

Retention and Disposal Authority for Records of the Department of Treasury and Finance

Authority number: PROS 99/02 VAR 10



PROS 99/02 VAR 10

**Retention and Disposal Authority for Records of
the Department of Treasury and Finance**

Issued Date: 13/12/2022

Retention and Disposal Authority for Records of the Department of Treasury and Finance

Authority number: PROS 99/02 VAR 10

Variation

Variation 1

Public Records Act 1973 (Section 12)

Retention and Disposal Authority for Records of the Department of Treasury and Finance

In accordance with section 12 of the *Public Records Act 1973* (as amended), I hereby vary the Standard applying to records of the Department of Treasury and Finance, issued as Public Record Office Standard (PROS) 99/02 on 31/01/2000, as follows:

Class 4.1.1 - Tendering

Activity Class Description after the words "Calling for and assessing tenders" add the words "including data on the web site administered by the Department of Treasury and Finance for whole of Government"

This Variation shall have effect from its date of issue until 31/01/2010.

[signed]

Ross Gibbs

Keeper of Public Records

Date of issue: 05/09/2002

Retention and Disposal Authority for Records of the Department of Treasury and Finance

Authority number: PROS 99/02 VAR 10

Variation 2

Public Records Act 1973 (Section 12)

Retention and Disposal Authority for Records of the Department of Treasury and Finance

In accordance with section 12 of the *Public Records Act 1973* (as amended), I hereby vary the Standard applying to records of the Department of Treasury and Finance, issued as Public Record Office Standard (PROS) 99/02 on 31/01/2000, as follows:

Class 1.2 – Inputs into the Preparation of the State Budget

Under Examples of Records Includes the example "Hard Copy Financial Reconciliation material such as Bank Reconciliations and C Statements received from the whole of Government" is inserted.

This Variation shall have effect from its date of issue until 31/01/2010.

[signed]

Justine Heazlewood

Acting Keeper of Public Records

Date of issue: 20/06/2003

Retention and Disposal Authority for Records of the Department of Treasury and Finance

Authority number: PROS 99/02 VAR 10

Variation 3

Public Records Act 1973 (Section 12)

Retention and Disposal Authority for Records of the Department of Treasury and Finance

In accordance with section 12 of the *Public Records Act 1973* (as amended), I hereby vary the Standard applying to records of the Department of Treasury and Finance, issued as Public Record Office Standard (PROS) 99/02 on 31/01/2000, as follows:

Extension of the application of this Authority until 23/12/2011.

This Variation shall have effect from its date of issue.

[signed]

Justine Heazlewood

Director and Keeper of Public Records

Date of issue: 06/05/2009

Retention and Disposal Authority for Records of the Department of Treasury and Finance

Authority number: PROS 99/02 VAR 10

Variation 4

Public Records Act 1973 (Section 12)

Retention and Disposal Authority for Records of the Department of Treasury and Finance

In accordance with section 12 of the Public Records Act 1973 (as amended), I hereby vary the Standard applying to records of the Department of Treasury and Finance, issued as Public Record Office Standard (PROS) 99/02 on 31/01/2000, as follows:

Extension of the application of this Authority until 31/01/2012.

This Variation shall have effect from its date of issue.

[signed]

Graeme Hairsine

Acting Director and Keeper of Public Records

Date of issue: 29/10/2010

Retention and Disposal Authority for Records of the Department of Treasury and Finance

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Variation 5

Public Records Act 1973 (Section 12)

Retention and Disposal Authority for Records of the Department of Treasury and Finance

In accordance with section 12 of the *Public Records Act 1973* (as amended), I hereby vary the Standard applying to records of the Department of Treasury and Finance, issued as Public Record Office Standard (PROS) 99/02 on 31/01/2000, as follows:

Extension of the application of this Authority until 31/12/2016.

This Variation shall have effect from its date of issue.

[signed]

Justine Heazlewood

Director and Keeper of Public Records

Date of issue: 05/06/2012

Retention and Disposal Authority for Records of the Department of Treasury and Finance

Authority number: PROS 99/02 VAR 10

Variation 6

Public Records Act 1973 (Section 12)

Retention and Disposal Authority for Records of the Department of Treasury and Finance

In accordance with section 12 of the *Public Records Act 1973* (as amended), I hereby vary the Standard applying to the records of Department of Treasury and Finance, issued as Public Record Office Standard (PROS) 99/02 on 31/01/2000, as follows:

Extension of the application of this Authority until 31/12/2017.

This Variation shall have effect from its date of issue.

[signed]

Justine Heazlewood

Director & Keeper of Public Records

Date of issue:03/02/2017

Retention and Disposal Authority for Records of the Department of Treasury and Finance

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Variation 7

Public Records Act 1973 (Section 12)

Retention and Disposal Authority for Records of the Department of Treasury and Finance

In accordance with section 12 of the *Public Records Act 1973* (as amended), I hereby vary the Standard applying to the records of Department of Treasury and Finance, issued as Public Record Office Standard (PROS) 99/02 on 31/01/2000, as follows:

Extension of the application of this Authority until 31/12/2018.

This Variation shall have effect from its date of issue.

[signed]

Justine Heazlewood

Director & Keeper of Public Records

Date of issue: 22/09/2017

Retention and Disposal Authority for Records of the Department of Treasury and Finance

Authority number: PROS 99/02 VAR 10

Variation 8

Public Records Act 1973 (Section 12)

Retention and Disposal Authority for Records of the Department of Treasury and Finance

In accordance with section 12 of the *Public Records Act 1973* (as amended), I hereby vary the Standard applying to the Retention and Disposal Authority for the Records of Department of Treasury and Finance, issued as Public Record Office Standard (PROS) 99/02 on 31/01/2000, as follows:

Extension of the application of this Authority until 31/12/2021.

This Variation shall have effect from its date of issue.

[signed]

Justine Heazlewood

Director & Keeper of Public Records

Date of issue: 19/11/2018

Retention and Disposal Authority for Records of the Department of Treasury and Finance

Authority number: PROS 99/02 VAR 10

Variation 9

Public Records Act 1973 (Section 12)

Retention and Disposal Authority for Records of the Department of Treasury and Finance

In accordance with section 12 of the *Public Records Act 1973* (as amended), I hereby vary the Standard applying to the Retention and Disposal Authority for the Records of Department of Treasury and Finance, issued as Public Record Office Standard (PROS) 99/02 on 31/01/2000, as follows:

Extension of the application of this Authority until 31/12/2022.

This Variation shall have effect from its date of issue.

[Approved]

Justine Heazlewood

Director & Keeper of Public Records

Date of issue: 13/12/2021

Retention and Disposal Authority for Records of the Department of Treasury and Finance

Authority number: PROS 99/02 VAR 10

Variation 10

Public Records Act 1973 (Section 12)

Retention and Disposal Authority for Records of the Department of Treasury and Finance

In accordance with section 12 of the *Public Records Act 1973* (as amended), I hereby vary the Standard applying to the Retention and Disposal Authority for the Records of Department of Treasury and Finance, issued as Public Record Office Standard (PROS) 99/02 on 31/01/2000, as follows:

Extension of the application of this Authority until 30/06/2024.

This Variation shall have effect from its date of issue.

[Approved]

Justine Heazlewood

Director & Keeper of Public Records

Date of issue: 13/12/2022

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Retention and Disposal Authority for Records of the Department of Treasury and Finance

Authority number: PROS 99/02 VAR 10

Retention and Disposal Authority for Records of Department of Treasury and Finance

Retention and Disposal Authority No	PROS 99/02 VAR 10
Scope	This RDA authorises the disposal of records created by the Department of Treasury and Finance.
Status	Issued by Keeper
Issue Date	13/12/2022

Retention and Disposal Authority for Records of Department of Treasury and Finance

Authority number: PROS 99/02 VAR 10

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List of Functions and Activities covered

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Authority number: PROS 99/02 VAR 10

Introduction

Purpose of this Authority

The purpose of this Authority is to provide a mechanism for the disposal of public records in accordance with the *Public Records Act 1973*. The Authority:

- identifies records which are worth preserving permanently as part of Victoria's archival heritage
- prevents the premature destruction of records which need to be retained for a specified period to satisfy legal, financial and other requirements of public administration, and
- authorises the destruction of those records not required permanently.

Context of this Authority

Public Record Office Victoria Standards

This Authority should be used in conjunction with the Standards issued by the Keeper of Public Records under Section 12 of the *Public Records Act 1973*. Copies of all relevant PROV standards, specifications and regulatory advice can be downloaded from www.prov.vic.gov.au. These documents set out the procedures that must be followed by Victorian public offices.

Disposal of records identified in the Authority

Disposal of public records identified in this Authority must be undertaken in accordance with the requirements of Public Record Office Standard PROS 10/13 *Disposal*.

It is a criminal offence to unlawfully destroy a public record under s 19(1) of the *Public Records Act 1973*.

The destruction of a public record is not unlawful if done in accordance with a Standard established under s 12 of the *Public Records Act 1973*.

This Standard (also known as an Authority) authorises the disposal of public records as described within its provisions. However, disposal is **not** authorised under this Standard if it is reasonably likely that the public record will be required in evidence in a current or future legal proceeding.

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For the purposes of this Retention and Disposal Authority, a 'legal proceeding' has the same meaning as the *Evidence (Miscellaneous Provisions) Act 1958*, and includes any civil, criminal or mixed proceeding and any inquiry in which evidence is or may be given before any court or person acting judicially, including a Royal Commission or Board of Inquiry under the *Inquiries Act 2014*.

If the public office identifies that public records must be retained under other applicable legislation for a period that exceeds the retention period specified under the Standards, then the longer retention period must apply.

Normal Administrative Practice

PROS 22/04 Disposal Standard authorises the destruction of some public records under Normal Administrative Practice (NAP) principles. Low value facilitative records described below are authorised for destruction by *PROS 22/04* under NAP principles:

- working documents, such as notes or calculations, used to assist in the preparation of other records
- minor drafts and transitory documents, where the content is reproduced elsewhere, and the information will not be needed to show how the work has progressed or actions approved
- minor updates of content, such as those in databases, which will not be needed to show actions, decisions, or approvals
- communications for the purpose of making minor arrangements
- duplicate copies. ephemeral material of a facilitative nature created, acquired or collected by public officers during the course of their duties.

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Transfer of records to Public Record Office Victoria

Contact Public Record Office Victoria for further information on procedures for transferring permanent records to archival custody.

Use of Other Authorities

In applying the disposal sentences set out in this Authority, reference should be made to other current Authorities where applicable. Where there is a conflict between two Authorities (for instance this Authority and the General Retention and Disposal Authority for Records of Common Administrative Functions), consult the Public Record Office Victoria for advice.

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Explanation of Authority Headings

Class Number

The class number or entry reference number provides citation and ease of reference.

Description

The description of each record class is specified in this entry. A record class is a group of records that relate to the same activity, function or subject and require the same disposal action.

Status

This entry provides the archival status of each class - either permanent or temporary.

Custody

This entry specifies whether the records are to be retained by the public office or transferred to the Public Record Office Victoria. Permanent records must be managed and transferred in accordance with PROV Standards.

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Concurrence of Public Office

This Authority has the concurrence of:

[signed]

Name: Ian Little

Position: Secretary, DTF

Date: 19/01/2000

Establishment of Standard

Pursuant to Section 12 of the *Public Records Act 1973*, I hereby establish these provisions as a Standard (also known as a Retention and Disposal Authority) applying to Department of Treasury and Finance. This standard as varied or amended from time to time, shall have effect from the date of issue unless revoked.

[signed]

Ross Gibbs, Keeper of Public Records

Date of Issue: 31/01/2000

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Authority number: PROS 99/02 VAR 10

No	Function/Activity	Description	Status	Disposal Action
1	BUDGET MANAGEMENT	The management and administration of the State's budget.		
1.1	State Budget Preparation	The planning and formulating of the Annual Budget, Mid Term Reviews and Annual Financial Statements.	Permanent	Retain as State archives
1.2	Input into the Preparation of the State Budget	Includes source material of a facilitative nature for the preparation or monitoring of the State's Budget and/or Annual Financial Statements.	Temporary	Destroy after administrative use is concluded.
2	POLICY DEVELOPMENT	Includes the development of policy for DTF or the whole of government.		
2.1	Policy Development for Whole of Government	Includes the development of whole of government strategic policies undertaken by DTF such as: <ul style="list-style-type: none"> • Accounting and Financial Policy • Management Reform Program • GST Policy • State Assets Management • Corporate Card • National Competition Policy • Government Purchasing Policy • Energy Policy • Government Fleet Management. 	Permanent	Retain as State archives
2.2	Policy Development - DTF Specific	Includes policy development and advice affecting programs and services within DTF such as:	Permanent	Retain as State archives

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No	Function/Activity	Description	Status	Disposal Action
<i>POLICY DEVELOPMENT</i>				
		<ul style="list-style-type: none"> • Taxation Revenue Policy • Risk & Insurance Management Policy • Financial Management Policy • Industrial Relations Policy. 		
2.3	Inputs into Policy Development	Includes material of a facilitative nature that assists in the preparation, analysis and distribution of policies. Includes the development of Economic and Budget projections based on economic statistics and data received from Government Departments and Government Business Enterprises.	Temporary	Destroy after administrative use is concluded.
3	CABINET BUSINESS MANAGEMENT	Submissions result from formally seeking approval from or advising Cabinet. Submissions include attachments that expand on information given in the submission.		
3.1	Submissions and Attachments	Submissions are referred to Cabinet for approval and or information. <i>Original set is held by the Cabinet Office within DPC. These records are covered by PROS 99/01 Records Disposal Schedule for the Department of Premier and Cabinet.</i>	Temporary	Destroy after administrative use is concluded.
3.2	Preparation of Cabinet Documents	Includes background material collected relating to the subject matter of the Cabinet Submission that is used to support the policy officer in assessing/drafting that submission.	Temporary	Destroy after administrative use is concluded.

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No	Function/Activity	Description	Status	Disposal Action
<i>CONTRACT AND PROJECT MANAGEMENT</i>				
4	CONTRACT AND PROJECT MANAGEMENT			
4.1	Contracting	Establishing and managing contracts for major or minor government projects, programs or services.		
4.1.1	Tendering	Calling for and assessing tenders including data on the web site administered by Department of Treasury and Finance for whole of Government.	Temporary	Destroy 7 years after contract let.
4.1.2	Significant Contracts	Establishing and managing contracts for significant ongoing government commitments such as transfer of ownership, sale of utilities and large-scale government infrastructure projects. Including previous Government's privatisation and outsourcing contracts.	Temporary	Transfer after administrative use is concluded.
4.1.3	Minor Contracts	Establishing and managing contracts for smaller scale activities, such as HR or IT consultancy contracts. These may be simple or specialty (under seal) contracts.	Temporary	Destroy 7 years after contract has expired for simple contracts or 15 years after contract has expired for contracts under seal.
4.1.4	Contract Management	Management systems that regulate and manage contracts in summary form.	Permanent	Retain as State archives
4.1.5	Contract Reporting	Supporting documentation created as a means of reporting the status of a simple contract.	Temporary	Destroy 7 years after contract has expired for simple contracts or 15

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No	Function/Activity	Description	Status	Disposal Action
<i>CONTRACT AND PROJECT MANAGEMENT - Project Management (Non Contracted)</i>				
				years after contract has expired for contracts under seal.
4.2	Project Management (Non Contracted)	Managing non-contract projects from commencement until completion.		
4.2.1	Projects Requiring the Treasurer's/Minister's Approval	The management of significant projects such as infrastructure and GBE projects on behalf of the Department or State.	Permanent	Retain as State archives
4.2.2	Projects Not Requiring the Treasurer's/Minister's Approval	Managing smaller projects for which the Treasurer's or Minister's approval is not required.	Temporary	Destroy 7 years after completion of project.
4.2.3	Monitoring and Reporting Project Progress	Informing management on the progress of projects.	Temporary	Destroy after administrative use is concluded.
4.2.4	Summary Project Management	Management of data relating to projects in summary form.	Permanent	Retain as State archives
5	CORPORATE REPORTING	Planning and reporting concerning the corporate administration of DTF or any of its Divisions or entities, including development, summaries/statistics and reports and the management of the financial responsibilities of Government Business Enterprises.		
5.1	DTF Performance	Reports and Summaries of DTF activities, that detail performance against objectives, including legislated	Permanent	Retain as State archives

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No	Function/Activity	Description	Status	Disposal Action
<i>CORPORATE REPORTING</i>				
	Reports	objectives and functions of DTF.		
5.2	Input to DTF Performance Reports	Activities that support the preparation of DTF Performance Reports. Includes: <ul style="list-style-type: none"> • Subsidiary reports and briefs • Information and reference material supplied for key target reports and summaries. 	Temporary	Destroy after administrative use is concluded.
5.3	Reporting on Financial Management	The reporting of Financial Management issues for the whole of government and Government Business Enterprises.		
5.3.1	Investment and Risk Management	Managing investments in Government Business Enterprises.	Temporary	Destroy 7 years after the completion of the financial year in which the records were created.
5.3.2	Taxation Management	Monitoring taxation issues pertaining to Government Business Enterprises.	Temporary	Destroy 5 years after the completion of the financial year in which the records were created.
6	LEGISLATION AND REGULATION MANAGEMENT	Analysis, planning and advice in regard to the development of legislation and regulations, or provision of legal advice to the Department including: <ul style="list-style-type: none"> • the preparation of principal legislation and regulations 		

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No	Function/Activity	Description	Status	Disposal Action
<i>LEGISLATION AND REGULATION MANAGEMENT</i>				
		<ul style="list-style-type: none"> • the drafting of Subordinate Legislation & Executive Council instruments • the provision of legal advice in relation to relevant legislation and regulations, or other DTF matters • involvement in the development of policy which has legislative or regulatory ramifications • facilitation of the approval of new and amended bills through the Cabinet to the Parliament, deriving from both DTF and other departments. 		
6.1	Development of Legislation and Regulations		Permanent	Retain as State archives
6.2	Provision of Legal Advice and Conducting Litigation on Behalf of DTF or the State		Permanent	Retain as State archives
6.3	Inputs into the Development of Legislation, Regulations and the Provision of Legal Advice	Includes material of a facilitative nature that assists in the preparation of legislation and regulations or in the provision of legal advice.	Temporary	Destroy after administrative use is concluded.

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No	Function/Activity	Description	Status	Disposal Action
<i>COMMITTEES AND WORKING PARTIES</i>				
7	COMMITTEES AND WORKING PARTIES	<p>Work related to Committees, Working Parties and other bodies which operate across DTF at all levels that:</p> <ul style="list-style-type: none"> • affect or establish DTF policy • determine or influence strategies or objectives • significantly, affect DTF administrative or operational activities. 		
7.1	Commissions, Committees, Working Parties - Convened by DTF	<p>This class includes committees and working parties where the DTF has a core interest.</p> <p>Examples include:</p> <ul style="list-style-type: none"> • SEG and its sub-committees • DTF/Auditor-General's Consultative Committee • DTF/DHS Committee. Disclosure of Government Commitments in Contracts with the Private Sector. 	Permanent	Retain as State archives
7.2	Commissions, Committees and Working Parties not Convened by DTF	<p>Includes those that DTF does not convene but where the:</p> <ul style="list-style-type: none"> • DTF may have input into findings or decision making process • DTF's policies, procedures, administrative arrangements may be affected by results or operations of the Committee/Working Party • Committee or Working Party influences or 	Temporary	Destroy after administrative use is concluded.

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No	Function/Activity	Description	Status	Disposal Action
<i>COMMITTEES AND WORKING PARTIES</i>				
		<p>establishes precedent that affects the operations of DTF and/or whole of government.</p> <p>Examples include:</p> <ul style="list-style-type: none"> • Melbourne 2006 Commonwealth Games Committee • National Pipeline Advisory Committee. 		
7.3	Facilitation of Meetings	<p>Includes activities to</p> <ul style="list-style-type: none"> • arrange meetings • support chair or members • prepare minutes. 	Temporary	Destroy after administrative use is concluded.
8	PARLIAMENTARY AND OTHER ENQUIRIES	<p>The management of Parliamentary and public accountability through appropriate replies to correspondence, inquiries and requests to the Treasurer and Ministers or to officers of DTF. Includes the preparation of responses initiated from within DTF.</p>		
8.1	Enquiries - Significant	<p>Information produced in DTF that:</p> <ul style="list-style-type: none"> • contains an analysis of existing government policy or practice • leads to the development of new government policy or practice • documents the development of departmental legislation. 	Permanent	Retain as State archives

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No	Function/Activity	Description	Status	Disposal Action
<i>PARLIAMENTARY AND OTHER ENQUIRIES</i>				
8.2	Enquiries - Routine	Information produced within DTF that: <ul style="list-style-type: none"> • describes existing government policy or practice • acknowledges the receipt of correspondence • redirects the inquiry/correspondent to another government department/official. 	Temporary	Destroy 2 years after receipt of inquiry.
8.3	Parliamentary Questions	Responses to questions put to the Treasurer and Ministers in Parliament, including those that lapse due to Parliament being prorogued. Includes the development of answers to Questions on Notice and Possible Parliamentary Questions.	Permanent	Retain as State archives
9	PUBLICATIONS AND PROMOTIONAL MATERIAL	Management of publications and provision of information regarding DTF and whole of government policies and activities.		
9.1	Production of Publications	The planning and production of key publications and promotional material for DTF.	Permanent	Retain as State archives
9.2	Publications Preparation	Input materials and drafts used to produce publicity and information services material. Includes requests and responses from/to other organisations for permission to use/reproduce material.	Temporary	Destroy after administrative use is concluded.
10	INFORMATION TECHNOLOGY AND RECORD KEEPING	Identification, installation & support of information technology, systems & services as well as record keeping functions.		

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INFORMATION TECHNOLOGY AND RECORD KEEPING - Project Development, System Analysis and Management

10.1	Project Development, System Analysis and Management	Investigation of the feasibility of introducing/adapting electronic systems and their implementation, enhancement, maintenance & review. Includes DTF development of automated government processes and services.		
10.1.1	Projects and Systems - In house and Significant	Systems developed in house (ie developed by DTF) or are to be implemented throughout the Whole of Government that support DTFs main operational functions. Examples: <ul style="list-style-type: none"> • DXF • E-Commerce • Oracle. 	Permanent	Retain as State archives
10.1.2	Equipment and System Management	Management, arrangements and reporting for effective operations of computer equipment & systems.	Temporary	Destroy after administrative use is concluded.
10.2	Facilitation of Record Keeping			
10.2.1	Record Keeping Summaries and Structure	Includes the summary data that identifies the records maintained by DTF and the structure of DTF record keeping systems. Data includes: <ul style="list-style-type: none"> • name of record 	Permanent	Retain as State archives

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No	Function/Activity	Description	Status	Disposal Action
<i>INFORMATION TECHNOLOGY AND RECORD KEEPING - Facilitation of Record Keeping</i>				
		<ul style="list-style-type: none"> • creator/department • date of receipt of record • disposal action and date • precis • action history • location movement history. 		
10.2.2	Procedures and Practices		Temporary	Destroy after administrative use is concluded.
11	ADMINISTRATIVE POLICY AND PROCEDURES	Development of internal policy, procedures and guidelines, which prescribe the way DTF staff and divisions should operate and behave.		
11.1	Internal Policy Development and Management	Policies and procedures developed within DTF or acquired from other Government Agencies that are not covered by 11.2 or 11.3.		
11.1.1	Internal Policy and Procedures Development	DTF developed guidelines or communications for internal use by staff and divisions.	Permanent	Retain as State archives
11.1.2	Inputs into Internal Policy and Procedures Development	Includes material of a facilitative nature that assists in the preparation of internal policies and procedures and their distribution.	Temporary	Destroy after administrative use is concluded.
11.2	Administrative		Temporary	Destroy after

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No	Function/Activity	Description	Status	Disposal Action
<i>ADMINISTRATIVE POLICY AND PROCEDURES</i>				
	Policies and Procedures - Public Service Wide (acquired from other departments)			superseded or updated.
11.3	Minor Procedures and Routine Administrative Activities	Includes activities that are not directly linked to the functions of the Department or critical to its operations.	Temporary	Destroy after administrative use is concluded.