TAHO
Tasmanian Archive + Heritage Office

State Records Guideline No 6

Developing a Functional Retention and Disposal Schedule

Department of Education
LINC Tasmania

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Information Security Classification

Document Development History
Build Status

Version	Date	Author	Reason	Sections
2.0	March 2015	Deborah Drinkell & Samara McIlroy	Revision	All
1.0	13 July 2005	Archives Office of Tasmania	Initial Release	All

Amendments in this Release

Section Title	Section Number	Amendment Summary
All		Guideline transferred to current template and format. Terminology updated, definitions reviewed against glossary, new ORDA procedures included.

Issued: May 2015

Ross Latham
State Archivist

1   Introduction

Prompt and orderly disposal of non-current and inactive records is essential to an accountable and efficient records management program. The most effective way of doing this is by referring to retention and disposal actions documented in Retention and Disposal Schedules.

A Retention and Disposal Schedule is a detailed and comprehensive inventory of records created, captured and stored by an agency. A Schedule provides coverage of all records created & maintained by the agency and assigns an appropriate retention period, taking into account legislative, regulatory, operational and historic values.

These comprehensive documents **MUST** be formally authorised by the State Archivist. Once authorised, the Schedule becomes a legal instrument under which your agency may dispose of its records in accordance with the Archives Act. A Schedule can be applied to:

- the implementation of automated disposal rules to current records in digital recordkeeping systems;
- records in a superseded filing system;
- records of an agency ceasing its operations; and
- large accumulations of legacy records (unless they predate 1960).

The retention and disposal recommendations documented in an authorised Retention and Disposal Schedule can be subsequently acted upon without further reference to the Tasmanian Archives and Heritage Office (TAHO). These disposal actions are formally recorded in the agency Register of Records Destroyed (see *Advice 69 - Register of Records Destroyed* for more information)[1].

Agencies **MUST** develop Retention and Disposal Schedules for all records created in the process of undertaking their particular agency functions. Agencies that undertake a range of functions may need to develop several functional Schedules.

The development of a functional Schedule involves analysing the unique business functions and activities of the agency to identify the records created and examining the legislative and regulatory framework and operational requirements to determine how long these records need to be kept. The drafting is undertaken in TAHO's web based development tool, ORDA (Online Retention and Disposal Application). Once a functional Schedule is drafted, it needs to be assessed before final authorisation by the State Archivist.

The project timetable should allow for key stages in the Schedule authorisation process, some concurrent:

- Submission of *Notification of Intention to develop a Retention and Disposal Schedule*
- Government Recordkeeping (GRK) team member allocated to the project
- Development of an agency work plan
- Satisfactory completion of preliminary documentation *(Background Information, Functions and Activities)*
- Records appraisal (includes research and consultations)
- Draft submission of your Schedule to GRK using ORDA
- Review any recommended changes by GRK team member
- Final submission in ORDA

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[1] Forthcoming advice - see http://www.linc.tas.gov.au/global/govtrecordkeeping/services/guideadvice.

- Approval of the Schedule by the State Archivist

> Developing a functional Schedule is a major project and should be undertaken using the standard project management methodology. The Office of eGovernment - Department of Premier and Cabinet, has developed a set of project management tools to assist project participants working within Tasmanian Government projects[1].

1.1 Purpose

The Tasmanian Archives and Heritage Office (TAHO) is responsible under the Archives Act 1983 for identifying State records that have enduring value as State Archives and for authorising retention periods for all other State records, thereby ensuring this information is retained as long as it is required. This is normally undertaken through applying records retention and disposal recommendations contained in Retention and Disposal Schedules.

This guideline is to provide information about, and stipulate the process to be followed for developing a function based Schedule for authorisation by the State Archivist.

To ensure full coverage of all of the records of Tasmanian Government, TAHO issues a number of General Retention and Disposal Schedules to cover the records common to more than one agency. For example, the *Disposal Schedule for Records of Common Administrative Functions (DA No. 2157)* authorises the disposal of a range of administrative records which are common to most agencies.[2]

1.2 Authority

This guideline is issued under the provisions of Section 10A of the *Archives Act 1983*. Guidelines issued by the State Archivist under this Section set standards, policy, and procedures relating to the making and keeping of State records. This section also requires all relevant authorities to take all reasonable steps to comply with these guidelines, and put them into effect.

Keyword	Interpretation
MUST	The item is mandatory.
MUST NOT	Non-use of the item is mandatory.
SHOULD	Valid reasons to deviate from the item may exist in particular circumstances, but the full implications need to be considered before choosing this course.
SHOULD NOT	Valid reasons to implement the item may exist in particular circumstances, but the full implications need to be considered before choosing this course.
RECOMMENDS RECOMMENDED	The item is encouraged or suggested.

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[2]A list of current Schedules is available on the GRK website. Copies can be downloaded at http://www.linc.tas.gov.au/global/govtrecordkeeping.

'MUST' and 'MUST NOT' statements are highlighted in capitals throughout the Guideline. Agencies deviating from these MUST advise TAHO of the decision to waive particular requirements.

Agencies deviating from a 'SHOULD' or 'SHOULD NOT' statement MUST record:

- the reasons for the deviation,
- an assessment of the residual risk resulting from the deviation,
- the date at which the decision will be reviewed, and
- whether the deviation has management approval.

Agencies deviating from a 'RECOMMENDS' or 'RECOMMENDED' requirement are encouraged to document the reasons for doing so.

2   Initial steps

The R&DS is drafted in TAHO's web based development tool, ORDA. In ORDA, records are grouped into record classes, identified within the contextual framework of the agency's functions and activities, and assigned the appropriate disposal action. Prior to beginning work on drafting your Retention and Disposal Schedule in ORDA you **MUST** submit the following documentation:

1) *Notification of intention to develop a Retention and Disposal Schedule[3]*: Agencies submit this during the planning phase to initiate the Schedule project, discuss project timelines and enable assignment of a GRK team member. Your GRK team member will provide guidance to the agency during all stages of the project.

2) *Background Information:* The first step in developing a Retention and Disposal Schedule is identifying all the records in all formats and locations, including business systems, held by the agency that need to be covered in the Schedule, as well as identifying recordkeeping requirements in any relevant legislation, standards or directives that impact the agency. This is in the form of an Information Asset Register and Legislative Check. Your GRK team member will send the template for this step after receipt of a *Notification of Intention*.

3) *Functions and Activities:* Once you understand what records need to be covered in the Retention and Disposal Schedule, you then identify the business functions carried out by the agency and the activities carried out to support each business function. This should be documented in the template provided by your GRK team member for submission.

When all of this documentation has been reviewed by GRK, the agency is given access to ORDA. The responsible Agency Editor **MUST** use this tool to submit the draft Retention and Disposal Schedule to GRK.

ORDA has been designed specifically for this purpose. It is accessible via a common web browser and provides outputs as Word documents, Text or XML. A User Manual and Quick Tips Library have been developed to assist agencies with drafting and submitting their Schedule in ORDA[4].

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[3] See Developing a Retention + Disposal Schedule: http://www.linc.tas.gov.au/global/govtrecordkeeping/services/developing-a-retention-disposal-schedule

[4] http://www.linc.tas.gov.au/global/govtrecordkeeping/services/developing-a-retention-disposal-schedule/orda

Agency Editors **SHOULD** attend the relevant TAHO training course "Developing an Agency Retention and Disposal Schedule".

2.1 Notification of Intention to Develop a Retention and Disposal Schedule

Submission of this form alerts GRK to the fact that you plan to develop your Schedule. We can then allocate a GRK team member to the project and schedule it into the GRK work-plan.

The form should describe the scope of the project, who is involved and an indicative timeline. Once GRK has given approval to proceed with the project, some key information about the agency's records and information about organisational context needs to be gathered, documented and submitted by the Agency Editor. This is covered in the next steps.

2.2 Background Information

The first steps in developing a Retention and Disposal Schedule is identifying all the records held by the agency that need to be covered in the Schedule, as well as identifying recordkeeping requirements in any relevant legislation, standards or directives that impact the agency. This is in the form of an Information Asset Register and Legislative Check. For more about these processes, see *Advice 39 - Developing an Information Asset Register* and *Advice 36 - Legislative Mapping for Information Managers*[5].

This research should be documented in *TEMPLATE 2 - Background Information* which **MUST** be submitted to Government Recordkeeping (send to GRK@education.tas.gov.au).

2.3 Functions and Activities

Defining the unique business functions and activities of your agency is the final key task you **MUST** undertake before drafting the Schedule in ORDA. This task is to conduct analysis and identify:

- the goals and strategies of the agency
- the broad functions of the agency which support the pursuit of these goals and strategies
- the activities of the agency which constitute the functions

This should be documented in *TEMPLATE 3 - Functions and Activities*. This list, containing all the unique functions and activities undertaken by the agency, **MUST** be submitted to Government Recordkeeping (send to GRK@education.tas.gov.au). All functions and activities **MUST** have scope notes which provide clear definitions of each function and activity, and where relevant, include cross references to related terms.

Remember, you only need to focus on the functional records which document the core business activities that are unique to your agency. The disposal of administrative records common across several or all government agencies is already authorised by General Retention and Disposal Schedules issued by TAHO. The following table[6] provides examples to assist in understanding the difference between functional and administrative records:

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[5] http://www.linc.tas.gov.au/global/govtrecordkeeping/services/guideadvice
[6] The scope notes have been truncated and are intended as examples only.

Agency	Unique Functions	Common Administrative Functions
TAHO	GOVERNMENT RECORDKEEPING is the function of developing and administering recordkeeping standards, policies and procedures to ensure compliance with the Archives Act 1983 and authorising the disposal of records of State and local government organisations.	INFORMATION MANAGEMENT is the function of managing the agency's information resources. Includes creating, capturing, registering, classifying, indexing, storing, retrieving and disposing of records and developing strategies to manage records.
Marine and Safety Tasmania (MAST)	MARINE COMMUNICATIONS is the function of managing the marine communications network in Tasmanian Waters.	TECHNOLOGY AND TELECOMMUNICATIONS is the function of developing or acquiring, testing and implementing applications and databases to support the business needs of an agency to capture, store, retrieve, transfer, communicate and disseminate information through automated systems.

This functional analysis may also be represented as a hierarchical model of the relationship between the agency's functions, activities and transactions (this is also known as a Business Classification Scheme or BCS)[7]. The BCS model is arranged so that:

- the top level represents the business function
- the second level is represents the activities that constitute the function

If you decide to use the business classification scheme layout, it may be easier to see if there are any inconsistencies or overlaps in your analysis. This ensures that:

- each function and activity has a defined scope
- the scope of each function mutually excludes the other functions (including any common administrative functions covered by the *Disposal Schedule for Records of Common Administrative Functions – DA No. 2157*)
- the combined functions account for all of the business the organisation carries out

Because gaining practical understanding of the agency's business functions and activities is an integral part of the appraisal process, it is important that this functional analysis is defined and submitted to GRK before the Schedule is drafted in ORDA. A review of the functions and activities prior to commencing Schedule development will enable the GRK team member to suggest adjustments before you begin detailed appraisal and commence drafting each disposal class.

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[7]This BCS is not to be confused with the BCS that is used as your agency file plan, which may be different.

2.4 ORDA access

After the initial documentation has been reviewed and approved by GRK, your agency is given access to the web based Schedule development tool, ORDA. This is the software that the Agency Editor **MUST** use to identify and document appraisal decisions as part of the drafting process. A number of resources have been developed to assist agency staff using ORDA for the first time. These include a User Manual and a series of shorter 'how to' documents under Quick Tips available on the GRK website[8].

3 Appraisal of records

As described in the Australian Standard for Records Management (AS ISO 15489), appraisal involves analysing the business activities of an organisation to identify what records should be created and how long they need to be kept. To appraise records effectively, it is necessary to understand the social, business and administrative context in which the records were created. This may include why the agency was created, its relationship with other organisations, and its core business and administrative functions.

Appraisal may be undertaken for a variety of reasons, including:

- compilation of a functional thesaurus to manage and provide access to records
- development of a Retention and Disposal Schedule covering the functional records created by the agency

Recordkeeping Advice No. 2 – All about Appraisal describes the Appraisal process and can be accessed on the website.[9]

3.1 Layout of the Schedule

The arrangement of the Schedule in ORDA (and in the final authorised version) reflects the hierarchical arrangement of the functions and activities as follows:

- Functions, arranged in alphabetical order,
- Activities constituting each function, arranged in alphabetical order under the relevant function,
- Disposal Classes listed under each activity, usually longest retention period first.

Agencies are responsible for importing or manually entering functions and activities into ORDA. If you have compiled the functions and activities into a BCS structure (described in Section 2.3), this can quite easily be imported into ORDA. During this process, each function and activity will automatically be allocated a number in ORDA. As each disposal class including disposal justifications are added, they will inherit the number of the appropriate function/activity pair. This number may change during the drafting process as disposal classes are removed or added.

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[8] http://www.linc.tas.gov.au/global/govtrecordkeeping/services/developing-a-retention-disposal-schedule/orda
[9] http://www.linc.tas.gov.au/global/govtrecordkeeping/services/developing-a-retention-disposal-schedule

3.2 Drafting disposal classes

A disposal class is a group of records that document the same activity or transactional process, and have the same disposal action. The terminology used to describe the disposal class **SHOULD** reflect the terminology used in the agency and **SHOULD** be easily understood by agency and GRK personnel. The description **MUST** be accurate, concise and unambiguous. It **MUST** clearly identify the records and distinguish them from records included in other disposal classes. *Recordkeeping Advice No. 13, Writing Disposal Classes* provides advice on formulating disposal classes[10].

3.3 Disposal justifications

To provide the disposal justification for groups of records which will become disposal classes in ORDA you will need to identify what recordkeeping requirements impact on your agency's records. *Recordkeeping Advice No. 2 – All about Appraisal* provides more information about identifying recordkeeping requirements in order to determine how long records should be retained to meet regulatory, business and stakeholder requirements.

To ensure accountability, the process of identifying recordkeeping requirements for making disposal justifications **MUST** be well documented in ORDA for each disposal class. This detail is required to substantiate the disposal recommendations in the schedule submitted to the State Archivist. It is **RECOMMENDED** that agencies export the disposal justifications for each disposal class from ORDA for their own internal record.

These appraisal notes **MUST** be entered in ORDA in the Description field of the Disposal Justification element. For disposal classes where the records are considered PERMANENT to be retained as State Archives, at least one appraisal value **MUST** be selected in the Archival Justification field (there is an option to assign more than one appraisal value). See *Appraisal Statement for State records required as State Archives[11]* for an explanation of these values. For records appraised as having TEMPORARY status, appraisal values **MUST NOT** be assigned.

3.4 Status and disposal action

All disposal classes have either 'PERMANENT' or 'TEMPORARY' status.

All disposal classes identified in the Schedule as having TEMPORARY status **MUST** have a disposal action applied. This is the earliest authorised time for their destruction. These disposal actions specify the length of time for which the record **MUST** be retained before it can be destroyed under this authorisation. These are specific events called 'disposal triggers' that are pre-loaded in ORDA and are sourced from the ADRI glossary[12]. For example:

- destroy x years/months after action completed (which means after the date of the last transaction)
- destroy x years/months after reference use ceases

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[10] See http://www.linc.tas.gov.au/global/govtrecordkeeping/services/developing-a-retention-disposal-schedule
[11] http://www.linc.tas.gov.au/__data/assets/pdf_file/0006/424851/Appraisal-Statement-for-State-records-required-as-State-Archives-docx.pdf
[12] The Australasian Digital Recordkeeping Initiative (ADRI) Glossary of Disposal Triggers is a reference resource to define the terms and meanings of commonly used triggers in disposal authorities issued by ADRI member institutions

- destroy x years/months after (specific event such as expiry of lease, when approval ceases)

NOTE: Where the generic trigger 'Action completed' is used, the agency will need to translate the trigger into actual business events in their recordkeeping / business systems environment.

For disposal classes identified as having PERMANENT status, it is obviously not necessary to include retention periods in the disposal action.

4 Submission of the draft Retention and Disposal Schedule

There are four stages in the process of obtaining approval for a functional Retention and Disposal Schedule:

- The first stage is the collation of required documentation for submission to GRK in preparation for the development phase of the project (the Templates covered in Section 2).
- The second stage is the drafting process in ORDA.
- The third stage involves reviewing the draft in collaboration with an assigned GRK team member
- The final stage will result in the submission of a final agreed draft for approval and authorisation by the State Archivist.

If agencies are intending to utilise specialist software tools to develop the disposal schedule in-house, the suitability of the report formats and outputs of the software should be discussed with the GRK team member before work commences. This is so that an appropriate format can be determined by the agency for import into ORDA.

The draft Retention and Disposal Schedule will be reviewed by an assigned GRK team member. Following an initial assessment, the GRK team member will provide comments and request further information or explanation from the agency representative. The Agency Editor or representative will need to respond to these comments and submit revisions with justification for any revisions. This process may be repeated. Typically the review process may take several months. Timing will depend on:

- the stage of development of the draft schedule when it is first submitted for review
- the complexity of the schedule
- the quality of the appraisal notes submitted
- how many changes are required to finalise the draft schedule
- how many draft schedules from other agencies have been submitted for review (schedules are usually reviewed in order of receipt)

5 Schedule introduction and interpretation sections

The Introduction and Interpretation sections form part of the context, scope and background to the Retention and Disposal Schedule. Standardised information has been pre-populated in the Context elements within ORDA, which should suffice for most schedules. If any special instructions need to be included in the disposal schedule, these should be discussed with GRK team member, who will provide advice on adding to the Context elements within ORDA. For example, if the Schedule covers only a specific function or a specific outsourced activity, this must be described in this section of the Schedule.

6 Authorisation and issue of the Schedule

When both GRK and the Agency Editor agree on a final draft, the schedule will be forwarded to the GRK Manager for endorsement, prior to formal submission through ORDA to the State Archivist for approval and authorisation. Either the GRK Manager or the State Archivist may request further clarification or changes to the schedule during this part of the review process. When the State Archivist approves the schedule, it will be formally issued and the agency will receive confirmation via email from the State Archivist. It will then be published on the GRK website.

7 Checklist

Compliance checklist		Yes ✓	No ✗
1	Contact has been made with the Tasmanian Archive and Heritage Office to discuss the proposed timetable using the *Notification of intention to develop a Retention and Disposal Schedule* and Template 2 - *Background Information* has been sent to the agency to complete.		
2	The agency and GRK agree on a project timetable which allows for key stages in the Retention and Disposal Schedule development process.		
3	A comprehensive legislation mapping document and Information Asset Register (IAR) have been submitted to GRK for consideration as the framework for the functional records disposal schedule using the Template 2 -*Background Information*		
4	The GRK review of the IAR and legislation check is completed and Template 3 - *Functions and Activities* is sent to the agency to complete.		
5	A comprehensive *Functions and Activities* list and associated scope notes has been submitted to GRK before proceeding with drafting of the schedule within ORDA		
6	ORDA access has been approved and functions and activities and associated scope notes have been loaded into ORDA.		
7	The Schedule is developed in ORDA or other approved software to import into ORDA.		
8	The first version of the draft schedule is submitted to the GRK team member using the workflow within ORDA for review. If using special software, contact GRK to discuss importing requirements.		
9	The GRK team member reviews the first draft in ORDA and required revisions are submitted back to the Agency Editor.		
10	Agency has responded to comments or questions raised by the GRK team member in relation to the draft schedule and submitted revisions and amendments in ORDA as required. This stage may be repeated depending on the stage of the development of the draft and the quality of the information supplied		
11	Any special instructions that need to be included in the context, scope and background of the schedule are brought to the attention of the GRK team member during schedule development within ORDA.		
12	Both the GRK team member and the Agency Editor agree on a final draft, and the schedule has been forwarded to the GRK Manager for endorsing		
13	Clarifications or changes requested by the GRK Manager or the State Archivist have been actioned and formal submission has been made through ORDA to the State Archivist for approval and authorisation.		

8   Definitions

Agency - Refers to: (a) a department of the State Service established under the State Service Act 2000; or

(b) a department or service of the State that does not form part of the State Service –

and includes any department which would be a department referred to in paragraph (a), or would be a department or service referred to in paragraph (b), but for the fact that it has ceased to exist, or has been merged with or superseded by some other body;

local authority means any –

(a) council; or

(b) body corporate established by or under an Act or in the exercise of prerogative rights of the Crown and having jurisdiction limited to a district, locality or part of the State;

May also be used to refer to Government Business Enterprises (GBE's) and government owned companies

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

Disposal - A range of processes associated with implementing appraisal decisions. These include the retention, deletion or destruction of records in or from recordkeeping systems. They may also include the migration or transmission of records between recordkeeping systems, and the transfer of custody or ownership of records.

Permanent records - records that must be transferred to the Tasmanian Archive and Heritage Office for retention as State archives.

Record - Information created, received, and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transaction of business.

Relevant authority - means the Secretary or head of a Government department or agency, or the person directly responsible to the Minister concerned for the administration and direction of that department, service; or body. It means, in relation to a State authority or a local authority that is incorporated, that authority; or in relation to a State authority or a local authority that is unincorporated, the secretary, clerk, or other principal executive officer of that authority.

Series - Those records or archives having the same provenance which belong together because:

- They are part of a discernible filing system (alphabetical, numerical, chronological, or a combination of these)
- They have been kept together because they result from the same activity, or
- They are of similar formats and relate to a particular function

Temporary records - Records of no enduring value that can be sentenced for destruction.

Further Reading

Appraisal Statement for State records required as State Archives

Retention and disposal of State records (2005: Guideline 2)

Agency determination of access restrictions (2005: Guideline 4)

All about Appraisal (2015: Advice 2)

Writing disposal classes (2005: Advice 13)

Getting started on the development of an agency functional disposal schedule (2012: Advice 28)

*TAHO Guidelines and Advices may be accessed via the GRK website[13]

ORDA Quick Tips Library[14]

ORDA User Manual [15]

Further Advice

For more detailed advice please contact Government Recordkeeping Tasmanian Archive and Heritage Office

91 Murray Street
HOBART TASMANIA 7000
Telephone: 03 6165 5581
Email: grk@education.tas.gov.au

Acknowledgements

State Records Office of WA, Developing a Disposal Authority, August 2014[16],

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