with the requirements of this template may be copied from the existing R&D. Any changes or additions to that information must be highlighted. For example amalgamations, separations, new or defunct functions, legislation, records management practices, restricted archives etc.

Any additional information that the organisation deems relevant to the R&D should also be included.

The Body of the R&D consists of:

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- Part A: Keywords or Records Categories – include keywords documenting financial management, human resources, administrative activities and functional keywords which represent the unique business undertaken by the organisation.
- Part B: (Optional) Common Activities – activities may be used in conjunction with several keywords when classifying records, therefore, it may be appropriate to group these as Common Activities in the R&D (for example, Policy, Meetings etc). To be classed as Common Activities the activity must:
 - apply to at least three keywords in the R&D;
 - must be applied consistently across each keyword to which they relate; and
 - the retention and disposal decisions must be the same.
- Part C: Databases and Websites – include all major databases and websites maintained by the organisation.
- Part D: Defunct Functions – include all record series for which records are no longer created by the organisation.
- Index

If Part B: Common Activities is not included as a separate section, organisations must ensure that all activities included under each keyword or category in the R&D.

Part D: Defunct Functions should only be included if applicable to the organisation.

One continuous reference numbering system is to be used throughout all parts (for example, if Part A ends with Reference Number 15.5, Part B begins with Reference Number 16.0).

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Arrangement of Keywords in the R&D

The main body of R&D will contain keywords or records categories reflecting an organisation's business activities.

An R&D is to represent **all** records keywords and categories in use.

Keywords/categories will be either **functional** or **administrative**.

A) Keywords

Functional keywords represent the **unique** business of the organisation. The activities that fall under these keywords may be represented in one of two ways:

1. Activities that fall under the Common Activities section (section 5) of the General Disposal Authority for Administrative Records (GDAA), and which are relevant to functional categories of records, may be included with a direct reference. These are:
 - a. ADVICE
 - b. AGREEMENTS/CONTRACTING OUT/JOINT VENTURES
 - c. COMMITTEES
 - d. COMPLIANCE
 - e. MEETINGS
 - f. POLICY
 - g. PROCEDURES
 - h. STATISTICS
 - i. SURVEYS
 - j. RESEARCH
 - k. TENDERING

See Example 3.1 and 3.2 on Page 5.

2. Other activities not covered by the Common Activities section must be fully described and a disposal instruction specified.

Administrative keywords include keywords documenting financial management, human resources, and administrative activities undertaken by the organisation. These activities are typically covered by the General Disposal Authorities (GDAs) produced by the State Records Office.

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Administrative keywords are to be included in the R&D. If all activities that fall under this keyword are covered by the GDAs, a reference may be made to the appropriate GDA (it is not necessary to list each activity) (See FLEET MANAGEMENT in the Example below).

If the organisation wishes to include each activity included under each keyword, these should all be listed with a reference to the appropriate GDAs (See COMMUNITY RELATIONS in the Example below).

Where there are activities that are **not** covered by the GDAs, these should be described and assigned a specific disposal instruction.

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Ref No	Description of Records	Disposal Action A – Archive D – Destroy R – Retain	Recommended Custody	Comments & References
Part A	<p>KEYWORDS/CATEGORIES <i>[Delete as appropriate]</i> This section refers to records classified under administrative keywords or functional keywords which represent the unique business of the organisation <i>[Describe the types of documents that are placed on a file classified under the Activity Descriptor. This should not be the Thesaurus/Business Classification Scheme definition of the activity descriptor]</i></p>			
1	<p>ANALYTICAL SERVICES The function of performing routine analysis and reporting of existing and proposed products and/or processes by the laboratories of the Organisation or by external providers</p>			
1.1	<p>Permits The preparation, submission, approval/rejection of certificates, approval or licence eg Poisons Permit, Dangerous Goods License or Registration Certificate</p>	D	10 years after permit expires	New Entry
1.2	<p>Quality Testing Quality testing of either existing or proposed products for adherence to specifications established for the manufacturing process. Includes records of non-conformance; evaluation of the process and recommendations for improvements</p>	D	7 years after last action	
2	<p>COMMUNITY RELATIONS The function of raising the profile of the organisation...</p>			
2.1	Addresses (Presentations)		Refer to GDAA	
2.2	Conferences		Refer to GDAA	
2.3	Customer Service		Refer to GDAA	

EXAMPLE

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Ref No	Description of Records	Disposal Action A – Archive D – Destroy R – Retain	Recommended Custody	Comments & References
2.4	Grant Funding		Refer to GDA and GDAFA	
2.5	Special Events Records of events involving <organisation> interaction with the wider communities. Includes International Years, special months, special weeks and special days. Also includes <organisation> ceremonies, celebrations and exhibitions			
2.5.1	Significant Special Events - Records of significant events which are significant to the <organisation's> history, eg Centenary / milestone celebrations, visits by Head of State, <organisation> participation in state and national special events. Include programs, certificates, transcripts and photographs	A	5 years after last action	
2.5.2	Other Special Events - Records of other special events where the <organisation> is open to the public, eg anniversary celebrations, carnivals, displays etc or where the whole organisation participates in a particular function	D	7 years after last action	
2.5.3	Invitations (Special Events) - Invitations to public/community to exhibitions, displays, shows and functions	D	3 years after action	New entry
3	DREDGING The function of dredging for purposes of expansion and maintenance of waterways			
3.1	Survey – Channel Records relating to survey of the channel			
3.2	Survey – Channel Dredge Planning Surveyors' reports relating to dredging	A	5 years after last action	
3.3	Survey Study Survey reports studying trends of siltation and current within the channel	A	5 years after last action	

EXAMPLE

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Ref No	Description of Records	Disposal Action A – Archive D – Destroy R – Retain	Recommended Custody	Comments & References
3.4	Survey (Other Surveys) Generic, regular surveys relating to dredging	D	10 years after last action	RDYYYYNNN 2.1.3 D 7yrs
4	FLEET MANAGEMENT The function of managing the vehicles of the organisation.		Refer to GDAA	
5	HUMAN RESOURCE MANAGEMENT The function of managing the organisation’s staff...			
5.1	Committees		Refer to GDAHR	
5.2	Staff Christmas Fund Contributions made by staff for end of year celebrations	D	7 years after last action	
6	PORT MANAGEMENT The function of operating the XYZ Port			
6.1	Committees		Refer to GDAA	
6.2	Liaison <i>Description</i>	D	5 years after last action	RDYYYYNNN 3.3 D 2yrs
6.3	Meetings		Refer to GDAA	
6.4	Planning <i>Description</i>			
6.4.1	Planning - High level strategic planning	A	5 years after last action	
6.4.2	Planning - Operational planning	D	7 years after last action	

EXAMPLE

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B) Common Activities

Organisations may wish to insert a Common Activities section in their R&D for those activities which occur frequently across the Business Classification Scheme. The use of such a section avoids needless duplication throughout the document. If records categories in the GDA describe similar records, the retention and disposal decisions in these documents may be extrapolated to form the disposal instruction for the organisation's records.

The criteria for Common Activities are:

- They must apply to at least three keywords in the R&D; and
- They must be applied consistently across each keyword to which they relate, that is, the retention and disposal decisions must be the same;

Ref No	Description of Records	Disposal Action A – Archive D – Destroy R – Retain	Recommended Custody	Comments & References
Part B	COMMON ACTIVITIES These activities may be applied to keywords throughout the R&D as appropriate			
7	Advice		Refer to GDAA	
8	Liaison <i>Description</i>	D	5 years after last action	
9	Research Records relating to research into core business activities conducted by <Name of Organisation> including research proposal, findings, results and recommendations. See GDAA for records relating to other types of research			
9.1	Records relating to significant research resulting (for example) in the development of new processes, manufacture of new equipment etc	A	5 years after last action	
9.2	Records relating to all other research including research proposals not continued with	D	5 years after last action	

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C) Databases and Websites

Ref No	Description of Records	Disposal Action A – Archive D – Destroy R – Retain	Recommended Custody	Comments & References
Part C	DATABASES AND WEBSITES This section refers to records contained in various databases and websites maintained by <Name of organisation>			
10	DATABASES			
	<Name of Database> <i>[Description of records held in the database and relationship to the business of the organisation]</i>			
10.1	Incidents and Complaints Management System (ICMS) Manages responses to incidents and complaints from government agencies, industry and the community. Core information is held in hardcopy. See <Ref No> for <Name of Record Series>	A	Archive within the <Name of Organisation> and any successors. If no successor is identified contact the State Records Office	
10.2	Geographical Information System (GIS) Provides geographical information support by overlaying activity themes over maps and aerial photographs. Data is sourced from inter-agency platforms. Information is sourced electronically but converted to hardcopy for storage on the appropriate file. Datasets relevant to specific geographical areas are stored on disk.	D	Destroy electronic datasets when reference ceases	

EXAMPLE

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Ref No	Description of Records	Disposal Action A – Archive D – Destroy R – Retain	Recommended Custody	Comments & References
10.3	<p><Product Name> Records Management Database A database containing electronic records and metadata etc relating to the records of the organisation</p>	R	Retain for the life of the <Name of Organisation> and any successors. If no successor is identified contact the State Records Office	
11	<p>WEBSITE <i>[Describe the type of information contained in the website. Include recordkeeping procedures eg A hardcopy is made of website pages before and after updating, these are filed The entire website is printed six monthly and filed..... All changes to the website are saved in the XYZ content management system.... Individual pages or the entire website content for past dates can be displayed from information saved in the CMS.... The entire website is burnt to CD six monthly and is retained permanently for historical purposes.]</i></p>	A	Archive within the <Name of Organisation> and any successors. If no successor is identified contact the State Records Office	

EXAMPLE

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D) Defunct Functions

Series of records relating to functions no longer performed by the organisations must be included in the R&D.

Ref No	Description of Records	Disposal Action A – Archive D – Destroy R – Retain	Recommended Custody	Comments & References
Part D	<p>DEFUNCT FUNCTIONS</p> <p>This section refers to series of records no longer created by <Name of Organisation> due to the function to which they relate no longer being the responsibility of this organisation. Records relating to those function created prior to the function becoming defunct are to be managed in accordance with this R&D.</p>			
12	<p>Inquiries</p> <p>Records relating to enquiries held by the board. Includes records relating to appeals, evidence and implementation of any recommendations.</p> <p>The <i>Medical Act 1984</i> (the Act) was amended on 1 January 2005 to incorporate the establishment of the State Administrative Tribunal (SAT) and the professional Standards Committees (PSC). Prior to 1 January 2005 all inquiries concerning medical practitioners were heard by the Medical Board.</p> <p>From 1 January 2005 the PSC will hear certain complaints as laid down by the Act. The more serious complaints will be referred by the Board directly to SAT.</p>	A	5 years after last action	4.5 in RD YYYYNNN

EXAMPLE