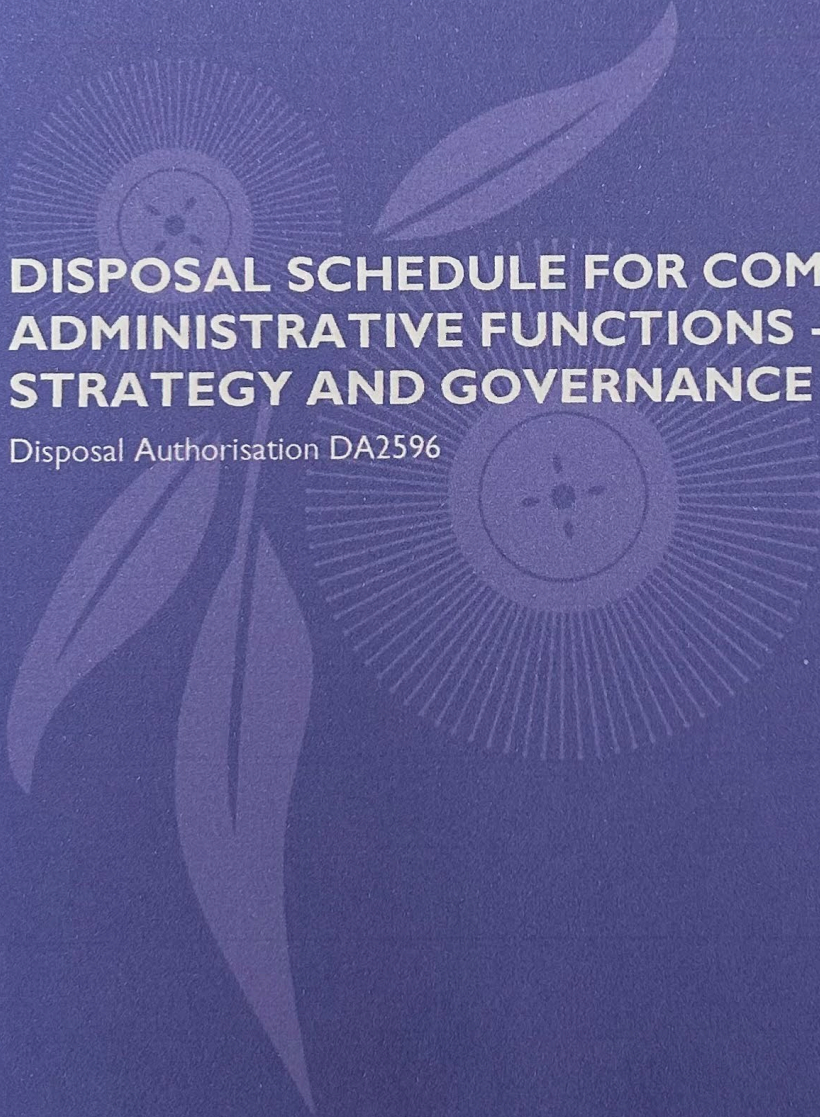


Office of the
State Archivist

A stylized graphic in shades of purple and blue, featuring two sun-like symbols with radiating lines and several leaf-like shapes, positioned behind the text on the left side of the slide.

**DISPOSAL SCHEDULE FOR COMMON
ADMINISTRATIVE FUNCTIONS -
STRATEGY AND GOVERNANCE**

Disposal Authorisation DA2596

Common Administrative Functions (CAF): Workshop 18 March 2026

Feedback and discussion on drafts:

DA2596 Strategy & Governance

DA2594 Human Resources (HR)

DA2597 Finance & Procurement

Agenda



10.00am Welcome



DA2596 Strategy & Governance



12.00pm Lunch and Networking



DA2594 Human Resources



DA2597 Finance & Procurement



Workshop concludes 3.00pm

Common Administrative Functions (CAF) Project Approach

- Replacement for DA2157 (approx. 250 pages)
- Remove duplication, fill gaps, update and refresh
- Callout via 'On the Record' newsletter for any issues, comments or suggestions
- Reversal of usual approach: produce discussion drafts first, then consult.
- Update drafts, circulate for comment via OSA website with notice in 'On the Record' inviting review. (Workshop attendees emailed.)
- Issuing 6 new Common Administrative Function (CAF) Disposal Authorisations (DAs):
 - DA2594 Human Resources
 - DA2595 External Relations
 - DA2596 Strategy & Governance
 - DA2597 Finance & Procurement
 - DA2598 Information Management & Systems
 - DA2599 Property & Fleet Management
- Upcoming issue of General Disposal Authority (GDA) for Research Management (current UTAS project)
- Potential for future issue of GDAs covering:
 - Major Project Management – large, complex, multi-agency/multi-jurisdiction etc.
 - Cultural Collections (Museums and Galleries)

Some quick appraisal queries/ general responses to feedback

- What if policy or organisational charts change frequently – do they still all get Permanent retention?
 - Depends on the nature of the change. In general, anything that needs to go up to the Executive Committee level or equivalent for approval should be Permanent. Minor adjustments – class 1.4 (new dot point added)
- Do answers to internal queries about templates or processes for policy development fall under class 1.4 – advice re corporate administration?
 - No, straightforward answers to general questions about the mechanics of templates and process steps etc. are not intended to be covered here.
- We had a few comments from agencies about particular records they would keep/have kept for longer
 - Retention periods are minimums only. Only required to promptly destroy if there are other considerations such as privacy/personal information in play.
- We had some suggestions for preferred terms/better wording etc.
 - We won't go into this level of feedback in the workshop. If there's an issue, we'll be back in touch to discuss.

DA2158 Short-term Records

This DA2158 Short-term Records will be updated once CAF reviews are complete.

We are collecting changes to be made:

- Unsolicited resumes to be added
- This note will be removed from class 1.1.6
 - Note: This class does not include drafts, working papers and background notes relating to the development of internal policy or significant projects or recordings of formal proceedings. See the relevant disposal schedules for these records.
 - Recordings of meetings – those taken as an alternative to taking minutes inherit the retention of the minutes. Those taken as an aid to taking minutes (i.e. used to check that all the relevant conversation was captured) are included in DA2596 Strategy & Governance as temporary.
- Credit card authorisations taken out of class 1.1.7 – ‘ref ceases’ is open to interpretation – now in classes 1.3 and 1.4 with explicit requirements. Also, broader definition for all payee card/account types.
- Something to cover informal ‘how to’ internal queries amongst staff – these build up in email accounts
- Can delivery dockets and other transitory information for procurement go into DA2158 Short-term Records?

DA2596 Strategy & Governance

Feedback received:

- Separate Establishment/Machinery of Government (MoG) change and Governance
- Why do records relating to organisational structure and changes appear under both Governance and in DA2594 Human Resources?
- Should Legal Services be rolled in with Governance?
- How is Ministerial reporting/briefing handled?
- Where are policies?
- What is the relationship between MoG changes here and DA2563 Department of Treasury and Finance responsibilities for merger, transfer, or closure of Government businesses etc.
- How are legacy records of abolished entities handled? Are they to be covered by CAF DAs?
- Several suggestions for information under risk and audit to be reduced
 - Risk registers, risk review reports, formal acceptance extreme risks, fraud/corruption control plans : Suggested Perm -> 5 years
 - Internal audit charter, sig/high-risk audit findings : Suggested Perm -> 7 years
 - Detailed high or extreme risk overviews, compliance attestations submitted externally : Suggested 15 -> 5 years
 - Identification of risks, whole of agency risk reviews, scenario planning etc. to test risk, devt of internal risk charter, devt of fraud/corruption plans : Suggested 7 Years -> 5 years

Suggested New Array of Function Sections

To accommodate:

- Relationship to General DA2508 Statutory Governing Bodies
- Coverage of Corporate Governance (as opposed to Council meetings) for Local Govt
- Standards Setting
- Feedback received

the following altered array of functional sections is proposed.

1. Establishment and Machinery of Government Changes
2. Management of Statutory Governing Bodies (currently DA2508) (Boards, Tribunals, Commissions, Panels, Working Groups, Advisory Councils)
3. Corporate Governance (from executive management and strategic committees down to staff meetings etc.)
4. Standards Setting (new – based on other jurisdictions, C'th, Vic, NSW etc.)
5. Legal Services
6. Strategy, Planning and Reporting
7. Risk, Audit and Compliance Management

Notes from Workshop:

- Proposed new structure positively received – further comments on content once presented in the next draft
- Agreed with suggested inclusion of statutory governing bodies and standard setting
- Local govt representatives will need to see draft DA 2596 for Council Governance and Administration at the same time (this covers the records of Council as an elected governing body)

Notes Following Workshop:

- Standards Setting function will instead appear in DA2595 External Relations as the standards, guides and other formal documentation covered by this class are directed towards external audiences e.g. the industry being regulated by the agency, or the cohort of the general public dealing with/receiving services from the agency

Organisational Structure and Restructure Information

Currently from draft DA2596 Strategy & Governance

Class 1.1 : Permanent records which

- document final approved organisational charts and governance structure diagrams

(These are part of establishing the agency or undertaking significant change e.g. following a MoG change.)

Class 1.3 : 15-year records of

- implementation of changes to agency governance and reporting structures and/or the organisational structure

(These make the changes falling out of the above.)

Class 3.1 : Permanent records of

- major whole-of-agency restructuring strategies

(These arise when agency is directed to fix a problem (e.g. top-heavy salary expenditure), and an approach to fixing it needs to be devised – feeds into the charts and diagrams in class 1.1)

Currently from draft DA2594 Human Resources

Class 1.3 : 7-year records documenting

- creation, variation, abolition, transfer or reclassification of positions and assigned duties. Includes work value reviews of roles and their resolution.

(These often happen independently of changes to organisational structure and are a standard HR activity.)

Notes from Workshop:

- Distinction between the records in 1.1, 1.3 and 3.1 OK.
- Also OK with inclusion of the review/change/update of positions and roles in DA2594 Human Resources.
- Would be good to include some explanatory notes re this in a guideline.

Positioning of Legal Services

Hypothesis.

The function of governing the agency is distinct to the function of providing legal services into and across the agency, and therefore separate disposal coverage is a better fit.

What are the thoughts and views of attendees?

- Is it intuitive to look under Corporate Governance to find coverage of legal advice and matters?
- Would incorporation of legal services content into corporate governance classes make them too long?
- Legal services teams are often supporting the unique functional responsibilities of agencies e.g. prosecutions, appeals, service of notices, etc.
- Is there a net benefit we are unaware of?

Notes from Workshop:

- Mixed opinions on this in terms of how close (or not) the two functions are – varies across agencies.
- In general, it was agreed that combining the two functions would result in long unwieldy class descriptions, therefore it is better to leave them separate.
- Agencies may need to write their own internal procedures to clarify the association if the two functions overlap significantly in terms of staff performing a mix of governance and legal services duties e.g. if the Legal Director is also the Company Secretary in a GBE or similar.

Ministerial reporting/ briefing coverage

Ministerial reporting coverage is as follows:

- Class 3.1 (Perm) includes :
 - reports submitted to Parliament or Ministers on significant matters (including legislative initiatives) and/or executive performance
- Class 3.2 (7 years) includes :
 - monthly and quarterly key performance indicator reports (irrespective of who they go to)

Is this enough? What's missing?

In DA2157 class 7.2.1 covered Ministerial briefings under Government Relations. It is proposed to cover this function under the new DA2595 External Relations.

- What are the views of attendees on separating Ministerial reporting from Ministerial briefing, bearing in mind:
 - Ministerial reporting is primarily a record of agency activity at regular scheduled intervals (e.g. monthly, quarterly, etc.) – considered operational or compliance records (corporate governance). Could be delivered as 'dashboards' that the Ministers Office staff access.
 - Ministerial briefings are primarily ad hoc advice, analysis or recommendations to assist in Ministerial decision-making – may end up going on to Cabinet – purpose is for Ministerial decision-making or action taking (happens external to the agency, although results of decision/action will usually flow back to the agency).

Ministerial speech notes will go under DA2595 External Relations.

Notes from Workshop:

- This is OK. Further comment after release of draft DA2595 External Relations including coverage of Ministerial Briefings and speeches etc.

Policy coverage

Final approved policies are under class 1.1 (Perm) :

- document final approved organisational charts and governance structure diagrams, **policies**, directions statements and practice notes

However, if this is ambiguous or hard to find, happy to pull it out into its own dot point under Corporate Governance in the revised structure.

There is also class 1.2 (15 years) :

- detailed records of public consultation or stakeholder engagement exercises that feed into the development of **policy**

And class 1.3 (7 years) :

- change management and implementation of new/updated **policies**, practices and procedures

Notes from Workshop:

- Yes - to suggestion to separate policy out into its own dot point. This will make it easier to find.

MoG Change coverage CAF vs Treasury

The coverage in DA2596 Strategy & Governance for MoG changes cover the activities any agency affected by an **administrative arrangements order** must undertake – whether to add or remove a responsibility, make a structural change, name change, etc.

The coverage in DA2563 Department of Treasury and Finance (Treasury) relates specifically to the Government business portfolio managed by the Shareholder Policy and Markets Branch in Treasury, the portfolio being:

- Government Business Enterprises (GBEs)
- State-owned Companies (SOCs)
- subsidiaries of Government Business Enterprises and State-owned Companies.

Technically MoGs don't apply to the above – changes have to be made by legislation – not administrative arrangements orders.

However, 'peripheral' change may result from MoGs e.g. the Minister/portfolio that a Government business reports to may change.

Notes from Workshop:

- This is primarily for Department of Treasury & Finance to note as DA2563 is for Treasury use only.

Coverage of Legacy Records

The answer to this depends:

- Have the legacy records already been sentenced under applicable DAs at the time they were created?

If yes, continue to follow the sentence **unless** there has been significant change to sentencing in subsequent DAs e.g. what were temporary records are now considered Permanent, or vice versa - then re-sentencing is required.

Note: any relevant disposal freeze in place must also be applied.

- If unsentenced, what function do the legacy records arise from?

If a CAF, use the relevant CAF DA to sentence.

If a unique function, use the relevant DA for that unique function.

- What if there is no DA coverage?

If the unique function DA has expired, or there has never been DA coverage for the function, seek advice from OSA.

Notes from Workshop:

- General discussion about legacy records, issues experienced in the past with transfers, lack of agreed timeframes for ensuring metadata/index information is taken up by the receiving agency so that the transferring agency can delete its copy, etc.
- Comments about the difficulties of incorporating metadata from specialised systems that a previous responsible agency might have been using that the receiving agency doesn't have.
- Transfers of legacy hardcopy information is easier than digital – it is clearer when the transfer of ownership has occurred.
- Anecdotes of transfers that have happened, then the receiving agency asked for the metadata to be provided again some months/years later because it hadn't managed to upload it into its own systems at the time of receipt – some transferring agencies keep the metadata as a precaution, others may not be able to if specialised systems are being shut down following loss of a functional responsibility.
- OSA will consider putting out a guideline regarding MoGs, recommendations for timeframes etc.
- OSA will also have upcoming announcements about digital archiving into the Tasmanian Archives – this will reduce the amount of Permanent information being handed over in MoGs if agencies are able to progress routine transfers to the Tasmanian Archives.

Suggested reduction in retention periods for risk records

Suggestion that:

- Risk registers, risk review reports, formal acceptance extreme risks, fraud/corruption control plans : Perm -> 5 years
- Internal audit charter, sig/high-risk audit findings : Perm -> 7 years
- Detailed high or extreme risk overviews, compliance attestations submitted externally : 15 years -> 5 years
- Identification of risks, whole of agency risk reviews, scenario planning etc. to test risk, devt of internal risk charter, devt of fraud/corruption plans : 7 Years -> 5 years

Rationale is that risks change all the time, sometimes quickly, and definition of significant/high-risk vs lesser risk is subjective to an agency.

OSA position:

- Don't want to have a 7-year class and a 5-year class under the same function if there is no legal requirement to do so
- Although definition of high-risk vs lesser risk will vary across agencies depending on the nature of the 'business' and levels of exposure etc., when an agency has identified and described a significant/high-risk, and/or decided to accept an extreme risk etc. this is of long-term interest due to the impact this can have on policy, decision-making, legal cases/inquiries that arise if the risk is realised etc.

What are the thoughts of attendees on the suggested changes?

Notes from Workshop:

- General view was that the shorter retention periods didn't meet standard needs – especially for fraud/corruption control plans and for high-risk/extreme risk records.
- Acknowledged that some agencies do have a higher exposure to a wider range of risks than others – DPFEM being a key example – but the documentation still has to be produced (there will just be a lot more of it), and the volume of high-risk/extreme-risk information is part of the contextual record that shows that the agency routinely performed dangerous/complex work.
- Noted that medium and low-risks are covered by class 4.3 (7 years) – this will be the bulk for most agencies.

Questions we
had that we'd
like your
thoughts on:

- *Intellectual Property 10.09.00 in DA2157.*

Discuss whether there are any relevant common forms of IP.

Common copyright (Govt publications, policies etc) is vested in the Crown and key issues (disputes, infringements and other legal matters), are managed by the Office of Crown Law.

What elements of standard administration of intellectual property might an agency keep records of?


Where should they sit in DA2596 Strategy & Governance?

Notes from Workshop:

- Most agencies had an example of something produced that is its intellectual property relating to its unique function.
- Consensus was that each should be covered under the relevant unique functional DA.
- Question was raised about corporate branding and related logos, business/service branding etc. This will be covered under DA2595 External Relations as it relates to the public-facing identity of the agency/service.
- Use of collections – e.g. images/items held by the State Library or the Tasmanian Archives – this will be covered under Cultural (Museum and Gallery etc) Collections, and in OSA DA respectively.

DA2594 Human Resources

Feedback received:

- How to manage performance management agreements with employees?
- Do all records in 1.4 (2 years) have to be kept for such a short time – what if we refer to them for a longer period?
- Additional dot point re: psychosocial hazards to be added to function description 2.0 Health, Wellbeing and Safety 
- Management of volunteers – some perform complex/dangerous roles and can be a volunteer for decades e.g. TFS and SES volunteers. Should they be covered by DA2594 HR? If so, are the retention periods adequate to reflect this commitment?

Management of Employee Performance Management Agreements

Detailed records of performance management agreements with employees sit in class 1.3 (7 years):

- performance management and development plans and agreements with employees. Includes notes from meetings with the employee, assessment and review reports etc.

Some organisations keep these on an employees personnel file, or folder, which currently is in class 1.2 (100 years).

If so, should these agreements also be kept for 100 years? Or removed for disposal 7 years after action completed?

Answer: The agency can choose. It should consider:

- The volume of employee information it keeps, and whether this is sustainable/affordable over 100 years – a culling project may be cheaper.
- Changes in the management of employee ‘files’/information over time. You may be keeping things in folders on drives now (which would require manual culling), later you may have an employee information management system that lets you assign different retention to the various components of the employee record. You can have different approaches over time linked to the use of particular systems.

Notes from Workshop:

- Need to clarify what 'performance management' covers – meant to be annual staff development plan/KPI discussions – often with a view to approving a pay increment or bonus etc. for people successfully performing their role
- However, some interpret this as also covering discipline/complaint records – in which case retention would be too low
- Language to be adjusted accordingly and note included to exclude discipline type activity – this is covered elsewhere.
- General discussion about culling vs not culling, resource availability (or lack). Most agencies would not cull/would not be able to cull across a hardcopy collection. If it goes on the employee history file, it is likely to remain there for the full retention.
- Digital records have the advantage in that components of an employee's information can be sentenced independently yet viewed cohesively in most employee information management systems.

Retaining Employment Management Facilitative Records for longer

A number of records have been identified as facilitative in class 1.4 (2 years):

- applications to vary or establish positions and assigned duties which do not proceed
- recruitment process including recruitment campaigns, establishment of panels, interview questions and assessment of applicants, conflict of interest declarations
- exit interviews
- arrangements e.g. room bookings, calendar appointments etc. for performance management meetings/interviews
- allocation of security passes and/or keys to employees, including registers
- allegations of misconduct where no misconduct is found or proven
- arrangements for work related travel, including trip reports and other visit verification documentation submitted upon return
- establishment and promotion of employee support services e.g. parent rooms, prayer rooms, quiet rooms, as well as links to external services providers such as counsellors etc.
- arrangements to support employees (newly appointed and existing) moving from interstate
- staff suggestion scheme, including suggestions received

The retention is a minimum requirement only.

Also, agencies can define when the trigger 'action completed' is reached for their own processes – the 2 years only commences after action is completed – this may mean information ends up being kept for 3+ years in total.

If you are still routinely referring to the records, this may mean that action has not yet been completed.

Consider also if the key content of the records has been captured somewhere else e.g. important information collected in exit interviews may be reported on for action and be captured/retained elsewhere in other processes.

*Bear in mind that privacy and personal information considerations may impact the risk of retaining identifiable information for longer than required by the DA.

Notes from Workshop:

- General discussion about minimum retention
- Most agencies have examples of records they are nominating internally for longer retention – mostly for supporting longer term analysis or ‘look-back’ purposes.
- Statement of Duties (position description) – these do not meet OSA criteria for the Tasmanian Archives (Permanent records). Query whether these are required under legislation?

Research after Workshop:

- Statements of Duties (SoDs) – Ministerial Direction No.11 sets our minimum criteria for SoDs (e.g., contents, approvals, match to advertised roles/selection criteria etc). No mention is made of retention requirements.
- SoDs are directed only by Ministerial Directions issued under s17 of the *State Service Act 2000* (Tas). They are not mentioned directly in the Act, and they are not subject to State Service Commissioner Directions.
- There are no DA classes (either in DA2157 or other general/unique DAs) which specify the Permanent retention of SoDs.
- However, SoDs of Heads of Agencies or senior executive positions may occasionally be included in a broader collection of Permanent records e.g. when a new agency with new functional responsibilities is being established. SoDs may be created to demonstrate the distribution of duties across the new incoming organisational or governance structure. This is not necessary though – it is only if they are created/captured in with other Permanent Establishment records.

Management of Volunteers

We received a few comments regarding volunteers from DPFEM:

- ‘..our volunteers provide a critical service to their communities, often over many decades. ...(the length of retention) is disconcerting.’
- ‘TFS/SES volunteers perform a wide range of duties, some of them hazardous, and engage in extensive training...given high visibility in the community...would be better covered by a separate TFS/SES disposal schedule.’
- ‘..consideration should be given on whether TFS/SES Volunteers should be grouped together with ...work experience.’

DPFEM, and other similar agencies such as Ambulance Tasmania, should absolutely **NOT** use section 5.0 Volunteer Management to cover its specialised cohort of volunteers.

Unique coverage for volunteer programs with such specialised focus must be included in the unique functional DA of the responsible agency.

Management of Volunteers

To clarify this in DA2594 Human Resources the following text has been added to the function description:

“Note: The classes in this section are intended to include types of volunteer work commonly performed within Tasmanian government entities. Examples include: volunteer clerical work; front desk, information centre or tour guide work; project work in historical or cultural collections; key keeper or caretaker work for public buildings/sites in areas where the agency does not maintain a staffed office.

Agencies that use volunteers for dangerous, complex, or highly specialised work that requires training, qualifications, and/or experience to perform (such as volunteer fire fighters, emergency responders, volunteer first aid/paramedic response officers etc.) should include specific coverage for their volunteer programs in the relevant unique functional disposal authority to ensure appropriate retention periods are assigned.”

Notes from Workshop:

- Participants were comfortable with the distinction, the added note for clarity, and the need to have specialised cohorts of volunteers covered by unique function DAs.
- Some agencies will roll out a longer retention internally for any instance where a volunteer has contact with children/youth e.g. in schools, irrespective of the nature of the voluntary work they are doing.

Questions we had that we'd like your thoughts on:

1. Employee Management Class 1.3 : awards given to employees - individuals or teams. Should this be here or under staff development?
2. Employee Management Class 1.5 : Authorisations and Delegations. There do not appear to be any classes that contain authorisations in functional disposal authorities. Can they be bundled and included here as a form of common administrative record? (First dot point of class)
3. Health, Wellbeing and Safety Class 2.1. For general discussion – includes records reduced from Permanent to 30 years (records of notifiable accidents/incidents)

Notes from Workshop:

- Discussion about the range of awards to staff that might be handed out across all the agencies
- Skill or attainment recognition
- Long-service recognition
- Some have medals and honours for 'beyond call of duty'
- Some have had commemorative awards e.g. all staff got a pin or badge for a 50-year anniversary of an agency/function
- Innovation recognition – sometimes these are from external bodies
- Customer service recognition etc.
- Happy with awards generally to sit in class 1.3, with the exception of medals and honours – these may need unique DA coverage for those functions they are associated with.

Changed dot point to read “internal business achievement or service recognition awards given to employees. Does not include external awards, medals or honours.”

Notes from Workshop:

- Authorisations – general agreement to include these here. If an agency has a unique retention requirement for a particular type of authorisation it issues in relation to its unique functional duties, it can include coverage for those in its own DA.
- There is a minimum retention period set out in legislation for asbestos – participant thought it was 45 years. 30-year retention may need to be increased to meet this requirement?

Research after Workshop:

Based on Regulation 444 of the *Work Health and Safety Regulations 2022*, a minimum retention of 40 years has been set instead of 30 years.

Research after Workshop re minimum retention requirements for asbestos and similar records:

- Model Work Health and Safety Regulations:

50 Monitoring airborne contaminant levels

(2) A person conducting a business or undertaking at a workplace must ensure that the results of air monitoring carried out under subregulation (1) are recorded, and kept for 30 years after the date the record is made.

378 Health monitoring records (hazardous chemicals)

(1) A person conducting a business or undertaking must ensure that health monitoring reports in relation to a worker carrying out work for the business or undertaking are kept as a confidential record:

- (a) identified as a record in relation to the worker; and
- (b) for at least 30 years after the record is made.

388 Records to be kept (Carcinogen kept in the workplace)

(1) This regulation applies if a person conducting a business or undertaking at a workplace is authorised under regulation 384 to use, handle or store a prohibited carcinogen or restricted carcinogen at the workplace.

(2) The person must: (a) record the full name, date of birth and address of each worker likely to be exposed to the prohibited carcinogen or restricted carcinogen during the period of authorisation; and (b) keep a copy of each authorisation given to the person including any conditions imposed on the authorisation. Maximum penalty: tier G monetary penalty.

(3) The person must keep the records for 30 years after the authorisation ends.

418 Health monitoring records (Lead)

(1) A person conducting a business or undertaking must ensure that health monitoring reports in relation to a worker carrying out work for the business or undertaking are kept as a confidential record:

- (a) identified as a record in relation to the worker; and
- (b) for at least 30 years after the record is made.

444 Health monitoring records (Asbestos)

(1) A person conducting a business or undertaking must ensure that health monitoring reports in relation to a worker carrying out work for the business or undertaking are kept as a confidential record:

- (a) identified as a record in relation to the worker; and
- (b) for at least 40 years after the record is made.

DA2597 Finance & Procurement

Does anyone here have any comments or queries?

Things we'd like your thoughts on:

- *Tendering, Quotations and Procurement 03.01 Short-term Records*

Discuss including leasing and casual hire of equipment and stores in the 7-year class – previously a 1-year retention.

Should we distinguish between:

(i) different leases for assets versus equipment and stores (value? duration? not clear in DA2157); and

(ii) a lease and a casual hire agreement (appear to be similar in the definitions for equipment and stores).

Notes from Workshop:

- OK for them to be rolled together for 7-years to match financial records of the transaction.

DA2597 Finance & Procurement

Things we'd like your thoughts on:

- *04.00 Contracts Under Seal/Deeds*

Discuss DA2563 Department of Treasury and Finance - Class 03.03 second dot point (see text below). Could this point be removed from DA2563 and a cross reference to DA2597 class 4.1

(Contracts under Seal/Deeds – 15 years) be inserted instead?

Copy of DA2563 Class 3.3 (Govt insurance and risk management – medium-term records) 2nd dot point text:

“establishment and ongoing administration of contracts under seal, including successful tender, quotation submissions, contract deliverables and schedules including contracts for the Funds Actuary, Fund Administration Agent (FAA) and the Home Warranty Insurance Scheme provider.”

(Destroy 12 years after action completed.)

Notes from Workshop:

- Leave DA2563 as it is for now – these are being phased out.

DA2597 Finance & Procurement

Things we'd like your thoughts on:

- *04.00 Contracts Under Seal/Deeds*

Are contracts under seal still used? (Susan Hill)

I had this note:

'Use of a Common Seal in Tasmania is still common in many councils and State statutory corporations. Most State Government agencies either do not use, or do not usually use, a Common Seal. Beyond this, the legal status and administrative management of Contracts under Seal and Deeds as formal agreements/binding promises is largely the same, and where one term is used in this disposal authority the other may be implied.'

Any information from attendees on this?

Can this section be wrapped up into section 3.0?

Contracts under Seal/Deeds are used for 'binding promise' – often not about procurement as such. E.g. deeds of transfer for transfer or use of land arrangements between jurisdictions etc.

Notes from Workshop:

- Local Govt attendees confirmed that contracts are still signed using Council seals.
- Most agencies have changed to using deeds, although a contract under seal signed some time ago may still be in operation.
- Happy for the class to refer to both to ensure everyone has coverage for everything they may hold.

Research after the Workshop:

TasWater has a common seal under its constitution [TasWater Constitution.pdf](#)

Hydro Tasmania has a common seal it must use as a legal requirement for some transactions under the *Electricity Companies Act 1997*.

Common seals are falling out of favour, but may legally still be required in some circumstances (such as Hydro Tasmania above).

University of Tasmania has a common seal, but it is now housed in its historic collection and not in active use.

The Teachers Registration Board has capacity to have a common seal under its legislation – but is not compelled to.

DA2597 Finance & Procurement

Things we'd like your thoughts on:

- Class 6.2 Partnerships – Short-term records 7 years

Is 7 years ok? Covers statute of limitations and any financial/monetary value records that might arise.

- Section 7.0 Grants Management

Suggestion (Susan Hill) that:

7.1 Successful Grants and Funds Use (7 years) be combined with

7.2 Unsuccessful Grants (2 years) and wrapped into a single 7-year class.

Any concerns about this from others?

- Section 3.0 Tendering, Quotations and Procurement

Suggestion (Susan Hill) that class 3.2 records be divided between 3.1 and DA2158 – leaving only one 7-year class in this section. Rationale is that records are usually stored together in one file or folder anyway.

Notes from Workshop:

- Consensus that Partnerships may need more exploration – could they fall under External Relations? Not really a good fit for other Procurement classes because they are mostly used for joint activities or similar arrangements, rather than purchases.
- OK for Grants Mgt classes to be combined into a single class.

DA2597 Finance & Procurement

Things we'd like your thoughts on:

- Workers Compensation claim files – appear in both DA2594 HR and in Class 5.2 (both 30 years).

The 'claim file' in DA2954 is the return-to-work element : work plans, agreements on duties and support arrangements, ongoing medical reports about the injury and the needs – all the things that happen after the compensation claim part has been decided.

The 'claim file' in DA2597 is the insurance claim element – lodging the claim and the requested compensation amount, supporting evidence for the claim, payments made, etc.

Suggested wording to make the difference clearer?

Or do they not need to be separated? (in Local Govt the person processing claims/financial element was an insurance (finance) officer not privy to the detail of the return-to-work element/ongoing personal medical information managed by HR – they just received reports to make payments etc.)

Notes from Workshop:

- Rename the version of the workers compensation financial claim file held by the insurance/finance officer to distinguish it from the HR 'return to work' file
- Agencies that keep all the information together on one file e.g. in a network drive, can assign the appropriate retention class to cover all minimum retention lengths captured in the contents.

DA2597 Finance & Procurement

Things we'd like your thoughts on:

- Section 6.0 Partnerships

Suggestions that this be taken out of DA2597 and left to agency functional DAs.

Good idea – or can be taken up in future General Disposal Authority for Major Projects if relevant to that.

Any opinions from attendees?

Notes from Workshop:

- Discussed earlier – consider placing under External Relations
- Possible that more ‘run-of-the-mill’ partnerships will be in CAF, and those bigger, more complex partnerships e.g. associated with constructing and delivering large infrastructure projects, would be better suited to being included in a proposed Major Projects DA or similar.
- Alternatively, if an agency has a unique type of partnership it enters into as part of its unique functional responsibilities, it may be appropriate to include it in the relevant DA.

Research after Workshop:

State Archivist is not keen on the proposed Major Projects DA. It depends upon the definition of major and minor projects. Major projects were most likely a functional part of Building Tas and so this Dept would have its own schedule. It's possible that a Board or Committee would have the final say or approval on what was a major project and who had responsibility for it. It would not be based on a monetary value. It's likely to be a set criteria. Ross believes that there's already coverage for minor projects in agency specific schedules. It's the major projects that would likely be under Building Tas and we can't plan anything until we know the MoG changes.

Additional Queries and Comments:

- Discussion about the pros vs cons of having multiple schedules covering the various functional responsibilities of an agency.
- Pros: smaller shorter documents with functional titles rather than agency titles are easier to present on intranet and quicker to navigate. Generational trend in both information presentation and appraisal usage away from long complex single documents that need to be 'remembered' for use in repositories of hardcopy records, to multiple shorter documents forming a reference collection to access online for sentencing digital records, or for sentencing system workflows, folders or activities as part of system implementation/maintenance.
- Pros: Easier to review/update if a particular function is overhauled without needing to touch other functional coverage. Better suited to following functions around between agencies as MoGs make changes to agency responsibility portfolios.
- Cons: Agencies with largely static functional responsibilities (less likely to be affected by MoGs), or large legacy hardcopy collections that require physical processing may prefer a 'single source'/'fewer sources' approach to documentation of disposal coverage (although this is untested across agencies and may well vary from staff member to staff member as a personal preference)
- Cons: Can be confusing if functional titles are similar to one another, e.g. Treasury level financial management of State budget vs agency (common administrative function) financial management of agency budget.
- Argument presented for single document for all common administrative functions because 'staff get confused where functional coverage is/can't keep track of coverage', BUT a) non-IM staff ought not to be grappling directly with DAs without IM team support, and b) familiarity with all agency DA coverage is an IM team responsibility irrespective of how many documents the coverage is captured in. If an agency has 15 functional responsibilities, the IM team must be capable of appraisal of the records under all of them whether there is 1 DA document with all 15 functions covered, or 15 DA documents each with 1 function covered.

Thank you!
We appreciate your
contributions today

If you think of anything else, please email:
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