



Government
of South Australia

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State Records
of South Australia

State Records Act 1997

Operational Records Disposal Schedule

For **Department of Treasury and Finance
(Corporate)**

RDS **2010/13** Version **2**

Approved Date: 15 June 2021

Effective Date: 12 April 2011 to 30 June 2023

Approved by SRC



Department of Treasury and Finance (Corporate)

Table of Contents

Preamble 5
Purpose of the Schedule 5
Application of the Schedule 5
Authorisation by State Records 5
State Records' Contact Information 5
Disposal of Official Records 6
Legislation 6
Functions of the Schedule 6
Relationship to other Disposal Schedules 7
Using the Schedule 7
Layout 7
Retention Period of the Record 8
Custody and Transfer of the Record 8
Notification of Proposed Destruction of Records 9
Review 9
Compliance with the Determination 10
Copyright 10
Context Statement 10
Agency History and Background 10
Role and Function 10
Description of Agency Structure 12
Predecessor Agencies 12
Successor Agencies 12
Legislation 12
Context of the Records Covered by the Schedule 14
Coverage of the RDS 14
Related Series Affected by the RDS 15
Complementary RDS 15
Existing Disposal Schedules Superseded by the RDS 15



Department of Treasury and Finance (Corporate)

Records Structure Within the Agency.....	15
Broad Description and Purpose of the Records	16
Functions and Activities Documented by the Records.....	16
Arrangement of the Records	16
Agency Creating the Records.....	17
Agency Controlling/Owning the Records	17
Date Range of the Records	17
Legislation Affecting Recordkeeping Requirements	17
Volume of the Records	18
Special Custody Requirements	18
Special Storage Requirements.....	18
Issues Not Mentioned Previously	18
Comments Regarding Disposal Recommendations	18
Permanent Records Rationale.....	18
Temporary Records Rationale.....	19
Other Disposal Considerations.....	19
Disposal Recommendation Effect on Related Records.....	19
Alternative Record Formats.....	20
Other Information.....	20
Impact on Native Title Claims.....	20
Indigenous Considerations	20
Scope Note.....	20
Records Covered by this Schedule	20
How to Apply this Schedule.....	20
Use in conjunction with GDS	20
Use in conjunction with, or complementary to, other RDS.....	21
Other RDS superseded by this RDS	21
Re-sentencing of records where schedules are superseded, or particular entries within a schedule are superseded	21
Records excluded from this RDS.....	21
Application to records in all formats.....	22
Interpretation of the Schedule.....	22
Minimum retention periods	22
Acronyms	22



Department of Treasury and Finance (Corporate)

Definitions of terms specific to the RDS	22
Legal Deposit.....	23
Records and Litigation.....	23
Records Dated Prior to 1901	24
List of Functions and Activities	25
Advice.....	26
Agency Review.....	28
Budget Compilation and Coordination	28
Client Management	29
Committees & Bodies	31
Contracting-Out	32
Data Administration	32
Policy.....	34
Policy Analysis.....	35
Procedures	36
Program Management.....	36
Project Management	37
Recruitment (Graduates).....	42
Reporting.....	44
Standard Setting.....	45



Government
of South Australia

Operational Records Disposal Schedule

Department of Treasury and Finance (Corporate)

Preamble

Purpose of the Schedule

This operational Records Disposal Schedule (RDS) authorises arrangements for the retention or destruction of records in accordance with Section 23(2) of the *State Records Act 1997*.

Application of the Schedule

Department of Treasury and Finance (Corporate)

Effective Date: 2011-04-12 to 2021-06-30

Extension Granted: 2021-06-30 to 2023-06-30

Authorisation by State Records

This authorisation applies only to the disposal of the records described in the Schedule.

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Government
of South Australia

Operational Records Disposal Schedule

Department of Treasury and Finance (Corporate)

Disposal of Official Records

Legislation

Section 23(1) of the *State Records Act 1997* states that an agency must not dispose of official records except in accordance with a determination made by the Manager [Director] of State Records with the approval of the State Records Council.

Section 23(2) states:

‘If an agency requests the Manager to make a determination as to the disposal of official records, the Manager must, as soon as practicable:

- (a) with the approval of the [State Records] Council, make a determination requiring or authorising disposal of the records in a specified manner; or
- (b) make a determination requiring delivery of the records into the custody of State Records or retention of the records and later delivery into the custody of State Records.’

The contents of an RDS, once the approval process is complete, constitute a determination within the meaning of the *State Records Act 1997*.

Functions of the Schedule

An RDS plans the life of these records from the time of their creation to their disposal. It describes the records created by the agency, the disposal sentence specifying whether they are to be retained as archives or destroyed, and when this should occur.

This Operational Records Disposal Schedule has been prepared in conjunction with the agency staff to determine the records which need to be kept because of their long term value and to enable the disposal of records once they are no longer needed for administrative purposes. The assessment of the records takes into account their administrative, legal, evidential, financial, informational and historical values. The appraisal of the records is in accordance with the State Records’ policy as documented in *Appraisal of Official Records – Policy and Objectives*.

The Schedule complements the General Disposal Schedules (GDS) that are issued by State Records to cover housekeeping and other administrative records common to most State Government agencies.



Government
of South Australia

Operational Records Disposal Schedule

Department of Treasury and Finance (Corporate)

Relationship to other Disposal Schedules

The General Disposal Schedule for State Government Agencies in South Australia (GDS 30, as amended) should be used by State Government agencies for common records documenting activities such as HR, financial management, policy and procedures.

Hardcopy source records dating from 1 January 2005 that are converted to digital format (digitised) as part of business processes can be disposed of under General Disposal Schedule 21 (GDS 21) where the conditions outlined in GDS 21 are met.

State Records issue general disposal schedules from time to time to implement disposal freezes, restricting disposal of records which might otherwise be authorised for destruction. To see the latest schedules implementing disposal freezes check State Records website <https://archives.sa.gov.au/managing-information/archiving-transfer-and-disposal/disposal/general-disposal-schedules-gds>

Using the Schedule

The Schedule applies only to the records described within it.

Layout

The Schedule is laid out as follows:

Item Number:

Numbering in the Schedule is multi level:

- Functions have single numbers (e.g. 1.)
- Activities and/or processes have two-level numbers (e.g. 1.1)
- Disposal classes have three-level numbers (e.g. 1.1.1)

Function:

The general functions are shown in bold upper case at the start of each section. (e.g. **FINANCE AND BUDGET MANAGEMENT**)

Activity/Process:

The activities and processes relating to each function are shown in bold lower case (e.g. **Policy Analysis**).



Department of Treasury and Finance (Corporate)

Description: Descriptions are in three levels ranging from broad functions to specific disposal classes:

- definitions of functions are shown at the start of each section in bold (e.g. **The function of providing the Government with economic, financial and resource management policy advice to assist the Government in delivering its policy outcomes. The provision of expert advice balances economic, social and environmental goals within a framework of responsible financial management.....**)
- definitions of activities are located adjacent to the activity title in italics e.g. *The activity of reviewing an agency's operations for functionality, cost effectiveness etc. Agency reviews are undertaken at the request of the Treasurer, Under Treasurer or Deputy Under Treasurer.....*)
- descriptions of each disposal class are arranged in sequence under the activity definitions.

Disposal Action: Disposal actions relate to the disposal classes arranged under the activity descriptions. The status of the class is either PERMANENT or TEMPORARY with a disposal trigger and retention period given for all temporary records.

Retention Period of the Record

The Schedule is used to sentence records. Sentencing involves applying the record retention periods within the RDS to the records in the agency. Decisions are made using the Schedule about whether records are to be retained and, if so, for how long, or when they are to be destroyed.

Retention periods set down in the Schedule are minimum ones and the agency may extend the retention period of the record if it considers there is an administrative need to do so. Where an agency wishes to retain records for substantially longer periods it should request that the Schedule be amended to reflect this requirement.

Custody and Transfer of the Record

Section 19 of the *State Records Act 1997* includes provisions for the transfer of custody of an official record:



Government
of South Australia

Operational Records Disposal Schedule

Department of Treasury and Finance (Corporate)

- (a) when the agency ceases to require access to the record for current administrative purposes or
 - (b) during the year occurring 15 years after the record came into existence
- whichever first occurs.

Official records that have been sentenced as permanent, in accordance with an approved disposal schedule, are required to be transferred to State Records.

The custody of official records that have been sentenced as temporary is the responsibility of agencies. A policy and standards framework for the management and storage of temporary value official records has been established by State Records as documented in *Records of Temporary Value – Management and Storage: Standard and Guidelines (May 2002)*. Agencies need to comply with these policy documents available from the State Records' website (<http://www.archives.sa.gov.au>).

The custody of official records on networks or hard drives is also the responsibility of agencies. Agencies need to ensure that records in electronic format remain accessible to authorised users for the duration of the designated retention period. State Records is, however, currently examining options for the transfer of permanent value electronic records in digital form to its custody.

Notification of Proposed Destruction of Records

Agencies must keep their own record of all records destroyed under this RDS, noting the relevant disposal schedule entry and the authorisation for destruction. Temporary records should only be destroyed with the approval of the CE or delegate in accordance with the *Destruction of Official Records Guideline* issued by State Records of South Australia.

Review

State Records' disposal schedules apply for a period of ten years. Either the agency or State Records may propose a review of the Schedule at an earlier time, in the event of changes to functions or procedures that affect the value of the records covered by the disposal authority. Reviews are especially necessary if there is vast administrative change that affects the currency and use of the records and/or the records are dispersed to other agencies.

The State Records Council needs to approve all amendments to the Schedule. Officers using the Schedule should advise State Records of any necessary changes.



Government
of South Australia

Operational Records Disposal Schedule

Department of Treasury and Finance (Corporate)

Compliance with the Determination

Failure to comply with this determination, or any directions in it, falls under Section 17 of the *State Records Act 1997* and may be considered by ICAC as misconduct or maladministration.

Copyright

This work is copyright. Apart from any use as permitted under the *Copyright Act 1968*, no part may be reproduced by any process without the prior written permission of State Records of South Australia. The terms in the Schedule Body may include terms and relationships taken from the *Keyword AAA: A Thesaurus of General Terms* (© State Records Authority of New South Wales, 1995 and 1998), and are reproduced under a licence agreement between the Government of South Australia and the State Records Authority of New South Wales.

Context Statement

Agency History and Background

Role and Function

From 1836 until 1975 the Department of Treasury and Finance was known by various names, including Treasury Offices, Treasurer's Office and Treasury Department. These names were used interchangeably¹ until 1975 when the Superannuation Department, State Taxation Department and Department of Public Actuary were amalgamated with the Treasury Department. In 1975 the Treasury Department appears as a separate department in the Auditor-General's annual report².

The title of Treasury Department was altered to the Department of Treasury and Finance, effective from 20 December 1993³.

The Department of Treasury and Finance is the lead agency supporting the government's key economic and financial policy outcomes through the provision of advice and coordination of resource allocation for government programs. It also provides financial services to the government and the community, including financial asset and liability management,

¹ A check of various Parliamentary Papers (such as the public service lists) shows the interchangeable use of the terms 'Treasury Office' and 'Treasury Department' until 1975. File covers of departmental correspondence series appear as 'TO' files - 19th Century records show 'TO' as 'Treasury Offices' while 20th Century refer to 'Treasurer's Office'.

² Report of the Auditor General for the financial year ending 30th June 1976, SA Parliamentary Paper 4/1976, p238.

³ SA Government Gazette, 16 December 1993, pp. 2986-2987.



Government
of South Australia

Operational Records Disposal Schedule

Department of Treasury and Finance (Corporate)

overseeing government businesses, collection of State taxes, and insurance and superannuation administration.

It promotes policy accountability in the public sector based on objective and comprehensive analysis of options, by managing whole of government financial processes and providing financial services.⁴

The Department plays a key role in supporting the government's objectives for South Australia, including those in South Australia's Strategic Plan, by ensuring accountability for public sector resources, providing high quality policy advice on issues before government, ensuring that the State's finances are sound and that financial information flows provide a reliable basis for government decision making.

The Department has three major clients as described below:

Government: the Department's principal client is the Treasurer and through the Treasurer, the government, for its work in administering and coordinating the government's finances and providing a range of services during the reporting year, such as:

- supporting the Government in budget and financial management;
- delivering policy advice, assisting with Government decisions on a range of economic, social and environmental issues;
- providing strategic leadership across the public sector on economic and financial sector reform;
- assisting the Government with the implementation of major infrastructure projects and frameworks; and
- assisting with decisions made by the government on major contractual arrangements across the state.

The Department also provides support in the form of policy advice to the Minister for Gambling. The Department also provided advice on treasury and finance issues to the Minister for Finance. The position and associated portfolio was abolished on 24 July 2008.

Government agencies: in addition to administering and coordinating the government's requirements across agencies, the Department delivers a range of services, including advice and technical support, to all portfolio groups, State agencies and government businesses. **SA community:** the broader community, through the elected government and Parliament, is the ultimate client of its services. The Department has direct dealings with a range of community members, including taxpayers and their representatives, members of superannuation schemes and the business community generally.

⁴ Department of Treasury and Finance Annual Reports.



Government
of South Australia

Operational Records Disposal Schedule

Department of Treasury and Finance (Corporate)

Description of Agency Structure

The Department's Executive Management Group is made up of the Under Treasurer and two Deputy Under Treasurers. The Group is responsible for managing the Department as described in Attachment A.

Predecessor Agencies

- GA393 – Treasury Office - 1836-1936
- GA681 – Treasury Department - 1936-1994

Successor Agencies

There are no successor agencies.

Legislation

Legislation Administered by DTF:

- *Commonwealth Places (Mirror Taxes Administration) Act 1999*
- *Emergency Services Funding Act 1998*
- *Essential Services Commission Act 2002*
- *Land Tax Act 1936*
- *Motor Accident Commission Act 1992*
- *National Tax Reform (State Provisions) Act 2000*
- *Payroll Tax Act 2009*
- *Public Corporations Act 1993*
- *Public Finance and Audit Act 1987*
- *Stamp Duties Act 1923*
- *TAB (Disposal) Act 2000*

Legislation not administered by DTF but which impacts on its operations:

- *ASER (Restructure) Act 1997*
- *Bank Merger (BankSA and Advance Bank) Act 1996*
- *Bank Mergers (South Australia) Act 1997*
- *Benefit Associations Act 1958*
- *Debits Tax Act 1994*
- *Electricity Corporations (Restructuring and Disposal) Act 1999*
- *Electricity Corporations Act 1994*
- *Financial Agreement Act 1994*



Government
of South Australia

Operational Records Disposal Schedule

Department of Treasury and Finance (Corporate)

- *Financial Institutions Duty Act 1983*
- *Financial Sector (Transfer of Business) Act 1999*
- *Financial Transaction Reports (State Provisions) Act 1992*
- *First Home Owner Grant Act 2000*
- *Gift Duty Act 1968*
- *Government Financing Authority Act 1982*
- *Governors' Pensions Act 1976*
- *Hindmarsh Island Bridge Act 1999*
- *Housing Loans Redemption Fund Act 1962*
- *Interest on Crown Advances and Leases Act 1944*
- *Judges' Pensions Act 1971*
- *National Wine Centre (Restructuring and Leasing Arrangements) Act 2002*
- *New Tax System Price Exploitation Code (South Australia) Act 1999*
- *Parliamentary Superannuation Act 1974*
- *Petroleum Products Regulation Act 1995*
- *Police Superannuation Act 1990*
- *Rural Advances Guarantee Act 1963*
- *SGIC (Sale) Act 1995*
- *Southern State Superannuation Act 2009*
- *State Bank (Corporatisation) Act 1994*
- *State Bank of South Australia Act 1983*
- *State Procurement Act 2004*
- *Succession Duties Act 1929*
- *Superannuation Act 1988*
- *Superannuation Funds Management Corporation of South Australia Act 1995*
- *Supplementary Financial Agreement (Soldiers Settlement Loans) Act 1934*
- *Taxation (Reciprocal Powers) Act 1989*
- *Taxation Administration Act 1996*
- *Unclaimed Moneys Act 1891*
- *Unclaimed Superannuation Benefits Act 1997*
- *Westpac/Challenge Act 1996*



Government
of South Australia

Operational Records Disposal Schedule

Department of Treasury and Finance (Corporate)

Context of the Records Covered by the Schedule

Coverage of the RDS

This schedule covers ongoing corporate operational records of the Department of Treasury and Finance relating to budget and finance management and includes advice to both Portfolio Ministers and other government Ministers (for example Minister for Finance and Minister for Gambling). Such records are centrally managed by the DTF records management unit.

The following GRS' are also covered by this RDS:

- GRS 7062 – Corporate Files DTF – 1924–ct
- GRS 6265 - Budget Branch Correspondence, 1978-1990
- GRS 941 - Correspondence Files, Treasury, 1903-1982 (excluding consignments 1-2, which are permanent under RDS 2000/06)
- GRS 7868 - Policy Files Relating to Workers Compensation Act, 1855-1972 (excluding pre-1901 records, which are permanent under general determination).

The following records are excluded from this schedule as they are:

- DTF series that are covered by GDS 30 v2 or GDS 50 (included in Attachment B)
- Non-ongoing DTF series that are permanent under RDS 1999/22 (included in Attachment B)
- Non-ongoing external agency series covered by other disposal schedules or requiring disposal coverage under a separate RDS (included in Attachment B).

RDS 2010/13 Version 1 does not cover records already in the custody of State Records as part of Government Record Groups 45, 51 and 84. These records have been deemed permanent in accordance with a disposal determination made for all GRGs by the Manager [Director] of State Records and approved by the State Records Council on 9 November 1999.

Records of the following agencies within DTF are also excluded as they have their own RDS:

- Electorate Services (RDS 2008/12, approved 9 December 2008)
- Super SA (RDS 2005/09, approved 9 December 2008)
- Revenue SA (RDS 2006/18, approved 10 April 2007)
- South Australian Government Financing Authority (SAFA) (RDS 2003/08, approved 26 August 2003).

Shared Services are also not included in this schedule. They are currently using GDS 30 v2 to sentence their administrative records.



Government
of South Australia

Operational Records Disposal Schedule

Department of Treasury and Finance (Corporate)

Related Series Affected by the RDS

There are no related series affected by this schedule.

Complementary RDS

The following disposal classes/items within RDS 1999/22 have been retired in relation to specific Government Record Series (GRS) already sentenced as permanent:

- RDS 1999/22, item 2.3 (GRS 10521, 940)
- RDS 1999/22, item 3.1 (GRS 11862, 939)
- RDS 1999/22 item 3.3 (GRS 10527, 1327, 7411, 7870)
- RDS 1999/22, item 4 (GRS 8857)
- RDS 1999/22, item 5.1, 5.2 (GRS 10523)
- RDS 1999/22, item 6 (GRS 6596)
- RDS 1999/22, item 7.2 (GRS 3298)
- RDS 1999/22, item 8.3 (GRS 10658)
- RDS 1999/22, item 11 (GRS 11604, 8106, 8866)
- RDS 1999/22, item 12 (GRS 10452, 10524, 10525, 11784, 4957, 4960, 4963, 4981, 4982, 4984, 4986, 4988, 4990, 5010, 5012, 5014, 5016, 5029, 5031, 5033, 5035, 5046, 5047, 5066, 5205, 5308, 5316, 5317, 5320, 5323, 5324, 8296, 9168, 9169, 9170, 9171, 9172, 9173, 9174, 9219).

Existing Disposal Schedules Superseded by the RDS

- 1999/22 (approved by State Records Council on 14 November 2000), with the exception of certain items that have been retired in relation to specific GRS' as described above.

Records Structure Within the Agency

The records structure within the Department of Treasury & Finance consists of official files managed in file series, with system generated identifiers both numerical and alphabetical. Corporate files are managed in an EDRMS (currently Objective and previously managed in RecFind).

DTF also uses databases to coordinate and control information. For example the Budget Management System (BMS). The BMS is used by state government agencies and DTF to input and collate financial data. The case management database is also used to collate data on types of queries made by state government agencies.



Government
of South Australia

Operational Records Disposal Schedule

Department of Treasury and Finance (Corporate)

Broad Description and Purpose of the Records

Records included in RDS 2010/13 Version 1 document the core business of the Department of Treasury and Finance. The records also include general correspondence which document communications between state government agencies, Ministers and the Treasurer.

The records contain evidence of decisions made, procedures enacted and policies developed by DTF and general correspondence.

Functions and Activities Documented by the Records

The functions and activities of the Department of Treasury and Finance were determined through interviews and consultation with staff and review of information sources. DTF has one core business function and that is Treasury and Finance Management.

The activities attached to the above functions are:

- Advice
- Agency Review
- Budget Compilation and Coordination
- Client Management
- Committees & Bodies
- Contracting-Out
- Data Administration
- Policy
- Policy Analysis
- Procedures
- Program Management
- Project Management
- Recruitment (Graduate)
- Reporting
- Standard Setting

Arrangement of the Records

The records are currently registered into an EDRMS (currently Objective) and shelved in accordance with their alpha/numeric pattern of T&FYY/NNNN for example T&F10/0001. Prior to Objective being implemented in 2005, RecFind was used with a numbering pattern of TDNNN/YY for example TD98/98.



Government
of South Australia

Operational Records Disposal Schedule

Department of Treasury and Finance (Corporate)

DTF also uses databases, for example Budget Management System, to collect and collate information.

Agency Creating the Records

Department of Treasury and Finance (Corporate) created the records. DTF administers them.

Agency Controlling/Owning the Records

Department of Treasury and Finance (Corporate) controls and owns the records.

Date Range of the Records

Records Date Range: 1924 to Ongoing

Legislation Affecting Recordkeeping Requirements

- *Bank Merger (BankSA and Advance Bank) Act 1996*
- *Benefit Associations Act 1958*
- *Electricity Corporations (Restructuring and Disposal) Act 1999*
- *Electricity Corporations Act 1994*
- *Emergency Services Funding Act 1998*
- *Essential Services Commission Act 2002*
- *Financial Institutions Duty Act 1983*
- *Financial Sector (Transfer of Business) Act 1999*
- *Gift Duty Act 1968*
- *Government Financing Authority Act 1982*
- *Housing Loans Redemption Fund Act 1962*
- *Motor Accident Commission Act 1992*
- *National Tax Reform (State Provisions) Act 2000*
- *National Wine Centre (Restructuring and Leasing Arrangements) Act 2002*
- *Parliamentary Superannuation Act 1974*
- *Payroll Tax Act 2009*
- *Petroleum Products Regulation Act 1995*
- *Police Superannuation Act 1990*
- *Public Corporations Act 1993*
- *Public Finance and Audit Act 1987*
- *SGIC (Sale) Act 1995*
- *South Australian Motor Sport Act 1984 (as Deputy Premier)*



Government
of South Australia

Operational Records Disposal Schedule

Department of Treasury and Finance (Corporate)

- *Southern State Superannuation Act 2009*
- *Stamp Duties Act 1923*
- *State Bank (Corporatisation) Act 1994*
- *State Bank of South Australia Act 1983*
- *State Procurement Act 2004*
- *Succession Duties Act 1929*
- *Superannuation Act 1988*
- *Superannuation Funds Management Corporation of South Australia Act 1995*
- *TAB (Disposal) Act 2000*
- *Unclaimed Superannuation Benefits Act 1997*

Volume of the Records

There are currently:

- 9,070 linear metres offsite at Recall
- 600 linear metres onsite
- 660 linear metres at State Records (does not include excluded series)

There are also, approximately, 84 linear metres (2,100 new files) created each year and 30 linear metres per year are sent to both Recall and State Records.

Special Custody Requirements

There are no special custody requirements.

Special Storage Requirements

There are no special storage requirements.

Issues Not Mentioned Previously

There are no issues that have not already been mentioned.

Comments Regarding Disposal Recommendations

Permanent Records Rationale

Records nominated for permanent retention in this schedule document high level advice (1.1.1), agency review (1.2.1), budget compilation and coordination (1.3.1, 1.3.2), client management (1.4.1, 1.4.2), committees & bodies (1.5.1, 1.5.2), contracting-out (1.6.1), data administration (1.7.1), policy (1.8.1), policy analysis (1.9.1), procedures (1.10.1), program



Government
of South Australia

Operational Records Disposal Schedule

Department of Treasury and Finance (Corporate)

management (1.11.1), project management (1.12.1, 1.12.5), recruitment (1.13.1), reporting (1.14.1) and standard setting (1.15.1).

They fulfil the criteria for ongoing value in that they meet the following objectives:

- To identify and preserve official records providing evidence of the source of authority, foundation and machinery of the South Australian Government and public sector bodies.
- To identify and preserve official records providing evidence of the deliberations, decisions and actions of the South Australian Government and public sector bodies relating to key functions and programs and significant issues faced in governing the State of South Australia.
- To identify and preserve official records substantially contributing to the knowledge and understanding of the society and communities of South Australia.
- To identify and preserve official records that contribute to the protection and well being of the community or provide substantial evidence of the condition of the State, its people and the environment, and the impact of government activities on them.

Temporary Records Rationale

Records nominated for temporary status in this schedule document routine processes and/or transactions that support the activities of the Department of Treasury and Finance. Retention periods have been determined by the legal, administrative, evidential and financial accountability requirements.

Temporary records are those that are considered not to have continuing value to DTF or society. Records of temporary value have short terms before expiry. They include routine advice (1.1.2, 1.2.3), budget compilation and coordination (1.3.3), client management (1.4.3), committees & bodies (1.5.3, 1.5.4), contracting-out (1.6.2), data administration (1.7.2), policy (1.8.2), policy analysis (1.9.2), procedures (1.10.2), program management (1.11.2), project management (1.12.2-1.12.5), recruitment (graduates) (1.13.2-1.13.7) and reporting (1.14.2, 1.14.3).

Other Disposal Considerations

There are no other considerations for or against the retention or destruction of records affected by this RDS.

Disposal Recommendation Effect on Related Records

There are no related records affected by the disposal recommendations in this RDS.



Government
of South Australia

Operational Records Disposal Schedule

Department of Treasury and Finance (Corporate)

Alternative Record Formats

All official records of DTF are in hard copy format with the exception of financial management databases for example the Budget and Monitoring System (BMS) and the Case Management System.

Other Information

There is no additional information relevant to this schedule.

Impact on Native Title Claims

There is no discernible relevance to Native Title Claims.

Indigenous Considerations

The Schedule meets all cultural, historical, legal and administrative requirements.

The determinations within the Schedule are consistent with Recommendation 21 of the *National Inquiry into the Separation of Aboriginal and Torres Strait Islander Children from Their Families*. The principles outlined in *GDS 16*, relating to Native Title claims, have also been considered in the development of this Schedule.

Scope Note

Records Covered by this Schedule

This RDS applies to the operational records of the Department of Treasury and Finance (Corporate). It also applies to the following GRS':

- GRS 7062 – Corporate Files DTF – 1924–ct
- GRS 6265 - Budget Branch Correspondence, 1978-1990
- GRS 941 - Correspondence Files, Treasury, 1903-1982 (excluding consignments 1-2, which are permanent under RDS 2000/06)
- GRS 7868 - Policy Files Relating to Workers Compensation Act, 1855-1972 (excluding pre-1901 records, which are permanent under general determination).

How to Apply this Schedule

Use in conjunction with GDS

This Schedule should be used in conjunction with *GDS 30 v2*, as amended, or its successor. Cross-references to the *GDS 30 v2* are included in this Schedule where appropriate.



Department of Treasury and Finance (Corporate)

To identify records that may be potentially relevant to native title claims, please refer to guideline *Identifying documents which may be relevant to Native Title* attached to **GDS 16**. Where records sentenced for temporary retention are identified as having potential relevance to a native title claim, they need to be retained until 31 December 2024.

Use in conjunction with, or complementary to, other RDS

This Records Disposal Schedule does not complement any existing schedules.

Other RDS superseded by this RDS

- RDS 2010/13 Version 1 supersedes RDS 1999/22 (approved by the State Records Council on 14 November 2000) with the exception of certain items that have been retired in relation to specific GRS' as referred to on pages 16-17.

Re-sentencing of records where schedules are superseded, or particular entries within a schedule are superseded

Department of Treasury and Finance (Corporate) will review and re-sentence the records whose retention periods have altered.

Records excluded from this RDS

The following records are excluded from this schedule as they are:

- DTF series that are covered by GDS 30 v2 or GDS 50 (included in Attachment B)
- Non-ongoing DTF series that are permanent under RDS 1999/22 (included in Attachment B)
- Non-ongoing external agency series covered by other disposal schedules or requiring disposal coverage under a separate RDS (included in Attachment B).

RDS 2010/13 Version 1 does not cover records already in the custody of State Records as part of Government Record Groups 45, 51 and 84. These records have been deemed permanent in accordance with a disposal determination made for all GRGs by the Manager [Director] of State Records and approved by the State Records Council on 9 November 1999.

Records of the following agencies within DTF are excluded as they have their own RDS:

- Electorate Services (RDS 2008/12, approved 9 December 2008)
- Super SA (RDS 2005/09, approved 9 December 2008)
- Revenue SA (RDS 2006/18, approved 10 April 2007)
- SAFA (RDS 2003/08, approved 26 August 2003)

Shared Services are also not included in this schedule. They are currently using GDS 30 v2 to sentence their administrative records.



Government
of South Australia

Operational Records Disposal Schedule

Department of Treasury and Finance (Corporate)

Application to records in all formats

RDS 2010/13 Version 1 applies to records in all formats, including databases and other electronic records. The agency is required to ensure that records remain accessible for the duration of designated retention periods.

Interpretation of the Schedule

Minimum retention periods

Retention periods for temporary records shown in the Schedule are minimum retention periods for which records need to be retained. It is at the agency's discretion as to whether records are kept for longer than the minimum period.

Acronyms

- DTF – The Department of Treasury and Finance
- HoTs – Heads of Treasury
- HoTARAC – Heads of Treasury Accounting and Reporting Advisory Committee

Definitions of terms specific to the RDS

- Agency reviews - agency reviews are undertaken at the request of the Treasurer, Under Treasurer or Deputy Under Treasurer. Some examples include the Contract Services Review, Closure of Supply SA Warehouse, Fleet Review and Super SA Review. An agency review is similar to an intensive audit and is undertaken on a once-off basis.
- Budget Process - The Budget process aligns resource allocation with Government priorities, enables strategic planning for the Government and aids structured decision making. The process is constrained by financial reality which imposes a disciplined approach to how decisions are made to achieve the government's longer term fiscal goals.
- Client – clients are State government agencies, enterprises, statutory authorities and the public (refer to page 14 for more information).
- Consolidated Report - the consolidated financial statements present a single set of statements for the government (at the general government and public non financial corporation) which presents a single set of statements with government agencies consolidated into a single set.
- Grants Commission - the Commonwealth Grants Commission is a Commonwealth body responsible for recommending the interstate distribution of GST revenue grants.
- Major projects – are major government projects DTF provides investment and financing analysis for.
- Market Projects – The Department of Treasury and Finance established the Market Projects Unit to implement measures identified in the 2008-09 Mid-Year Budget Review.



Government
of South Australia

Operational Records Disposal Schedule

Department of Treasury and Finance (Corporate)

The package of measures was introduced to realise the value of some of the State's assets and therefore strengthen the State's budget position.

- Public Private Partnership (PPP) projects are between the public and private sectors where DTF pays the private sector to deliver infrastructure and related services on behalf, or in support, of government's broader service responsibilities.
- Public Sector Comparator (PSC) – PSC is the expected, whole of contract life, risk-adjusted cost to government of delivering the project by conventional procurement methods and is used as a benchmark to determine value for money for Public Private Partnerships bids.
- Sets - Sets are groups of signed off reports, for example a type of report or a collection of information from each agency put together as a 'set'.
- Significant – significant involves public interest or controversy and may include cases where there was extensive parliamentary debate and/or coverage in the media such as occurred in relation to: the South Australian Bank litigation; the establishment of the Across-Government computer (EDS) contract; the sale/lease of the Electricity Trust of South Australia entities; or the dismissal/resignation of a Minister.
- Treasurer's Statements - Financial statements prepared by the Treasurer as required by the Public Finance & Audit Act.

Legal Deposit

Legal deposit refers to statutory provisions that oblige publishers to deposit copies of their publications in libraries in the country in which they are published. Under the Commonwealth *Copyright Act 1968* and various Australian State Acts, a copy of any work published in Australia needs to be deposited with (a) the National Library of Australia and (b) the appropriate State Library. Legal deposit extends not only to commercial publishers but also to private individuals, clubs, churches, societies and organisations.

In South Australia, one copy of publications produced for external use should be deposited with the State Library and the Parliamentary Library (*s.35, Libraries Act 1982*). Publications include books, newspapers, magazines, journals, pamphlets, maps, plans, charts, printed music, records, cassettes, films, video or audio tapes, computer software, CD-ROMs, compact discs and other items made available to the public.

Records and Litigation

Where an agency is aware that records may be required for use in litigation, for use in a government enquiry or the consideration of the Ombudsman, the records should not be destroyed. In such circumstances the records are to be retained until two years after all cases and enquiries are complete, including appeals and then have the original retention period applied to the records.



Government
of South Australia

Operational Records Disposal Schedule

Department of Treasury and Finance (Corporate)

Records Dated Prior to 1901

In this instance this RDS does not apply to pre-1901 records.

Approved by SRC



Department of Treasury and Finance (Corporate)

List of Functions and Activities

FINANCE AND BUDGET MANAGEMENT	26
Advice.....	26
Agency Review.....	28
Budget Compilation and Coordination.....	28
Client Management.....	29
Committees & Bodies.....	31
Contracting-Out.....	32
Data Administration.....	32
Policy.....	34
Policy Analysis.....	35
Procedures.....	36
Program Management.....	36
Project Management.....	37
Recruitment (Graduates).....	42
Reporting.....	44
Standard Setting.....	45



Operational Records Disposal Schedule

RDS 2010/13 Version 2

Effective Date: 2011-04-12 to **2021-06-30**

Extension Granted: 2021-06-30 to **2023-06-30**

Records Date Range: 1924 to **Ongoing**

Department of Treasury and Finance (Corporate)

FUNCTION Activity / Process		Description	Disposal Action
1	FINANCE AND BUDGET MANAGEMENT	<p>The function of providing the Government with economic, financial and resource management policy advice to assist the Government in delivering its policy outcomes. The provision of expert advice balances economic, social and environmental goals within a framework of responsible financial management. This includes:</p> <ul style="list-style-type: none"> • supporting the Government in budget and financial management; • delivering policy advice, assisting with Government decisions on a range of economic, social and environmental issues; • providing strategic leadership across the public sector on economic and financial sector reform; • assisting the Government with the implementation of major infrastructure projects and frameworks; and • assisting with decisions made by the government on major contractual arrangements across the state. 	
1.1	Advice	<i>The activities associated with offering opinions by or to the organisation as to an action or judgement. Includes the process of advising. (KWAAA)</i>	



Operational Records Disposal Schedule

RDS 2010/13 Version 2

Effective Date: 2011-04-12 to **2021-06-30**

Extension Granted: 2021-06-30 to **2023-06-30**

Records Date Range: 1924 to **Ongoing**

Department of Treasury and Finance (Corporate)

FUNCTION Activity / Process		Description	Disposal Action
1.1.1	Advice	<p>Records relating to high-level advice about budget and fiscal policy (for example, to the Treasurer or Minister for Gambling on regulatory policy, advice to agencies on bank accounts or deposits with the Treasurer, advice to Grants Commission on methodology).</p> <p>The methodology is the assessment methods used by the Commonwealth Grants Commission to assess states' revenue capacities and expenditure requirements.</p> <p>Note: If advice relates to specific client refer to Client Management item 1.4.2 or 1.4.3.</p>	PERMANENT
1.1.2	Advice	<p>Records relating to routine advice. For example, advice to the Treasurer on the government's fiscal policy and targets including comparison with other States.</p>	TEMPORARY Destroy 8 years after action completed.
1.1.3	Advice	<p>Records relating to the development and delivery of accounting and taxation information sessions to agencies.</p>	TEMPORARY Destroy 8 years after action completed.



Operational Records Disposal Schedule

RDS 2010/13 Version 2

Effective Date: 2011-04-12 to **2021-06-30**

Extension Granted: 2021-06-30 to **2023-06-30**

Records Date Range: 1924 to **Ongoing**

Department of Treasury and Finance (Corporate)

FUNCTION Activity / Process		Description	Disposal Action
1.2	Agency Review	<i>The activity of reviewing an agency's operations for functionality, cost effectiveness etc. Agency reviews are undertaken at the request of the Treasurer, Under Treasurer or Deputy Under Treasurer. Some examples include the Contract Services Review, Closure of Supply SA Warehouse, Fleet Review and Super SA Review. An agency review is similar to an intensive audit and is undertaken on a once-off basis.</i>	
1.2.1	Agency Review	Records relating to reviews of agencies. For example, if undertaken as part of the government reform program. Includes: <ul style="list-style-type: none"> • requests; • performance evaluations; and • reports. For records relating to individual clients use Items 1.4.2 or 1.4.3.	PERMANENT
1.3	Budget Compilation and Coordination	<i>The activity of coordinating, compiling and managing the preparation and submission of the State Budget. Includes all budget processes.</i> <i>Use GDS 30 v2 13.22 STRATEGIC MANAGEMENT – Reporting for the master copy of the Budget Overview tabled in Parliament.</i>	
1.3.1	Budget Compilation and Coordination	Master records relating to State Budget. For example, State Budget proposal for Ministerial consideration. Includes sets of Whole of Government summaries and decisions.	PERMANENT



Operational Records Disposal Schedule

RDS 2010/13 Version 2

Effective Date: 2011-04-12 to **2021-06-30**

Extension Granted: 2021-06-30 to **2023-06-30**

Records Date Range: 1924 to **Ongoing**

Department of Treasury and Finance (Corporate)

FUNCTION Activity / Process		Description	Disposal Action
1.3.2	Budget Compilation and Coordination	Records relating to State Budget compilation. For example, working papers on: <ul style="list-style-type: none"> forecasts and projections; workforce evaluations and wages outcomes; agency budget proposals and information from agencies; and internal reports. 	PERMANENT
1.3.3	Budget Compilation and Coordination	Regular or periodic system reports on State budget performance (for example, monitoring processes, carryovers and data adjustments etc.)	TEMPORARY Destroy 7 years after action completed.
1.4	Client Management	<i>The activity of monitoring the financial performance of, and providing policy advice on, commercial, investment and governance arrangements and other ownership issues relating to government business enterprises (also known as Public Non Financial Corporations (PNFCs). Includes providing financial and economic advice to improve budget and financial management processes of PNFCs and liaison between the Australian Taxation Office and agencies. May also include the Department having a representative or observer on the Board of a PNFC for the purposes of monitoring and reporting on the PNFC's operations and to provide feedback to the Treasurer on major issues or concerns in relation to the PNFC.</i>	



Operational Records Disposal Schedule

RDS 2010/13 Version 2

Effective Date: 2011-04-12 to **2021-06-30**

Extension Granted: 2021-06-30 to **2023-06-30**

Records Date Range: 1924 to **Ongoing**

Department of Treasury and Finance (Corporate)

FUNCTION Activity / Process		Description	Disposal Action
1.4.1	Client Management	Records relating to management and coordination of requests and responses between agencies and the Australian Taxation Office.	PERMANENT
1.4.2	Client Management	Records relating to significant client liaison with government agencies, enterprises and statutory authorities. For example advice to a Chief Executive or Minister. Includes: <ul style="list-style-type: none"> • reports relating to Public Authorities; • advice and enquiries; • performance assessments; and • evaluation of Public Authorities proposals. <p>Use GDS 30 v2 7.2 GOVERNMENT RELATIONS – Briefings (agencies) submissions for records relating to Cabinet Submissions.</p>	PERMANENT
1.4.3	Client Management	Records relating to routine client liaison with government agencies, enterprises and statutory authorities. Includes: <ul style="list-style-type: none"> • reports relating to Public Authorities; • advice and enquiries; • performance assessments; and • evaluation of Public Authorities proposals. <p>Use GDS 30 v2 7.2 GOVERNMENT RELATIONS – Briefings (agencies) submissions for records relating to Cabinet Submissions.</p>	TEMPORARY Destroy 8 years after action completed.



Operational Records Disposal Schedule

RDS 2010/13 Version 2

Effective Date: 2011-04-12 to **2021-06-30**

Extension Granted: 2021-06-30 to **2023-06-30**

Records Date Range: 1924 to **Ongoing**

Department of Treasury and Finance (Corporate)

FUNCTION Activity / Process		Description	Disposal Action
1.5	Committees & Bodies	<i>The activities associated with the management of committees, bodies and task forces (internal and external, private, and local, State and Commonwealth government etc.). Includes establishment, appointment of members, terms of reference, proceedings, minutes, reports, agenda etc.</i>	
1.5.1	Committees & Bodies	Records relating to committees and bodies for which the DTF has significant input or provides the secretariat. For example, the Sustainable Budget Commission, Heads of Treasury (HoTs), Responsible Gambling Working Party and Executive Steering Committees. Includes: <ul style="list-style-type: none"> • records of establishment • meeting papers and • minutes and agendas. 	PERMANENT
1.5.2	Committees & Bodies	Records relating to appointment of members and observers to boards and committees.	PERMANENT
1.5.3	Committees & Bodies	Records relating to committees and bodies for which the DTF does not provide the secretariat or does not have significant involvement. For example, Heads of Treasury Accounting and Reporting Advisory Committee (HoTARAC).	TEMPORARY Destroy 7 years after action completed.
1.5.4	Committees & Bodies	Records relating to arrangements for meetings.	TEMPORARY Destroy 2 years after last action.



Operational Records Disposal Schedule

RDS 2010/13 Version 2

Effective Date: 2011-04-12 to **2021-06-30**

Extension Granted: 2021-06-30 to **2023-06-30**

Records Date Range: 1924 to **Ongoing**

Department of Treasury and Finance (Corporate)

FUNCTION Activity / Process		Description	Disposal Action
1.6	Contracting-Out	<p><i>The activities involved in arranging, procuring and managing the performance of work or the provision of services by an external contractor or consultant, or by using external bureau services. Sometimes referred to as outsourcing. (KWAAA)</i></p> <p><i>Use GDS 30 v2 16.10 FINANCIAL MANAGEMENT – Procurement (Goods & Services) for tender records.</i></p>	
1.6.1	Contracting-Out	Records relating to the management of contracts by DTF, for example, banking contract for Whole of Government and audit of the Auditor General’s Department.	PERMANENT
1.6.2	Contracting-Out	Facilitative records relating to the management of contracts.	TEMPORARY Destroy 17 years after action completed.
1.7	Data Administration	<p><i>The activities associated with maintaining and using the data that is held in a system, either automated or manual. Includes the maintenance of data dictionaries and the application of vital records and counter disaster plan objectives to safeguard against data loss and corruption.</i></p>	



Operational Records Disposal Schedule

RDS 2010/13 Version 2

Effective Date: 2011-04-12 to **2021-06-30**

Extension Granted: 2021-06-30 to **2023-06-30**

Records Date Range: 1924 to **Ongoing**

Department of Treasury and Finance (Corporate)

FUNCTION Activity / Process		Description	Disposal Action
1.7.1	Data Administration	<p>The Budget Management System (BMS) database.</p> <p>Data captured in BMS includes:</p> <ul style="list-style-type: none"> • tracking of all capital projects in government • all requests from agencies for budget funds • annual Financial Statements (actuals, budgets, notes) for all agencies • monthly analysis of all government agencies financial performance • every approved budget change since 2000/01 • accounts payable collection statistics • purchase Card exceptions • FTE numbers in all agencies and • tracking of initiatives and strategies. 	<p>PERMANENT</p> <p>Actively manage and migrate to ensure ongoing accessibility for evidential and/or historical purposes.</p>
1.7.2	Data Administration	<p>Financial management databases that 'stand alone' and capture details <i>not</i> maintained in the Budget Management System (BMS)</p>	<p>PERMANENT</p> <p>Actively manage and migrate to ensure ongoing accessibility for evidential and/or historical purposes.</p>



Operational Records Disposal Schedule

RDS 2010/13 Version 2

Effective Date: 2011-04-12 to **2021-06-30**

Extension Granted: 2021-06-30 to **2023-06-30**

Records Date Range: 1924 to **Ongoing**

Department of Treasury and Finance (Corporate)

FUNCTION Activity / Process		Description	Disposal Action
1.7.3	Data Administration	Transaction financial management databases that provide data that may be duplicated in the Budget Management System (BMS) database.	TEMPORARY Destroy 7 years after last entry. Maintain and reformat as required for administrative purposes.
1.7.4	Data Administration	Case Management database. Includes date and details of query and the resolution. The database is used to log agency queries on accounting policy and financial management to allow monitoring of frequently asked questions.	TEMPORARY Destroy 7 years after last entry. Maintain and reformat as required for administrative purposes.
1.8	Policy	<i>The activities associated with developing and establishing decisions, directions and precedents that act as a reference for future decision making, as the basis from which the organisation's operating procedures are determined. (KWAAA)</i> <i>Use Item 1.15.1 for across-government policy.</i>	
1.8.1	Policy	Records relating to the formulation of DTF policies. Includes: <ul style="list-style-type: none"> • master copies of proposals adopted • consultation papers • final reports and • master copies of policy circulars. 	PERMANENT



Operational Records Disposal Schedule

RDS 2010/13 Version 2

Effective Date: 2011-04-12 to **2021-06-30**

Extension Granted: 2021-06-30 to **2023-06-30**

Records Date Range: 1924 to **Ongoing**

Department of Treasury and Finance (Corporate)

FUNCTION Activity / Process		Description	Disposal Action
1.8.2	Policy	Supplementary records relating to the background and development of DTF policies. Includes: <ul style="list-style-type: none"> • working papers • interim and draft reports • surveys • input by branches and sections and • proposals not adopted. 	TEMPORARY Destroy 8 years after action completed.
1.9	Policy Analysis	<i>The activity of providing strategic policy analysis and advice on policy issues that impact on government service provision, particularly medium to longer-term social policy issues in the areas of education, training, health, indigenous affairs, family and community services and justice portfolios.</i>	
1.9.1	Policy Analysis	Records relating to high-level policy analysis, for example expenditure review of the Department of Families and Communities. Reviews can be requested by the Treasurer or Deputy Under Treasurer. Includes: <ul style="list-style-type: none"> • requests • expenditure review • analysis and • final report. 	PERMANENT



Operational Records Disposal Schedule

RDS 2010/13 Version 2

Effective Date: 2011-04-12 to **2021-06-30**

Extension Granted: 2021-06-30 to **2023-06-30**

Records Date Range: 1924 to **Ongoing**

Department of Treasury and Finance (Corporate)

FUNCTION Activity / Process		Description	Disposal Action
1.9.2	Policy Analysis	Records relating to other policy analysis, for example briefings to the Treasurer, Under Treasurer and Deputy Under Treasurer regarding changes in policies that are released (eg medium to longer term social policy issues in the areas of education, training, health, indigenous affairs, family and community services and justice portfolios. Includes: <ul style="list-style-type: none"> • requests • expenditure review • analysis and • final reports. 	TEMPORARY Destroy 8 years after action completed.
1.10	Procedures	<i>Standard methods of operating laid down by an organisation according to formulated policy. (KWAAA)</i>	
1.10.1	Procedures	Master copies of DTF's operational business procedures.	PERMANENT
1.10.2	Procedures	Records relating to the development and implementation of DTF's operational business procedures.	TEMPORARY Destroy 8 years after action completed.
1.11	Program Management	<i>The activities involved in the management of an ongoing series of actions including planning, implementing, monitoring and assessing a program. Includes the program management of event.</i>	



Operational Records Disposal Schedule

RDS 2010/13 Version 2

Effective Date: 2011-04-12 to **2021-06-30**

Extension Granted: 2021-06-30 to **2023-06-30**

Records Date Range: 1924 to **Ongoing**

Department of Treasury and Finance (Corporate)

FUNCTION Activity / Process		Description	Disposal Action
1.11.1	Program Management	Substantive records received and generated by the Department of Treasury and Finance relating to the development and progress of departmental programs. Includes records such as expressions of interest, nomination forms, guest lists, budgets, approvals, etc.	PERMANENT
1.11.2	Program Management	Facilitative records received and generated by the Department of Treasury and Finance relating to the development and progress of departmental programs.	TEMPORARY Destroy 8 years after action completed.
1.12	Project Management	<i>The activities involved in the management of a defined series of actions including planning, implementing, monitoring and assessing a project.</i> <i>Projects include major projects, Public Private Partnerships (PPPs) and market projects.</i>	



Operational Records Disposal Schedule

RDS 2010/13 Version 2

Effective Date: 2011-04-12 to **2021-06-30**

Extension Granted: 2021-06-30 to **2023-06-30**

Records Date Range: 1924 to **Ongoing**

Department of Treasury and Finance (Corporate)

FUNCTION Activity / Process		Description	Disposal Action
1.12.1	Project Management	<p>Records relating to the management of major projects and PPPs where DTF is the originating agency. For example, the National Wine Centre.</p> <p>Includes:</p> <ul style="list-style-type: none"> • advice • approvals • briefings • risk analysis • finances • original minutes of meetings • outline business cases • probity services and • public sector comparator. <p>Use Item 1.5.1 for Steering Committee records. Use Item 1.12.2 for facilitative records and working papers relating to projects where DTF is the originating agency. Use Item 1.12.3 and 1.12.4 for records relating to projects where DTF is <i>not</i> the originating agency. Use Item 1.12.5 for market projects.</p> <p>Use GDS 30 v2 7.2 GOVERNMENT RELATIONS – Briefings (agencies) submissions for records relating to Cabinet Submissions.</p>	PERMANENT



Operational Records Disposal Schedule

RDS 2010/13 Version 2

Effective Date: 2011-04-12 to **2021-06-30**

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Records Date Range: 1924 to **Ongoing**

Department of Treasury and Finance (Corporate)

FUNCTION Activity / Process		Description	Disposal Action
1.12.2	Project Management	<p>Facilitative records and working papers relating to the management of major projects and PPPs where DTF is the originating agency. For example, the National Wine Centre.</p> <p>Includes:</p> <ul style="list-style-type: none"> • copies of project documentation, eg requests for proposals • copies of minutes of meetings • interactive tendering • expressions of interest and • contract negotiation. <p>Use Item 1.5.1 for Steering Committee records. Use Item 1.12.5 for marketing projects. Use GDS 30 v2 7.2 GOVERNMENT RELATIONS – Briefings (agencies) submissions for records relating to Cabinet Submissions.</p>	<p>TEMPORARY Destroy 17 years after action completed.</p>



Operational Records Disposal Schedule

RDS 2010/13 Version 2

Effective Date: 2011-04-12 to **2021-06-30**

Extension Granted: 2021-06-30 to **2023-06-30**

Records Date Range: 1924 to **Ongoing**

Department of Treasury and Finance (Corporate)

FUNCTION Activity / Process		Description	Disposal Action
1.12.3	Project Management	<p>Records relating to the management of major projects and PPPs where DTF is not the originating agency. For example, the new Royal Adelaide Hospital.</p> <p>Includes:</p> <ul style="list-style-type: none"> • advice • approvals • briefings • finances and • minutes of meetings. <p>Use Item 1.5.1 for Steering Committee records. Use Items 1.12.1 and 1.12.2 for records relating to projects where DTF is the originating agency. Use Item 1.12.4 for facilitative records relating to projects where DTF is <i>not</i> the originating agency. Use Item 1.12.5 for market projects. Use GDS 30 v2 7.2 GOVERNMENT RELATIONS – Briefings (agencies) submissions for records relating to Cabinet Submissions.</p>	TEMPORARY Destroy 17 years after action completed.



Operational Records Disposal Schedule

RDS 2010/13 Version 2

Effective Date: 2011-04-12 to **2021-06-30**

Extension Granted: 2021-06-30 to **2023-06-30**

Records Date Range: 1924 to **Ongoing**

Department of Treasury and Finance (Corporate)

FUNCTION Activity / Process		Description	Disposal Action
1.12.4	Project Management	<p>Facilitative records and working papers relating to the management of major projects, including Public Private Partnerships where DTF is not the originating agency. For example, the new Royal Adelaide Hospital.</p> <p>Includes:</p> <ul style="list-style-type: none"> • copies of project documentation from originating agency, eg requests for proposals • minutes of meetings • interactive tendering • expressions of interest and • contract negotiation. <p>Use Item 1.5.1 for Steering Committee records. Use Item 1.12.5 for marketing projects. Use GDS 30 v2 7.2 GOVERNMENT RELATIONS – Briefings (agencies) submissions for records relating to Cabinet Submissions.</p>	TEMPORARY Destroy 8 years after action completed.



Operational Records Disposal Schedule

RDS 2010/13 Version 2

Effective Date: 2011-04-12 to **2021-06-30**

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Records Date Range: 1924 to **Ongoing**

Department of Treasury and Finance (Corporate)

FUNCTION Activity / Process		Description	Disposal Action
1.12.5	Project Management	<p>Records relating to the management of market (commercial sales) projects. For example, sale of government owned buildings.</p> <p>Includes:</p> <ul style="list-style-type: none"> • original documentation for tenders • surveys • briefings • approvals • sales contracts • working groups notes • legal reviews • scoping studies • minutes of meetings and • correspondence. <p>Use Item 1.5.1 for Steering Committee records. Use GDS 30 v2 7.2 GOVERNMENT RELATIONS – Briefings (agencies) submissions for records relating to Cabinet Submissions.</p>	PERMANENT
1.13	Recruitment (Graduates)	<i>The activity of recruiting graduates for state government agencies through established equal opportunity programs (for example, graduates and trainees).</i>	
1.13.1	Recruitment (Graduates)	Records relating to the establishment of the Graduate Recruitment Program.	PERMANENT



Operational Records Disposal Schedule

RDS 2010/13 Version 2

Effective Date: 2011-04-12 to **2021-06-30**

Extension Granted: 2021-06-30 to **2023-06-30**

Records Date Range: 1924 to **Ongoing**

Department of Treasury and Finance (Corporate)

FUNCTION Activity / Process		Description	Disposal Action
1.13.2	Recruitment (Graduates)	Records relating to the administration of graduate and non-graduate placements within the public sector. For personnel files see GDS 30 v2 5.3 EMPLOYEE MANAGEMENT – Case Files (Employees).	TEMPORARY Destroy 7 years after action completed.
1.13.3	Recruitment (Graduates)	Records relating to the development and production of information sessions relating to the Graduate Recruitment Program. These sessions are aimed at potential applicants at university, TAFE or similar bodies.	TEMPORARY Destroy 7 years after action completed.
1.13.4	Recruitment (Graduates)	Records relating to the maintenance of the Graduate Recruitment website. Includes updating of the website content.	TEMPORARY Destroy 7 years after action completed.
1.13.5	Recruitment (Graduates)	Records relating to the advertising of the Graduate Recruitment Program through external sources such as newspapers and websites. This includes general advertisements concerning the establishment of a program or specific advertisements from agencies where a graduate is required for a particular position.	TEMPORARY Destroy 7 years after action completed.
1.13.6	Recruitment (Graduates)	Records relating to the development of the Graduate Recruitment Program, including correspondence with agencies.	TEMPORARY Destroy 7 years after action completed.



Operational Records Disposal Schedule

RDS 2010/13 Version 2

Effective Date: 2011-04-12 to **2021-06-30**

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Records Date Range: 1924 to **Ongoing**

Department of Treasury and Finance (Corporate)

FUNCTION Activity / Process		Description	Disposal Action
1.13.7	Recruitment (Graduates)	Records relating to applications received for the Graduate Recruitment Program. Includes: <ul style="list-style-type: none"> • initial application letter/form • the response and • correspondence between the parties. 	TEMPORARY Destroy 7 years after action completed.
1.14	Reporting	<i>The processes associated with initiating or providing a formal response to a situation or request (either internal, external or as a requirement of corporate policies), and to provide formal statements or findings of the results of their examination or investigation. Includes agenda, briefing, business, discussion papers, proposals, reports, reviews and returns. (KWAAA)</i>	
1.14.1	Reporting	Records relating to high-level reporting of the State's finances as required under the Public Finance and Audit Act. For example, Whole of Government Consolidated Report and Treasurer's Statements.	PERMANENT
1.14.2	Reporting	Support and background papers used to develop reports.	TEMPORARY Destroy 7 years after action completed.
1.14.3	Reporting	Records of routine statistical data (for example on state revenues and expenditures) that are reported to external bodies, for example the Commonwealth Grants Commission.	TEMPORARY Destroy 5 years after last action.



Government
of South Australia

Operational Records Disposal Schedule

RDS 2010/13 Version 2

Effective Date: 2011-04-12 to **2021-06-30**

Extension Granted: 2021-06-30 to **2023-06-30**

Records Date Range: 1924 to **Ongoing**

Department of Treasury and Finance (Corporate)

FUNCTION Activity / Process		Description	Disposal Action
1.15	Standard Setting	<i>The process of developing Whole of Government industry standards or benchmarks for services and processes to enhance State Government agencies' efficiency.</i>	
1.15.1	Standard Setting	Records relating to the development of statewide frameworks and guidelines for State Government agencies. For example, the Accounting Policy Framework. Also includes Treasurers Instructions.	PERMANENT









FINAL RDS 2010-13 v2 - Department of Treasury and Finance (Corporate)

Final Audit Report

2021-07-15

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