

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

Authority number: PROS 99/02 VAR 9



PROS 99/02 VAR 9

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

Issued Date: 13/12/2021

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

Authority number: PROS 99/02 VAR 9

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

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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

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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

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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

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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 9

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 9

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

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

Authority number: PROS 99/02 VAR 9

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

| | |
|--|--|
| Retention and Disposal Authority No | PROS 99/02 VAR 9 |
| Scope | This RDA authorises the disposal of records created by the Department of Treasury and Finance. |
| Status | Issued by Keeper |
| Issue Date | 13/12/2021 |

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

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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

The destruction of some public records is permitted without final authorisation under normal administrative practice (NAP). NAP covers the destruction of ephemeral material of a facilitative nature created, acquired or collected by public officers during the course of their duties.

The following material may be destroyed under NAP:

- working papers consisting of rough notes and calculations used solely to assist in the preparation of other records such as correspondence, reports and statistical tabulations
- drafts not intended for retention as part of the office's records, the content of which has been reproduced and incorporated in the public office's record keeping system
- extra copies of documents and published material preserved solely for reference.

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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 electronic records are to be transferred in VERS Encapsulated Object (VEO). The storage of public records identified in this Authority must also be in accordance with the requirements of Public Record Office Standard PROS 20/02 Storage.

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Concurrence of Public Office

This Authority has the concurrence of:

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.

Ross Gibbs, Keeper of Public Records

Date of Issue: 31/01/2000

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

Authority number: PROS 99/02 VAR 9

| 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 |
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| <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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| No | Function/Activity | Description | Status | Disposal Action |
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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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| <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 |
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| <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. |