

# Recordkeeping for Good Governance Toolkit

## GUIDELINE 7: Disposal Schedule for Common Administrative Functions





The original version of this guideline was prepared by the Pacific Regional Branch of the International Council on Archives (PARBICA) for use by countries around the Pacific. This means that the guideline may refer to things that you are not familiar with or do not use in your country. For example, not all governments have an auditor-general who reviews the financial and other records of government departments. You may find that you need to change some of the advice in this guideline to suit your own government's arrangements. To obtain an editable copy of this guideline, contact the national archives, public record office or other records authority in your country, or contact PARBICA at <http://www.parbica.org>.

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## WHAT IS DISPOSAL?

Disposal (or disposition) of records does not necessarily mean destruction - it means what happens to a record at the end of its active life, which could be either destruction or the retention of the record as an archive (a record of permanent value). The usual records disposal actions are Archive or Destroy.

## WHAT IS A DISPOSAL SCHEDULE?

A disposal schedule identifies classes or types of records and assigns retention periods and disposal actions to the classes. It takes into account any legal requirements that a government might have for the retention and maintenance of particular records.

In other words, it is a timetable that tells you *when* a type of record is ready for disposal (*retention period*) and *what* should happen to it (*disposal action*).

It provides a formal and continuing authority for implementing decisions on the value of the records specified in the schedule.

**Note** that retention periods and disposal actions are only applied to records once they have become *inactive* – which means that they are no longer in active use: they may be used for reference, but no further information is being added to them. Guideline 8 Implementing the Disposal Schedule for Common Administrative Functions includes some guidance on deciding when a record is *inactive*.

## WHY HAVE A DISPOSAL SCHEDULE?

Robust systems for the creation and management of records and the preservation of archives are key foundations of good business practice, as well as essential to supporting good governance and collective memory in all countries, states and territories in the Pacific region. These systems include tools for identifying which records should be kept as archives and which are of short term value.

Most countries, states and territories in the Pacific region will have archives legislation that requires authorisation before disposal of records. This Disposal Schedule will assist in making sound decisions about the disposal of records that can then be authorised under specific legislation.

Disposal decisions are important and the disposal of records is a process that should be taken seriously and managed appropriately. The International Standard on Records Management (ISO 15489) recommends that determining how long records should be kept 'is most effectively undertaken in a systematic way'.

A disposal schedule:

- Provides a systematic way to determine and implement retention and disposal decisions quickly over a range of records, reducing the need for appraisal of each and every individual file or document
- Ensures that inactive records are efficiently maintained, and legal requirements for records retention are complied with
- Ensures consistency of decision-making about disposal actions
- Prevents the premature destruction of records that need to be retained for a specified period to satisfy legal, financial and other requirements of public administration
- Authorises the timely destruction of inactive records that are no longer required for business or community use, thus making it easier to retrieve remaining records
- Ensures that the records of permanent value to the government and the community are preserved
- Ensures that records essential for on-going business requirements are retained
- Assists in effective use of financial and staff resources by ensuring that only necessary information is maintained and accessed by staff
- Ensures efficient use of storage facilities so that money is not wasted on the storage of records that do not have to be retained.

## WHO IS THIS DISPOSAL SCHEDULE FOR?

The Pacific Regional Branch of the International Council on Archives (PARBICA) has developed this Disposal Schedule to provide a starting point for Pacific Island governments and other organisations who wish to implement records disposal *for their common administrative records*. It was drafted in consultation with a working group which was made up of representatives from the following countries:

- Australia;
- Cook Islands;
- Fiji;
- Nauru;
- New Zealand;
- Palau;
- Papua New Guinea;
- Samoa; and
- Vanuatu

This Disposal Schedule maps to Guideline 4 Administrative Records Plan of the Recordkeeping for Good Governance Toolkit. However, it is possible to use this Disposal Schedule for common administrative functions without having used the Records Plan. The Disposal Schedule can be applied to records in any filing system and even to records that have not been organised into a filing system. Guideline 8 Implementing the Disposal Schedule for Common Administrative Functions has more information about how to apply the Disposal Schedule.

This Disposal Schedule should be considered a ‘model’ from which you can build your own Disposal Schedule for a Government or for individual Departments or Ministries. The Disposal Schedule covers all of the kinds of administrative records which most government Ministries and Departments are likely to create and use.

Each country that uses the Disposal Schedule will need to make some changes to some parts of the text to make sure that it fits in with its own legal, administrative and cultural requirements. There is more information about how to adapt the Disposal Schedule, and also how to implement it in your own organisation, in Guideline 8 Implementing the Disposal Schedule for Common Administrative Functions and Guideline 9 Adapting the Disposal Schedule for Common Administrative Functions.

## CONTENTS OF THE DISPOSAL SCHEDULE

This Disposal Schedule does not include information about the records of the “core business” of government departments. The core business of a government body is the work it is responsible for which no other part of the government does. For example, only the Ministry of Health manages hospitals, and only the Ministry of Education runs schools. Each Ministry or Department will need to produce its own Disposal Schedule or list that gives instructions on how to dispose of records about these specific types of work. There is more information about how to appraise core business for value in Guideline 10 Starting an Appraisal Programme.

The Disposal Schedule is based upon Guideline 4 Administrative Records Plan of the Recordkeeping for Good Governance Toolkit. These are the records that every organisation creates in managing itself.

The Disposal Schedule is divided into 6 sections, each comprising a function as determined in the Records Plan.

The functions are:

- **Asset and Resources Management:** The function of managing the physical resources the organisation needs to carry out its business, including vehicles, land, buildings, equipment, services, technology (including software) and supplies.
- **External Relations:** The function of communicating with external groups, including the public, professional and industry groups and international sister organisations.
- **Financial Management:** The function of managing the organisation’s financial resources.
- **Information Management:** The function of creating, acquiring and managing the organisation’s information resources and services including its files and library materials.
- **Personnel and Establishments:** The function of managing the organisation’s staff, their entitlements and the structures within which they are employed.
- **Strategic Management:** The function of setting long-term goals for the organisation and directing and managing the organisation’s overall activities, processes and resources so that it can achieve them.

Within each section, the schedule lists alphabetically the **activities** that occur under the particular function (2<sup>nd</sup> column), **describes** them (3<sup>rd</sup> column) and provides some **examples of records** in the 4<sup>th</sup> column. Please note that the examples of records are only examples and not a complete list of all records under these activities.

The **Disposal Action** (5<sup>th</sup> column) indicates whether the records’ final disposal is **Archive** or **Destroy**. The criteria used to decide disposal actions in the model Disposal Schedule are listed later in this document.

The **Retention Period** column (6<sup>th</sup> column) defines the period of time the record should be kept **after** it is inactive and **before** its disposal.

The model Disposal Schedule provides a *recommended minimum retention period for records where the disposal action is DESTROY*. This means that when you adapt the Disposal Schedule for your own country or organisation, the Disposal Schedule suggests the least amount of time you should keep the record for. You can decide to keep the record for

longer. Guideline 8 Implementing the Disposal Schedule for Common Administrative Functions has advice on how to decide a retention period.

There is no recommended minimum retention period for records where the disposal action is ARCHIVE as the National Archives or similar body in each country will have its own rules about the transfer of records to its custody.

The **function + activity + description + example + disposal action + retention period** are what is called the **disposal class**. Each disposal class is given a **reference number** (1<sup>st</sup> column). The reference number provides a ‘shorthand’ way of referring to the disposal class.

The reference number has been designed to look different from file reference numbers – it has an alphabetical prefix of DS (for Disposal Schedule), then a number for each function and for each disposal class.

For example. DS1/2.1 is the reference number for the disposal class of Asset and Resource Management/Consultation and Advice which has a disposal action of ‘destroy’ and a retention period of ‘3 years after the record is inactive’.

There is also a column that describes the **disposal criteria** (7<sup>th</sup> column). The disposal criteria are the criteria used to decide on the disposal action. There is a list of the disposal criteria used in the development of the model Disposal Schedule later in this document.

The table on the next page lists the columns in the Disposal Schedule and describes their content.

<b>Column title</b>	<b>Content</b>
Ref. No.	The reference number for each individual entry (disposal class) in the schedule; e.g. DS1/2.1
Activity	The activity that makes up a disposal class. Although activities generally map to the activities in the Record Plan, sometimes they have been divided up into more specific classes, such as ‘Banking – major loans’ and ‘Banking - minor loans’, because the disposal action is different for major and minor loans
Description	A description of the activity, taken from the Records Plan
Examples	Examples of the types of records that might be created by this activity. It is not a complete list and you can add to it.
Disposal action/ decision	What should happen to the record once it is non-current and its retention period is reached. The disposal action is either <b>Archive</b> or <b>Destroy</b>

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Retention period (once inactive)	The total period of time for which the record is kept <i>after</i> it has become <i>inactive</i> and <i>before</i> the final disposal action is applied.
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For records whose disposal is Archive this means retention period before transfer to the custody of your archives, or transfer to 'archives' storage as opposed to non-current storage

For records whose disposal is Destroy, this means retention period until destruction.

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Disposal criteria	The disposal criterion or criteria used to determine the disposal action.
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## **CRITERIA USED TO DECIDE DISPOSAL ACTIONS**

The working group that developed the Disposal Schedule first developed disposal criteria to assist in deciding the disposal actions for the classes of records. The criteria are used to 'measure' the value of the records.

For each class of records in the Disposal Schedule, the criteria were considered to decide the value of the class of records.

### **Criteria for the permanent retention of records as archives (ARCHIVE)**

- Records that provide evidence of key events that are of significant national interest (supporting national identity)
  - history of country
  - history of community
  - records relating to historical national security issues
- Records that provide evidence of key events that are significant to a particular government department
  - history of department
  - administrative history of department (e.g. recordkeeping systems)
- Records that provide evidence of major decisions of government departments
- Records that are of cultural/historical significance to the country/department
- Records that provide evidence of precedent setting cases
- Records that are required for long term accountability or legal requirements
- Records that provide evidence of, and assist in understanding, the country's relationship with the environment and its natural resources
- Records of the proceedings of Commissions of Inquiry
- Evidence of high level inter-governmental relations
- Records that are indexes and registers to other records
- Any records that relate to the governing of other countries in the Pacific
- All records created before Grandparent date (date before which few records have survived)
- All records created before independence/self-government was gained

### **Criteria for the destruction of records (DESTROY)**

- Duplicates
  - within a government department
  - across government departments
- Records that do not have historic significance because they are summarised in a better record elsewhere
  - within a government department
  - across government departments
- Records that are no longer of evidential value because the accountability or legal requirement for retention has been met
- Drafts that do not contain significant changes to the content of the record
- Records that are no longer required for current business and that do not fit any of the ARCHIVE criteria
- Records received for information only (such as newsletters, circulars from other organisations, copies of journal articles, downloads from web-sites).

## HOW TO USE THE DISPOSAL SCHEDULE

The Disposal Schedule is a model Disposal Schedule and it must be adapted for your own country's legal, administrative and cultural requirements before it can be applied to inactive records.

This Disposal Schedule can be used to determine retention periods and disposal actions **for files that document the administrative or support functions that every government Ministry carries out.**

**This schedule should not be used by Departments or Ministries in disposing of records which document their responsibilities in providing services to the whole of government (their records of their core business).** For example, a Ministry of Finance can use this schedule to dispose of the Ministry's own internal financial records, but cannot apply the same rules to records about its monitoring of all government financial dealings.

Guideline 10 Starting an Appraisal Programme provide advice about the steps for disposal of core records.

There are two parts to using this model Disposal Schedule.

The first part is **adapting the Disposal Schedule for use in your jurisdiction.** It can be adapted for use across a whole jurisdiction by the National Archives or relevant body, or for use within individual Departments or Ministries.

The second part is applying the completed adapted Disposal Schedule to *inactive* records. This process is called **implementing** the Schedule, or **sentencing**. It consists of deciding the retention periods and disposal actions for specific records according to what classes in the schedule the records belong to and then implementing the disposal actions as required (archive or destroy).

PARBICA has developed guidelines on **adapting** and **implementing** the Disposal Schedule for your own jurisdiction or organisation. These guidelines can be found on the PARBICA website.

## DISPOSAL SCHEDULE FOR COMMON ADMINISTRATIVE FUNCTIONS

### Asset and Resources Management

The function of managing the physical resources the organisation needs to carry out its business, including vehicles, land, buildings, equipment, services, technology (including software) and supplies.

**Note:** The function described in this class is a corporate administrative function. It does not apply to the core function of managing national assets

Ref. no.	Activity	Description of activity	Examples of records	Disposal action	Recommended minimum retention period (once records are inactive)	Appraisal reason/disposal criteria
DS1/1.1	Acquisition	The activity of adding materials to the organisation's physical resources	Tender documents; leasing, hiring and purchase contracts; letters and emails regarding donation of assets or other equipment and stores	<b>Destroy*</b>	7 years after the record becomes inactive	Records that are no longer of evidential value because the accountability or legal requirement for retention has been met
<b>*NOTE:</b>	<i>*This disposal action does not apply to the master audit report held by the relevant core functional agency (e.g. Audit Department), which is a core record of that agency</i>					
DS1/2.1	Consultation and Advice	The activity of communicating with others inside the organisation and externally about how its assets and other physical resources are managed	Agenda and minutes of meetings; emails, circulars and instructions to staff on how to use office equipment	<b>Destroy</b>	3 years after the record becomes inactive	Records that are no longer required for current business and that do not fit any of the ARCHIVE criteria
DS1/3.1	Disposal - administration (except land)	The activity of discarding assets and physical resources the organisation no longer needs	Copies of sales advertisements; emails and letters offering to buy assets	<b>Destroy</b>	1 year after the disposal activity is completed	Records that are no longer of evidential value because the accountability or legal requirement for retention has been met

Ref. no.	Activity	Description of activity	Examples of records	Disposal action	Recommended minimum retention period (once records are inactive)	Appraisal reason/disposal criteria
DS1/3.2	Disposal - copies of legal documents (except land)	The activity of discarding assets and physical resources the organisation no longer needs	Vehicle registration transfer documentation, deeds of sale	<b>Destroy</b>	7 years after the disposal activity is completed	Records that are no longer of evidential value because the accountability or legal requirement for retention has been met
DS1/3.3	Disposal - land	The activity of discarding land assets and resources the organisation no longer needs	Copies of sales advertisements; emails and letters offering to buy assets; deeds of sale	<b>Destroy*</b>	10 years after the disposal activity is completed	Records that are no longer of evidential value because the accountability or legal requirement for retention has been met
<b>*NOTE:</b>	<i>*This document assumes that the actual legal instruments of land title and transfer are held by the department/ministry responsible for recording and maintaining land information and transfer</i>					
DS1/4.1	Evaluation and Reporting - major assets (land and buildings)	The activity of assessing the organisation's assets and resources and the way they are managed, and reporting the results to others	Internal and external reports on assets and resources; condition reports on buildings and equipment; asset valuations	<b>Archive</b>	Refer to legislation or to National Archives rules/regulations for how long records should be kept before transfer to Archives	Records that are required for long-term accountability or legal requirements
DS1/4.2	Evaluation and Reporting - assets other than land and buildings	The activity of assessing the organisation's assets and resources and the way they are managed, and reporting the results to others	Internal and external reports on assets and resources; condition reports on equipment; asset valuations	<b>Destroy</b>	3 years after the record becomes inactive	Records that are no longer of evidential value because the accountability or legal requirement for retention has been met
DS1/5.1	Maintenance	The activity of caring for, servicing, and repairing assets and resources to ensure they remain in working order	Maintenance contracts; renovation plans	<b>Destroy</b>	1 year after the record becomes inactive	Records that are no longer of evidential value because the accountability or legal requirement for retention has been met

Ref. no.	Activity	Description of activity	Examples of records	Disposal action	Recommended minimum retention period (once records are inactive)	Appraisal reason/disposal criteria
DS1/6.1	Operation - other than land use	The activity of allocating, distributing and using assets and physical resources	Vehicle log books; office occupancy plans; utilities supply contracts; software license agreements	<b>Destroy</b>	1 year after the record becomes inactive	Records that are no longer of evidential value because the accountability or legal requirement for retention has been met
DS1/6.2	Operation - land use	The activity of allocating, distributing and using assets and physical resources	Information about land use, allocation of land	<b>Archive</b>	Refer to legislation or to National Archives rules/regulations for how long records should be kept before transfer to Archives	Records that provide evidence of major decisions of government departments; Records that are required for long-term accountability or legal requirements
DS1/7.1	Planning	The activity of developing strategies and systems to manage the organisation's assets and resources	Records documenting the outcome of risk assessments; final drafts of plans; building plans; disaster plans	<b>Destroy</b>	7 years after the record becomes inactive	Records that are no longer required for current business and that do not fit any of the ARCHIVE criteria
DS1/8.1	Policy	The activity of developing and deciding on the organisation's asset and resources priorities and directions	Drafts of policies and working papers; policy proposals; research papers and reports; final policy statements	<b>Destroy</b>	7 years after the record becomes inactive*	Records that are no longer required for current business and that do not fit any of the ARCHIVE criteria
<b>*NOTE:</b>	<i>*Policy documents that have been received as circulated instructions from other agencies may be destroyed as soon as they are superseded, but the agency which created and circulated the policy should treat these records as core records</i>					
DS1/9.1	Procedures	The activity of setting down methods of carrying out the organisation's assets and resources processes and activities	Drafts and final copies of manuals, handbooks and guidelines	<b>Destroy</b>	7 years after the record becomes inactive	Records that are no longer required for current business and that do not fit any of the ARCHIVE criteria
DS1/10.1	Registration	The activity of recording the assets and equipment the organisation owns and keeping track of their location and condition	Asset registers; vehicle registration certificates; inspection reports	<b>Destroy</b>	7 years after the record becomes inactive	Records that are no longer of evidential value because the accountability or legal requirement for retention has been met

## External Relations

The function of communicating with external groups, including the public, donors, professional and industry groups and international sister organisations.

**NOTE:** The function described in this class is a corporate administrative function. It does NOT include communications with unions on industrial relations matters or communication with other parts of Government and it does NOT apply to the core functions of a Foreign Affairs Department or Ministry

Ref no.	Activity	Description of activity	Examples of records	Disposal action	Recommended minimum retention period (once records are inactive)	Appraisal reason/disposal criteria
DS2/1.1	Ceremonies, Events and Visits - major*	The activity of arranging formal or informal events of a ceremonial nature	Drafts of speeches; emails, letters and other correspondence with catering and other suppliers; emails, minutes and other correspondence with VIPs and their staff	<b>Archive</b>	Refer to legislation or to National Archives rules/regulations for how long records should be kept before transfer to Archives	Records that provide evidence of key events that are significant to a particular government department
<b>*DEFINITION:</b>		<i>*Events of a significant nature. See Guideline 8 Implementing the Disposal Schedule for further information about defining 'significant'</i>				
DS2/1.2	Ceremonies, Events and Visits - minor*	The activity of arranging formal or informal events of a ceremonial nature	Drafts of speeches; emails, letters and other correspondence with catering and other suppliers; emails, minutes and other correspondence with VIPs and their staff	<b>Destroy</b>	3 years after the record becomes inactive	Records that are no longer required for current business and that do not fit any of the ARCHIVE criteria
<b>*DEFINITION:</b>		<i>*Events that do not fall into the 'major' category</i>				
DS2/2.1	Conferences, Seminars and Workshops - administration*	The activity of arranging formal or informal events of a business nature that are designed to educate or allow discussion	Emails, letters and other correspondence with catering and other suppliers; itineraries and other travel arrangements for speakers	<b>Destroy</b>	1 year after the record becomes inactive	Records that are no longer of evidential value because the accountability or legal requirement for retention has been met

Ref no.	Activity	Description of activity	Examples of records	Disposal action	Recommended minimum retention period (once records are inactive)	Appraisal reason/disposal criteria
<b>*NOTE</b>	<i>*This function is about conferences, seminars and workshops arranged by the organisation. It does not cover conferences etc arranged by someone else which the organisation's staff attend</i>					
DS2/2.2	Conferences, Seminars and Workshops - content	The activity of arranging formal or informal events of a business nature that are designed to educate or allow discussion	Drafts of speeches; conference resolutions and declarations; agenda and minutes of meetings	<b>Archive</b>	Refer to legislation or to National Archives rules/regulations for how long records should be kept before transfer to Archives	Records that provide evidence of key events that are significant to a particular government department
DS2/3.1	Complaints and Feedback	The activity of receiving and responding to criticisms and suggestions on the organisation's services and performance from members of the public or other external bodies	Feedback forms; emails, letters and other correspondence providing feedback to the organisation or responding to that feedback; survey designs and forms	<b>Destroy</b>	3 years after the record becomes inactive	Records that do not have historic significance because they are summarised in a better record elsewhere
DS2/3.2	Complaints and Feedback - summary records	The activity of receiving and responding to criticisms and suggestions on the organisation's services and performance from members of the public or other external bodies	Complaints registers; survey results	<b>Archive</b>	Refer to legislation or to National Archives rules/regulations for how long records should be kept before transfer to Archives	Records that are of cultural/historical significance to the department
DS2/4.1	Evaluation and Reporting	The activity of assessing the organisation's external relations and the way they are managed, and reporting the results to others	Internal and external reports on external relations; reports from staff who have represented the organisation on external or international committees and organisations	<b>Archive</b>	Refer to legislation or to National Archives rules/regulations for how long records should be kept before transfer to Archives	Records that are of cultural/historical significance to the department
DS2/5.1	Exhibitions not developed by the organisation	The activity of mounting displays that inform or educate the viewer	Emails and letters concerning planning for the event, day-to-day management of the event	<b>Destroy</b>	1 year after the record becomes inactive	Records that do not have historic significance because they are summarised in a better record elsewhere (in the originating organisation)

Ref no.	Activity	Description of activity	Examples of records	Disposal action	Recommended minimum retention period (once records are inactive)	Appraisal reason/disposal criteria
DS2/5.2	Exhibitions - administration	The activity of mounting displays that inform or educate the viewer	Draft design materials, drafts of text panels and labels; emails and letters concerning planning for the event, day-to-day management of the event	<b>Destroy</b>	1 year after the record becomes inactive	Records that are no longer required for current business and that do not fit any of the ARCHIVE criteria
DS2/5.3	Exhibitions - content and agreements	The activity of mounting displays that inform or educate the viewer	Briefs for designers; final designs, approvals of designs and text; agreements for loans of artworks	<b>Archive</b>	Refer to legislation or to National Archives rules/regulations for how long records should be kept before transfer to Archives	Records that provide evidence of key events that are significant to a particular government department
DS2/6.1	Marketing - administration	The activity of administering the promotion of the organisation's activities and products	Research reports; order forms for advertising placements	<b>Destroy</b>	3 years after the record becomes inactive	Records that are no longer required for current business and that do not fit any of the ARCHIVE criteria
DS2/6.2	Marketing - promotional photographs	The activity of promoting the organisation's activities and products	Photographs of the organisation's activities	<b>Archive</b>	Refer to legislation or to National Archives rules/regulations for how long records should be kept before transfer to Archives	Records that are of cultural/historical significance to the country or department
DS2/7.1	Media Relations - administration	The activity of establishing and maintaining relationships with the media	Drafts of press releases; invitations to media events such as photo opportunities; press clippings	<b>Destroy</b>	1 year after the record becomes inactive	Records that are no longer required for current business and that do not fit any of the ARCHIVE criteria
DS2/7.2	Media Relations - final public documents	The activity of establishing and maintaining relationships with the media	Final press releases; awareness campaigns	<b>Archive</b>	Refer to legislation or to National Archives rules/regulations for how long records should be kept before transfer to Archives	Records that are of cultural/historical significance to the country or department

Ref no.	Activity	Description of activity	Examples of records	Disposal action	Recommended minimum retention period (once records are inactive)	Appraisal reason/disposal criteria
DS2/8.1	Networking, Liaison and Membership*	The activity of managing the organisation's membership of professional or industry bodies and making general contact with individuals or other bodies that share an interest with the organisation	Emails, letters and other correspondence with professional bodies or other similar organisations; membership agreements; contact lists; agenda and minutes of meetings; reports and resolutions of committees	<b>Destroy</b>	3 years after the record becomes inactive	Records that are no longer of evidential value because the accountability or legal requirement for retention has been met
<b>*NOTE:</b>	<i>*This activity does not relate to records where the networking, liaison and membership is a result of the CORE function of an organisation, such as a National Archives' membership of PARBICA</i>					
DS2/9.1	Planning	The activity of developing strategies and systems to manage the organisation's external relations	Working papers and drafts of plans; agenda, papers and minutes of consultative planning meetings	<b>Destroy</b>	7 years after the record becomes inactive	Records that are no longer required for current business and that do not fit any of the ARCHIVE criteria
DS2/10.1	Policy	The activity of developing and deciding on the organisation's external relations. priorities and directions.	Drafts of policies and working papers; policy proposals; research papers and reports; final policy statements.	<b>Archive*</b>	Refer to legislation or to National Archives rules/regulations for how long records should be kept before transfer to Archives	Records that provide evidence of major decisions of government departments
<b>*NOTE:</b>	<i>*Policy documents that have been received as circulated instructions from other agencies may be destroyed as soon as they are superseded, but the agency which created and circulated the policy should treat these records as core records</i>					
DS2/11.1	Procedures	The activity of setting down methods of carrying out the organisation's external relations. processes and activities.	Drafts and final copies of manuals, handbooks and guidelines.	<b>Destroy</b>	7 years after the record becomes inactive	Records that are no longer required for current business and that do not fit any of the ARCHIVE criteria

Ref no.	Activity	Description of activity	Examples of records	Disposal action	Recommended minimum retention period (once records are inactive)	Appraisal reason/disposal criteria
DS2/12.1	Project Support and Cooperation – management and administration of all projects	The activity of working with non-government organisations to help them to carry out projects that relate to the organisation’s work	Facilitative records such as meeting arrangements, day-to-day project management records, drafts of contracts and agreements	<b>Destroy</b>	3 years after the record becomes inactive	Records that are no longer of evidential value because the accountability or legal requirement for retention has been met
DS2/12.2	Project Support and Cooperation - major projects*	The activity of working with non-government organisations to help them to carry out projects that relate to the organisation’s work	Contracts, agreements and memoranda of understanding; project briefs; project reviews and reports; agenda and minutes of meetings	<b>Archive</b>	Refer to legislation or to National Archives rules/regulations for how long records should be kept before transfer to Archives	Records that are of cultural/historical significance to the country or department
<b>*DEFINITION:</b>		<i>*Projects of a significant nature. See Guideline 8 Implementing the Disposal Schedule for further information about how to define significant</i>				
DS2/12.3	Project Support and Cooperation - minor projects*	The activity of working with non-government organisations to help them to carry out projects that relate to the organisation’s work	Contracts, agreements and memoranda of understanding; project briefs; project reviews and reports; agenda and minutes of meetings	<b>Destroy</b>	3 years after the record becomes inactive	Records that are no longer required for current business and that do not fit any of the ARCHIVE criteria
<b>*DEFINITION:</b>		<i>*Projects that do not fall into the major category</i>				
DS2/13.1	Publishing and Printing - administration and drafts	The activity of producing materials that inform people about the organisation and its functions	Briefs for designers; specifications for printers; drafts of certificates, newsletters and other in-house designs	<b>Destroy</b>	1 year after final publication is produced	Records that are no longer required for current business and that do not fit any of the ARCHIVE criteria
DS2/13.2	Publishing and Printing - summary records	The activity of producing materials that inform people about the organisation and its functions	Lists or registers of publications	<b>Archive</b>	Refer to legislation or to National Archives rules/regulations for how long records should be kept before transfer to Archives	Records that are of cultural/historical significance to the country or department

Ref no.	Activity	Description of activity	Examples of records	Disposal action	Recommended minimum retention period (once records are inactive)	Appraisal reason/disposal criteria
DS2/13.3	Publishing and Printing – publications not lodged under legal deposit	The activity of producing materials that inform people about the organisation and its functions	Publications not lodged at the National Library or similar under legal deposit schemes	<b>Archive</b>	Refer to legislation or to National Archives rules/regulations for how long records should be kept before transfer to Archives	Records that are of cultural/historical significance to the country or department
DS2/13.4	Publishing and Printing – publications lodged under legal deposit	The activity of producing materials that inform people about the organisation and its functions	Publications lodged at the National Library or similar under legal deposit schemes	<b>Destroy</b>	When superseded or no longer required for information provision	Records that are no longer required for current business and that do not fit any of the ARCHIVE criteria

## Financial Management

The function of managing the organisation's financial resources

**Note:** The function described in this class is a corporate administrative function, and does not apply to the core functions of an Audit Office, Department, or Ministry, a Treasury Department or Ministry, or a Finance Department or Ministry

Ref no.	Activity	Description of activity	Examples of records (note that this is not a complete list)	Disposal action	Recommended minimum retention period (once records are inactive)	Appraisal reason/disposal criteria
DS3/1.1	Accounting	The activity of collecting, recording and assessing information about the financial transactions and position of the organisation	Journals, ledgers, receipt and revenue records, sales and purchase orders, invoices, claims, vouchers, cheques and cheque butts, cash books, creditor and debtor registers and lists; credit card statements and acquittals; petty cash books and receipts; profit and loss statements and balance sheets	<b>Destroy</b>	Refer to the country's legislation about financial records. <i>If there is no legislation that states a retention period, then 7 - 10 years after the record becomes inactive is recommended</i>	Records that are no longer of evidential value because the accountability or legal requirement for retention has been met Records that do not have historic significance because they are summarised in a better record elsewhere
DS3/2.1	Audit – internal - records of process	The activity of officially checking the organisation's activities to ensure it is meeting relevant standards.	Minutes of entry interviews; terms of reference documents; internal performance audit plans; performance audit reports; agenda, papers and minutes of Internal Audit Committee meetings.	<b>Destroy</b>	7 years after the record becomes inactive	Records that are no longer of evidential value because the accountability or legal requirement for retention has been met.
DS3/2.2	Audit – internal – final reports	The activity of officially checking the organisation's activities to ensure it is meeting relevant standards.	Final internal audit reports	<b>Archive</b>	Refer to legislation or to National Archives rules/regulations for how long records should be kept before transfer to Archives	Records that are required for long-term accountability or legal requirements; records that provide evidence of major decisions of government departments

Ref no.	Activity	Description of activity	Examples of records (note that this is not a complete list)	Disposal action	Recommended minimum retention period (once records are inactive)	Appraisal reason/disposal criteria
DS3/2.3	Audit - external	The activity of officially checking the organisation's activities to ensure it is meeting relevant standards.	Letters of engagement, letters and emails about the audit process and timetable, drafts of report, final report; responses to report	<b>Destroy*</b>	7 years after the report is tabled and any resulting investigations are completed	Records that are no longer required for current business and that do not fit any of the ARCHIVE criteria
<b>*NOTE:</b>	<i>*This disposal action does not apply to the master audit report held by the relevant core functional agency (e.g. Audit Department)</i>					
DS3/3.1	Authorisations and Delegations	The activity of deciding and documenting which offers within the organisation are permitted to authorise financial transaction	Instruments of delegation, formal financial instructions to staff, lists and registers of authorised officers	<b>Destroy</b>	Refer to the country's legislation about financial records. <i>If there is no legislation that states a retention period, then 7 - 10 years after the record becomes inactive is recommended</i>	Records that are no longer of evidential value because the accountability or legal requirement for retention has been met
DS3/4.1	Banking management	The activity of managing the organisation's bank accounts, including trust and investment accounts	Bank statements, deposit books, bank reconciliations, investment and dividend statements	<b>Destroy</b>	Refer to the country's legislation about financial records. <i>If there is no legislation that states a retention period, then 7 - 10 years after the record becomes inactive is recommended</i>	Records that are no longer of evidential value because the accountability or legal requirement for retention has been met
DS3/4.2	Banking - major loans*	The activity of managing the organisation's major loan accounts and of repaying loans	Loan agreements, investment and dividend statements for the loan accounts	<b>Archive</b>	Refer to legislation or to National Archives rules/regulations for how long records should be kept before transfer to Archives	Records that are required for long-term accountability; Records that provide evidence of the major decisions of government departments
<b>*DEFINITION:</b>	<i>* Loans over a certain amount, to be determined when the Disposal Schedule is adapted. See Guideline 9 Adapting the Disposal Schedule for further information</i>					

Ref no.	Activity	Description of activity	Examples of records (note that this is not a complete list)	Disposal action	Recommended minimum retention period (once records are inactive)	Appraisal reason/disposal criteria
DS3/4.3	Banking - minor loans*	The activity of managing the organisation's minor loan accounts and of repaying loans	Loan agreements, investment and dividend statements for the loan accounts	<b>Destroy</b>	Refer to the country's legislation about financial records. <i>If there is no legislation that states a retention period, then 7 - 10 years after the record becomes inactive is recommended</i>	Records that are no longer of evidential value because the accountability or legal requirement for retention has been met
<b>*DEFINITION:</b>		<i>*Loans that do not fit into the major category</i>				
DS3/5.1	Budgeting - drafts and process documentation	The activity of planning for the use of the organisation's expected funds and costs and allocating them within the organisations	Draft of budget allocations, New Spending Proposals and New Policy Proposals, appropriations; financial transfers /virements/ intersubhead transfers	<b>Destroy</b>	End of financial year	Records that do not have historic significance because they are summarised in a better record elsewhere
DS3/5.2	Budgeting - finals	The activity of planning for the use of the organisation's expected funds and costs and allocating them within the organisations	Final budget proposals	<b>Destroy</b>	Refer to the country's legislation about financial records. <i>If there is no legislation that states a retention period, then 7 - 10 years after the record becomes inactive is recommended</i>	Records that are no longer of evidential value because the accountability or legal requirement for retention has been met
DS3/6.1	Consultation and Advice – circulated material	The activity of speaking with others inside the organisation and externally about how its financial resources are managed	Copies of Treasury instructions and circulars, internal instructions to staff on financial procedures, reports analysing relevant accounting requirements	<b>Destroy</b>	3 years after the record becomes inactive	Records received for information only

Ref no.	Activity	Description of activity	Examples of records (note that this is not a complete list)	Disposal action	Recommended minimum retention period (once records are inactive)	Appraisal reason/disposal criteria
DS3/6.2	Consultation and Advice – non-circulated material	The activity of speaking with others inside the organisation and externally about how its financial resources are managed	Records of internal discussions and advice to particular groups not in the form of circulated instructions	<b>Destroy</b>	7 years after the record becomes inactive	Records that are no longer of evidential value because the accountability or legal requirement for retention has been met
DS3/7.1	Donor Funds Management - administration	The activity of managing, monitoring and accounting for the use of funds provided by aid donors and other external bodies	Acquittals and other accounting records, transaction ledgers, financial reports and reconciliations,	<b>Destroy</b>	Refer to the country's legislation about financial records. <i>If there is no legislation that states a retention period, then 7 - 10 years after the record becomes inactive is recommended</i>	Records that are no longer of evidential value because the accountability or legal requirement for retention has been met
DS3/7.2	Donor Funds Management - registers and criteria	The activity of managing, monitoring and accounting for the use of funds provided by aid donors and other external bodies	Donor and project registers, aid disbursement criteria	<b>Archive</b>	Refer to legislation or to National Archives rules/regulations for how long records should be kept before transfer to Archives	Records that are required for long-term accountability; Records that provide evidence of the major decisions of government departments
DS3/8.1	Evaluation and Reporting	The activity of assessing the organisation's financial resources and the way they are managed, and reporting the results to others	Internal monthly and quarterly reports on income and spending	<b>Destroy</b>	Refer to the country's legislation about financial records. <i>If there is no legislation that states a retention period, then 7 - 10 years after the record becomes inactive is recommended</i>	Records that are no longer of evidential value because the accountability or legal requirement for retention has been met

Ref no.	Activity	Description of activity	Examples of records (note that this is not a complete list)	Disposal action	Recommended minimum retention period (once records are inactive)	Appraisal reason/disposal criteria
DS3/8.2	Evaluation and Reporting	The activity of assessing the organisation's financial resources and the way they are managed, and reporting the results to others	Reports on reviews of financial arrangements and procedures	<b>Archive</b>	Refer to legislation or to National Archives rules/regulations for how long records should be kept before transfer to Archives	Records that are required for long-term accountability; Records that provide evidence of the major decisions of government departments
DS3/9.1	Financial Statements	The activity of formally reporting on the organisation's financial position to the government	Formal financial statements submitted to Treasury; Briefs prepared for PAC hearings	<b>Destroy*</b>	Refer to the country's legislation about financial records. <i>If there is no legislation that states a retention period, then 7 - 10 years after the record becomes inactive is recommended</i>	Records that do not have historic significance because they are summarised in a better record elsewhere
<b>*NOTE:</b>	<i>*This disposal action does not apply to the master copies held by Treasury</i>					
DS3/10.1	Grants - administration	The activity of providing money to external organisations to allow them to carry out specified activities and projects	Invoices and receipts submitted by grant recipients	<b>Destroy</b>	Refer to the country's legislation about financial records. <i>If there is no legislation that states a retention period, then 7 - 10 years after the record becomes inactive is recommended</i>	Records that are no longer of evidential value because the accountability or legal requirement for retention has been met
DS3/10.2	Grants - major agreements	The activity of providing money to external organisations to allow them to carry out specified activities and projects	Copies of agreements that set out terms and conditions for major grants; invoices and receipts submitted by grant recipients	<b>Archive</b>	Refer to legislation or to National Archives rules/regulations for how long records should be kept before transfer to Archives	Records that are required for long-term accountability; Records that provide evidence of the major decisions of government departments
<b>*DEFINITION:</b>	<i>* Grants over a certain amount, to be determined when the Disposal Schedule is adapted. See Guideline 9 Adapting the Disposal Schedule for further information</i>					

Ref no.	Activity	Description of activity	Examples of records (note that this is not a complete list)	Disposal action	Recommended minimum retention period (once records are inactive)	Appraisal reason/disposal criteria
DS3/10.3	Grants - minor agreements	The activity of providing money to external organisations to allow them to carry out specified activities and projects	Copies of agreements that set out terms and conditions for minor grants; invoices and receipts submitted by grant recipients	<b>Destroy</b>	Refer to the country's legislation about financial records. <i>If there is no legislation that states a retention period, then 7 - 10 years after the record becomes inactive is recommended</i>	Records that are no longer of evidential value because the accountability or legal requirement for retention has been met
<b>*DEFINITION:</b>		<i>*Grants that do not fit into the major category</i>				
DS3/11.1	Insurance	The activity of taking out a premium to cover the loss of or damage to an asset or individual for which the organisation is responsible	Insurance policy and renewal documents, records of investigation of claims	<b>Destroy</b>	Refer to the country's legislation about financial records. <i>If there is no legislation that states a retention period, then 7 - 10 years after the record becomes inactive is recommended</i>	Records that are no longer of evidential value because the accountability or legal requirement for retention has been met
DS3/12.1	Investigations	The activity of looking into possible corruption, fraud or mismanagement of government money or property	Emails, letters and other correspondence claiming that corruption or fraud has occurred; instructions or advice to investigating authorities including police and auditors; evidence collected as part of an investigation; reports of investigations	<b>Archive</b>	Refer to legislation or to National Archives rules/regulations for how long records should be kept before transfer to Archives	Records that provide evidence of a key event that is significant to a particular government department

Ref no.	Activity	Description of activity	Examples of records (note that this is not a complete list)	Disposal action	Recommended minimum retention period (once records are inactive)	Appraisal reason/disposal criteria
DS3/13.1	Payroll Administration	The activity of making regular or casual payments of salary, wages and allowances to staff members	Authorisations from staff to make deductions from salaries; spreadsheets and calculations of allowances payable, receipts and statements from provident funds or other payees	<b>Destroy</b>	Refer to the country's legislation about financial records. <i>If there is no legislation that states a retention period, then 7 - 10 years after the record becomes inactive is recommended</i>	Records that are no longer of evidential value because the accountability or legal requirement for retention has been met
DS3/14.1	Planning	The activity of developing strategies and systems to manage the organisation's financial resources.	Working papers and drafts of plans; agenda, papers and minutes of consultative planning meetings.	<b>Destroy</b>	7 years after the record becomes inactive	Records that are no longer required for current business and that do not fit any of the ARCHIVE criteria
DS3/15.1	Policy	The activity of developing and deciding on the organisation's financial management priorities and directions.	Drafts of policies and working papers; policy proposals; research papers and reports; final policy statements.	<b>Destroy</b>	7 years after the record becomes inactive	Records that are no longer required for current business and that do not fit any of the ARCHIVE criteria
DS3/16.1	Procedures	The activity of setting down methods of carrying out the organisation's financial management processes and activities.	Drafts and final copies of manuals, handbooks and guidelines.	<b>Destroy</b>	7 years after the record becomes inactive	Records that are no longer required for current business and that do not fit any of the ARCHIVE criteria
DS3/17.1	Tendering	The activity of receiving and assessing offers to supply goods and services to the organisation.	Requests for tender or quotation; specifications; agenda and minutes of tender boards and committees; lists of approved vendors.	<b>Destroy</b>	7 years after the record becomes inactive	Records that are no longer of evidential value because the accountability or legal requirement for retention has been met

## Information Management

The function of creating, acquiring and managing the organisation's information resources and services including its files and library materials.

Ref no.	Activity	Description of activity	Examples of records (note that this is not a complete list)	Disposal action	Recommended minimum retention period (once records are inactive)	Appraisal reason/disposal criteria
DS4/1.1	Access – non-FOI requests and cases	The activity of providing access to the organisation's information resources to staff or members of the public	Registers of library members; photocopy request forms	<b>Destroy</b>	1 year after the record becomes inactive	Records that are no longer required for current business and that do not fit any of the ARCHIVE criteria
DS4/1.2	Access – FOI requests and cases	The activity of providing access to the organisation's information resources to staff or members of the public	Letters and emails about FOI cases, records of the fulfilment of FOI requests	<b>Destroy*</b>	2- 3 years after request is completed or case is closed**	Records that are no longer of evidential value because the accountability or legal requirement for retention has been met
<b>*NOTE:</b>	<p><i>*This disposal action does not apply to Ombudsmen investigations or case files, which are the core records of the Ombudsmen's office</i></p> <p><i>**This retention period does not apply if the records are required by the Ombudsmen for investigation. Records should be kept until any investigation is completed</i></p>					
DS4/2.1	Acquisition	The activity of adding materials to the organisation's information resources	Letters and emails offering and accepting donations; publishers' order forms; inter-library loan forms	<b>Destroy*</b>	2 years after the record becomes inactive	
<b>*NOTE:</b>	<i>*This disposal action does not apply to the donation records of collecting organisations such as archives or libraries, which are core records for these organisations</i>					
DS4/3.1	Control – file registration records	The activity of keeping track of the organisation's information resources	File registers, records plans.	<b>Archive</b>	Refer to legislation or National Archives rules/regulations for how long records should be kept before transfer to Archives	Records that provide evidence of key events of significance to a particular government department (evidence of the recordkeeping systems)
DS4/3.2	Control – other control documentation	The activity of keeping track of the organisation's information resources	File movement cards; library catalogues, library request forms, new file request forms	<b>Destroy</b>	2 year s after the record becomes inactive	Records that are no longer required for current business and that do not fit any of the ARCHIVE criteria

Ref no.	Activity	Description of activity	Examples of records (note that this is not a complete list)	Disposal action	Recommended minimum retention period (once records are inactive)	Appraisal reason/disposal criteria
DS4/4.1	Consultation and advice	The activity of speaking with others inside the organisation and externally about how its information resources are managed	Agenda and minutes of meetings; emails and instructions to staff on how to use library and records systems	<b>Destroy</b>	3 years after the record becomes inactive	Records that are no longer required for current business and that do not fit any of the ARCHIVE criteria
DS4/5.1	Disposal - records	The activity of discarding information the organisation no longer needs	Lists of destroyed records; lists of records sent to the Archives	<b>Archive</b>	Refer to legislation or to National Archives rules/regulations for how long records should be kept before transfer to Archives	Records that provide evidence of key events of significance to a particular government department (evidence of the recordkeeping systems)
DS4/5.2	Disposal - library	The activity of discarding information the organisation no longer needs	Lists of library books discarded; records of the sale or disposal of library books and journals	<b>Destroy</b>	3 years after the record becomes inactive	Records that are no longer required for current business and that do not fit any of the ARCHIVE criteria
DS4/6.1	Evaluation and reporting	The activity of assessing the organisation's information resources and the way they are managed, and reporting the results to others	Internal and external reports on library use and registry performance; progress and final reports on implementation of new library and records management systems	<b>Destroy</b>	3 years after the record becomes inactive	Records that are no longer required for current business and that do not fit any of the ARCHIVE criteria
DS4/7.1	Intellectual property - management	The activity of protecting the organisation's own intellectual property	Patent and copyright applications; requests for the use of the organisation's intellectual property; copyright registers	<b>Archive</b>	Refer to legislation or to National Archives rules/regulations for how long records should be kept before transfer to Archives	Records that are required for long-term accountability or legal reasons
DS4/7.2	Intellectual property - use of others' IP	The activity of using the intellectual property of others	copyright declaration forms; requests for permission to use; licensing agreements	<b>Destroy</b>	When use of 3 <sup>rd</sup> party intellectual property ceases	Records that are no longer required for current business and that do not fit any of the ARCHIVE criteria

Ref no.	Activity	Description of activity	Examples of records (note that this is not a complete list)	Disposal action	Recommended minimum retention period (once records are inactive)	Appraisal reason/disposal criteria
DS4/8.1	Planning	The activity of developing strategies and systems to manage the organisation's information resources	Records documenting the outcome of risk assessments; final drafts of plans	<b>Destroy</b>	7 years after the record becomes inactive	Records that are no longer required for current business and that do not fit any of the ARCHIVE criteria
DS4/9.1	Policy	The activity of developing and deciding on the organisation's information management priorities and directions	Drafts of policies and working papers; policy proposals; research papers and reports; final policy statements	<b>Destroy</b>	7 years after the record becomes inactive	Records that are no longer required for current business and that do not fit any of the ARCHIVE criteria
DS4/10.1	Procedures	The activity of setting down methods of carrying out the organisation's information management processes and activities	Drafts and final copies of procedure manuals, handbooks and guidelines	<b>Destroy</b>	7 years after the record becomes inactive	Records that are no longer required for current business and that do not fit any of the ARCHIVE criteria
DS4/11.1	Publishing and printing	The activity of producing internal communications and other materials that inform staff about the information resources of the organisation	Final drafts of manuals and other publications; letters and emails giving instructions to designers and printers	<b>Destroy</b>	1 year after the record becomes inactive	Records that are no longer required for current business and that do not fit any of the ARCHIVE criteria
DS4/12.1	Storage and conservation	The activity of storing and caring for the organisation's information resources	Pest control plans; registers of key holders; records of conservation treatment of individual records	<b>Destroy</b>	1 year after the record is superseded or become inactive	Records that are no longer required for current business and that do not fit any of the ARCHIVE criteria

## Personnel and Establishment

The function of managing the organisation's staff, their entitlements and the structures within which they are employed.

Ref no.	Activity	Description of activity	Examples of records (note that this is not a complete list)	Disposal action	Recommended minimum retention period (once records are inactive)	Appraisal reason/disposal criteria
DS5/1.1	Authorisations and delegations	The activity of deciding and documenting which officers within the organisation are permitted to authorise staffing changes and decisions	Instruments of delegation; formal personnel instructions to staff; lists and registers of authorised officers	<b>Destroy</b>	7 years after the record is superseded	Records that are no longer of evidential value because the accountability or legal requirement for retention has been met.
DS5/2.1	Consultation and advice - internal	The activity of communicating with others inside the organisation about how its staff are managed	Internal instructions to staff on personnel procedures; reports analysing relevant personnel requirements	<b>Destroy</b>	7 years after the record is superseded	Records that are no longer of evidential value because the accountability or legal requirement for retention has been met.
DS5/2.2	Consultation and advice - external	The activity of communicating with others externally about how the organisation's staff are managed	Copies of Public Service Commission instructions and circulars; records of advice received from external sources	<b>Destroy</b>	Once the record has been superseded	Records that are no longer required for current business and that do not fit any of the ARCHIVE criteria
DS5/3.1	Grievances	The activity of hearing, judging and resolving complaints made by and disputes between individual employees	Letters, emails and other correspondence about complaints; documents appointing review panels; investigation reports	<b>Destroy</b>	7 years after the case is resolved	Records that are no longer of evidential value because the accountability or legal requirement for retention has been met.
DS5/4.1	Industrial relations	The activity of formally dealing with employees and their representatives as a group	Agenda, papers and minutes of meetings with unions or other staff representative groups; internal emails, minutes and memos discussing the organisation's response to industrial disputes	<b>Destroy</b>	7 years after the record becomes inactive	Records that are no longer required for current business and that do not fit any of the ARCHIVE criteria

Ref no.	Activity	Description of activity	Examples of records (note that this is not a complete list)	Disposal action	Recommended minimum retention period (once records are inactive)	Appraisal reason/disposal criteria
DS5/5.1	Job design	The activity of evaluating tasks and deciding on the appropriate position description, classification, banding and salary for a position in the organisation	Position descriptions and selection criteria; reports on job classifications.	<b>Destroy</b>	3 years after the record is superseded or otherwise becomes inactive	Records that are no longer required for current business and that do not fit any of the ARCHIVE criteria
DS5/6.1	Occupational health and safety – fatalities and court cases	The activity of ensuring that the organisation complies with requirements to provide a safe and healthy workplace	Accident and incident reports (fatalities); reports of accident investigations (fatalities); briefings to Counsel, case records	<b>Archive</b>	Refer to legislation or to National Archives rules/regulations for how long records should be kept before transfer to Archives	Records that provide evidence of key events that are significant to the department
DS5/6.2	Occupational health and safety – records not about fatalities and court cases	The activity of ensuring that the organisation complies with requirements to provide a safe and healthy workplace	Accident and incident reports (non-fatality); reports of accident investigations (non-fatality); agenda, papers and minutes of OH&S committee meetings; inspection reports	<b>Destroy</b>	10 years after the record becomes inactive	Records that are no longer of evidential value because the accountability or legal requirement for retention has been met
DS5/7.1	Planning	The activity of developing strategies and systems to manage the organisation's personnel and establishment	Working papers and drafts of plans; agenda, papers and minutes of consultative planning meetings.	<b>Destroy</b>	7 years after the record becomes inactive	Records that are no longer required for current business and that do not fit any of the ARCHIVE criteria
DS5/8.1	Policy	The activity of developing and deciding on the organisation's personnel and establishment priorities and directions	Drafts of policies and working papers; policy proposals; research papers and reports; final policy statements.	<b>Destroy</b>	7 years after the record becomes inactive	Records that are no longer required for current business and that do not fit any of the ARCHIVE criteria
DS5/9.1	Procedures	The activity of setting down methods of carrying out the organisation's personnel and establishment processes and activities.	Drafts and final copies of manuals, handbooks and guidelines.	<b>Destroy</b>	7 years after the record becomes inactive	Records that are no longer required for current business and that do not fit any of the ARCHIVE criteria

Ref no.	Activity	Description of activity	Examples of records (note that this is not a complete list)	Disposal action	Recommended minimum retention period (once records are inactive)	Appraisal reason/disposal criteria
DS5/10.1	Recruitment and selection	The activity of choosing the most appropriate person to hold a post within the organisational structure	Recruitment request forms and approvals; copies of interview questions; selection reports; letters to unsuccessful candidates CVs of unsuccessful candidates.*	<b>Destroy</b>	6 months after the position is filled	Records that are no longer required for current business and that do not fit any of the ARCHIVE criteria
<b>NOTE</b>	<i>* Information provided by and about the successful candidate should be filed on the Staff Case Management or Personal/Personnel file for the successful candidate</i>					
DS5/11.1	Restructuring – internally created records	The activity of deciding the number and level of and reporting lines for staff required for the organisation to meet its goals.	Organisation charts; directives from PSC or the Minister on organisation structures; structure review reports.	<b>Archive</b>	Refer to legislation or to National Archives rules/regulations for how long records should be kept before transfer to Archives	Records that provide evidence of key events that are of significance to a particular government department (history of department); records that provide evidence of major decisions of government departments
DS5/12.1	Staff development and training – administration	The activity of arranging training or other opportunities for staff	Contracts and other agreements with training providers; letters and emails about catering, equipment and venue arrangements; course evaluations; participant lists	<b>Destroy</b>	1 year after the record becomes inactive	Records that are no longer required for current business and that do not fit any of the ARCHIVE criteria
DS5/12.2	Staff development and training - needs analysis	The activity of analysing the organisation's skills needs.	Training needs analysis reports.	<b>Archive</b>	Refer to legislation or to National Archives rules/regulations for how long records should be kept before transfer to Archives	Records that provide evidence of key events that are of significance to a particular government department (history of department)
DS5/12.3	Staff development and training - training material developed in-house	The activity of developing training or other opportunities for staff	Training course plans, scripts and manuals/handouts	<b>Archive</b>	Refer to legislation or to National Archives rules/regulations for how long records should be kept before transfer to Archives	Records that provide evidence of key events that are of significance to a particular government department (history of department)

<b>Ref no.</b>	<b>Activity</b>	<b>Description of activity</b>	<b>Examples of records (note that this is not a complete list)</b>	<b>Disposal action</b>	<b>Recommended minimum retention period (once records are inactive)</b>	<b>Appraisal reason/disposal criteria</b>
DS5/12.4	Staff development and training - training material developed by external providers	The activity of developing training or other opportunities for staff	Training course plans, scripts and manuals/handouts	<b>Destroy</b>	1 year after the record is superseded	Records that are no longer required for current business and that do not fit any of the ARCHIVE criteria

**NOTE** that this sheet is arranged differently from the others because the records are described differently

**STAFF CASE MANAGEMENT: The activity of administering the rights, responsibilities and entitlements of individual employees throughout their careers.**

**Examples of records : 'Personal files' or 'personnel files' or 'staff files' that may contain the following:**

**Letters of appointment; probation reports; medical reports; performance agreements and review reports, records of disciplinary action.**

Ref no.	Record	Examples of records contents	Disposal action	Recommended minimum retention period (once inactive)	Appraisal reason/disposal criteria
DS5/13.1	Payroll and leave records for all staff ( <i>if kept separately from other staff management information</i> )*	Leave requests and other leave records, copies of pay slips	<b>Destroy</b>	7 years after employment ceases	Records that are no longer required for current business and that do not fit any of the ARCHIVE criteria
<b>*NOTE:</b>	<i>*If payroll and leave information is not filed separately, you DO NOT have to weed or cull it from the files. See Guideline 8 Implementing the Disposal Schedule for further information</i>				
DS5/13.2	Case files for Chief Executives and 2 <sup>nd</sup> tier managers and other employees of national significance	'Personal files' or 'personnel files' or 'staff files' that may contain the following: Letters of appointment; probation reports; medical reports; performance agreements and review reports, records of disciplinary action	<b>Archive</b>	Refer to legislation or to National Archives rules/regulations for how long records should be kept before transfer to Archives	Records that are of cultural/historical significance to the department or country (historical and genealogical research)
DS5/13.3	Case files for all other staff	'Personal files' or 'personnel files' or 'staff files' that may contain the following: Letters of appointment; probation reports; medical reports; leave records; performance agreements and review reports, records of disciplinary action	<b>Destroy*</b>	7 years after employment ceases	Records that are no longer required for current business and that do not fit any of the ARCHIVE criteria
<b>*NOTE:</b>	<i>*You can choose to keep all staff case files if you wish. See Guideline 9 Adapting the Disposal Schedule for further information</i>				
DS5/13.4	Summary records of staff case files	Staff cards, summary sheets from staff files	<b>Archive</b>	Refer to legislation or to National Archives rules/regulations for how long records should be kept before transfer to Archives	Records that are of cultural/historical significance to the department or country (historical and genealogical research)

## Strategic Management

The function of setting long-term goals for the organisation and directing and managing the organisation's overall activities, processes and resources so that it can achieve them

Ref no.	Activity	Description of activity	Examples of records (note that this is not a complete list)	Disposal action	Recommended minimum retention period (once records are inactive)	Appraisal reason/disposal criteria
DS6/1.1	Audit – internal - records of process	The activity of officially checking the organisation's activities to ensure it is meeting relevant standards.	Minutes of entry interviews; terms of reference documents; internal performance audit plans; performance audit reports; agenda, papers and minutes of Internal Audit Committee meetings.	<b>Destroy</b>	5 years after the record becomes inactive	Records that are no longer of evidential value because the accountability or legal requirement for retention has been met.
DS6/1.2	Audit – internal – final reports	The activity of officially checking the organisation's activities to ensure it is meeting relevant standards.	Final internal audit reports	<b>Archive</b>	Refer to legislation or to National Archives rules/regulations for how long records should be kept before transfer to Archives	Records that are required for long-term accountability or legal requirements; records that provide evidence of major decisions of government departments
DS6/1.3	Audit - external	The activity of officially checking the organisation's activities to ensure it is meeting relevant standards.	Letters of engagement, letters and emails about the audit process and timetable, drafts of report, final report; responses to report	<b>Destroy*</b>	5 years after report is tabled and any resulting investigations are complete	Records that are no longer required for current business and that do not fit any of the ARCHIVE criteria
<b>*NOTE:</b>	<i>*The master copy will be held by the Audit Office or similar organisation</i>					
DS6/2.1	Consultation and advice – general instructions	The activity of speaking with others inside the organisation and externally about how its strategic directions are managed.	Copies of Prime Minister's and Cabinet instructions and circulars to all Departments, reports analysing relevant governance and compliance requirements circulated to all departments	<b>Destroy</b>	Once superseded and no longer required for business purposes	Records received for information only

Ref no.	Activity	Description of activity	Examples of records (note that this is not a complete list)	Disposal action	Recommended minimum retention period (once records are inactive)	Appraisal reason/disposal criteria
DS6/2.2	Consultation and advice - specific instructions	The activity of speaking with others inside the organisation and externally about how its strategic directions are managed.	Specific instructions from Cabinet or the Prime Minister to the Department; reports analysing relevant governance and compliance requirements .	<b>Archive</b>	Refer to legislation or to National Archives rules/regulations for how long records should be kept before transfer to Archives	Records that provide evidence of major decisions of government departments
DS6/2.3	Consultation and advice – legal opinions	The activity of speaking with others inside the organisation and externally about how its strategic directions are managed.	Legal opinions received from Crown Law or private legal firms	<b>Archive</b>	Refer to legislation or to National Archives rules/regulations for how long records should be kept before transfer to Archives	Records that are required for long-term accountability reasons.
DS6/3.1	Evaluation and reporting	The activity of assessing the organisation’s strategic directions and the way they are managed, and reporting the results to others.	Statements of Intent to the Minister, quality assurance reports; non-financial reports to the Minister or other high-level government bodies.	<b>Archive</b>	Refer to legislation or to National Archives rules/regulations for how long records should be kept before transfer to Archives	Records that are required for long-term accountability reasons; Records that provide evidence of major decisions of government departments
DS6/4.1	Internal committees - administration	The activity of establishing and managing internal bodies that direct the overall management of the organisation.	Letters and emails arranging committee meeting timetables, venues catering, and travel arrangements	<b>Destroy</b>	6 months after the record becomes inactive	Records that are no longer required for current business and that do not fit any of the ARCHIVE criteria
DS6/4.2	Internal committees – meeting, discussion and decision papers	The activity of establishing and managing internal bodies that direct the overall management of the organisation.	Agenda, paper and minutes of senior management meetings; emails, minutes and memos between senior managers that discuss the overall management of the organisation.	<b>Archive</b>	Refer to legislation or to National Archives rules/regulations for how long records should be kept before transfer to Archives	Records that are required for long-term accountability reasons; Records that provide evidence of major decisions of government departments

Ref no.	Activity	Description of activity	Examples of records (note that this is not a complete list)	Disposal action	Recommended minimum retention period (once records are inactive)	Appraisal reason/disposal criteria
DS6/5.1	Legislation	The activity of advising on and assisting with the development of laws and regulations.	Briefs, letters, emails, minutes and other correspondence with the Minister's office regarding legislation; drafting instructions prepared for the Attorney General; agenda, papers and minutes of consultation meetings and forums.	<b>Archive</b>	Refer to legislation or to National Archives rules/regulations for how long records should be kept before transfer to Archives	Records that are required for long-term accountability reasons
DS6/6.1	Parliamentary liaison	The activity of communicating with Ministers, Cabinet, and the Parliament	Briefing papers and reports; letters, emails, minutes and other correspondence with the Minister or his or her staff; drafts of speeches.	<b>Archive</b>	Refer to legislation or to National Archives rules/regulations for how long records should be kept before transfer to Archives	Records that are required for long-term accountability reasons; Records that provide evidence of key events that are significant to a particular government department.
DS6/7.1	Planning	The activity of developing strategies and systems to manage the organisation's overall directions and activities.	Working papers and drafts of plans; agenda, papers and minutes of consultative planning meetings.	<b>Archive</b>	Refer to legislation or to National Archives rules/regulations for how long records should be kept before transfer to Archives	Records that are required for long-term accountability reasons; Records that provide evidence of major decisions of government departments
DS6/8.1	Policy	The activity of developing and deciding on the organisation's strategic management priorities and directions.	Drafts of policies and working papers; policy proposals; research papers and reports; final policy statements.	<b>Archive</b>	Refer to legislation or to National Archives rules/regulations for how long records should be kept before transfer to Archives	Records that are required for long-term accountability reasons; Records that provide evidence of major decisions of government departments
DS6/9.1	Procedures	The activity of setting down methods of carrying out the organisation's strategic management processes and activities	Drafts and final copies of procedures manuals, handbooks and guidelines.	<b>Destroy</b>	7 years after the record is superseded	Records that are no longer required for current business and that do not fit any of the ARCHIVE criteria

Ref no.	Activity	Description of activity	Examples of records (note that this is not a complete list)	Disposal action	Recommended minimum retention period (once records are inactive)	Appraisal reason/disposal criteria
DS6/10.1	Relationship management – strategic significance*	The activity of communicating with other government bodies, including overseas governments, and NGOs, where the relationship has strategic significance	Briefings, agenda, papers and minutes of advisory board meetings; emails, minutes, letters and other correspondence about negotiating agreements with other government bodies; Memoranda of Understanding and other agreements signed with other government bodies.	<b>Archive</b>	Refer to legislation or to National Archives rules/regulations for how long records should be kept before transfer to Archives	Records that provide evidence of key events that are of significant national interest to the country or department
<b>*DEFINITION:</b>		<i>The relationship and the records created by it are significant to the department or country. See Guideline 8 Implementing the Disposal Schedule for further information</i>				
DS6/11.1	Relationship management – routine relationships*	The activity of communicating with other government bodies, including overseas governments, and NGOs, where there relationship is routine only	Emails, letters and other correspondence about relationships with other government bodies	<b>Destroy</b>	7 years after the record becomes inactive	Records that are no longer required for current business and that do not fit any of the ARCHIVE criteria
<b>*DEFINITION:</b>		<i>The relationship and/or the records created by it are routine and not of particular significance to the country or department. See Guideline 8 Implementing the Disposal Schedule for further information</i>				



This module of the *Recordkeeping for Good Governance Toolkit* was produced by the Pacific Regional Branch of the International Council on Archives with assistance from Archives New Zealand and NZAID.