ADRI Glossary of Disposal Triggers

Exposure Draft

Background

The Australasian Digital Recordkeeping Initiative (ADRI) is a collaboration between all ten national, state and territory public record institutions in Australia and New Zealand. ADRI was formed to articulate and promote a common approach to digital recordkeeping.

This draft glossary of disposal triggers was developed by ADRI to define the terms and meanings of commonly used triggers in ADRI disposal authorities. It will assist in:

- promoting greater consistency in the terms used in Australian and New Zealand disposal authorities

- the automation of triggers in electronic document and records management systems (EDRMS)

- consistency in records retention across the sectors.

The draft is being released to the wider recordkeeping community in Australia and New Zealand for review and feedback.

Comments are invited on any aspect of the draft Glossary and are due back by Tuesday 31 January 2012. Comments should be forwarded to Kevin Chin, ADRI Secretariat at Kevin.Chin@prov.vic.gov.au.

Why have a glossary of triggers?

The aim of the glossary is to establish some agreed terms and associated meanings for common triggers used in disposal authorities issued by ADRI member institutions. In order to:

a) enable ADRI member institutions to develop shared implementation advice on commonly used triggers and provide consistent advice to agencies on the meanings of triggers, and

b) encourage better software automation and implementation of triggers.

By using the triggers and implementation advice in this Glossary, ADRI members will produce more consistent and system-implementable disposal actions in the disposal authorities they issue, and government agencies will receive better and more consistent guidance on turning the authorities they are using into implementable data in systems to effect disposal actions.

Terms used in this Glossary

Disposal class: Contains a reference number, a description of records that document and are derived from the performance of a particular function / activity or other grouping and a disposal decision for these records.

Disposal decision: A combination of a disposal status/action; trigger/event and retention period. For example: Destroy 5 years after last action.

Trigger: An event that causes the retention period 'clock' to start ticking.

Disposal action: The status of the records in the disposal class as being either permanent or temporary and / or an indication of whether they are to be retained as State/National/Public/Territory archives, destroyed or some other action requiring forma authorisation such as transfer to a different jurisdiction or private entity.

What kinds of triggers are described in the glossary?

The glossary lists common disposal triggers that are both business and recordkeeping related. The business related triggers include those that are more closely tied to a business event ('expiry of x', where x might be a licence, for example) and that are more generic (such as 'action completed'), to cope with the range of disposal class types and their differing scopes (broad to narrow) that are used across ADRI.

How to use the Glossary

From its issue date onwards, ADRI member institutions should require the use of trigger terms from the glossary as the wording conventions for triggers in the disposal authorities they issue, and should integrate them into advice and training on the development of disposal authorities in their jurisdictions.

Authors of disposal authorities (whether ADRI member, consultant or agency representative) would be required to use these terms with their associated meanings for the most commonly applied triggers.

Please note: Other triggers stemming from more specific recordkeeping requirements not covered in the glossary can still be used, with the terminology being determined in the normal drafting process by or in consultation with the ADRI member institution.

Disposal actions syntax

ADRI members may still use their preferred phrasing for disposal decisions and still comply with the recommended triggers from the Glossary. For example, NAA's 'Destroy 5 years after action completed' and SRNSW 'Retain minimum of 5 years after action completed, then destroy' would both be acceptable. The purpose of the Glossary is to ensure that when disposal actions are broken down into machine readable data, there is some consistency across the 'Trigger' data values.

Advising agencies on the implementation of 'Action completed'

Where an ADRI member favours the use of the trigger 'Action completed', agencies using their authorities will need to translate triggers into actual business events in their recordkeeping / business systems environments.

For example, where 'Action completed' is the trigger in the authority, the agency should seek to determine the actual completion point of the business, such as the issue of a final report – and map the records disposal information for the records concerned to this date information, whether it is elsewhere in the recordkeeping system or in an external system such as a workflow or web publishing system.

If the actual business completion action is known, an ADRI member may issue a disposal authority with the specific customised trigger.

Triggers

	Trigger	Meaning	Examples of use
1.	Action completed	The business as described in the disposal class has come to an end. For example, a project has concluded, a case has been closed. If the actual completion date is known, an ADRI member may issue a disposal authority with the specific customised trigger. Use for 'Administrative use ceases'.	Retain 5 years after action completed then destroy Retain until action completed Destroy 20 years after action completed
2.	Appointment	The appointment of a person to a role such as an employee of a government agency or a member of a Board.	Retain 20 years after appointment then destroy
3.	Created	For records managed at the individual record, object or item level as is often the case with, for example, financial records. Intended to assist in managing their retention using a known date, as opposed to an often unknown date, such as of an audit.	Retain 1 year after mailing list created Destroy 7 years after financial statement created
4.	Date of birth	The date of birth of a subject of a business transaction or series of business transactions, such as a child in care, an employee, a prisoner or a patient.	Retain 75 years after date of birth of employee then destroy
5.	Date of death	The date of death of a subject of a business transaction or series of business transactions, such as a child in care, an employee, a prisoner or a patient.	Retain 7 years after date of death of client then destroy
6.	Disposed of	The disposal or decommissioning of an asset such as a car, a property or piece of equipment.	Retain 6 years after computer equipment disposed of then destroy

			Retain minimum of 7 years after property disposed of, then destroy
7.	Expired	Expiration of the effect of a policy/legal instrument such as a contract, lease, mortgage, authorisation, licence, policy, warranty.	Retain 15 years after agreement has expired then destroy Retain 7 years after licence has expired then destroy
8.	Issued	The issue of a policy / legal instrument such as a licence, tender, invoice, authorisation, agreement, policy, warranty or MOU.	Retain 20 years after accreditation has been issued then destroy Retain 7 years after permit issued then destroy
9.	Reference use ceases	For cases where no more specific trigger relating to the conclusion of the business transaction/s can be identified. The agency defines for itself the point at which the trigger occurs or defines the retention period for EDRMS implementation e.g. 6 months. Generally used for short term value / low risk records or for cases of passive reference rather than more active administrative action.	Retain until reference use ceases Destroy after reference use ceases
10.	Separation	The separation of an employee from an organisation, including by resignation, termination, redundancy.	Retain 7 years after separation then destroy
11.	Superseded	Documents such as rules, policies, procedures, training materials, quality manuals etc that have been replaced with a new version or entity.	Retain 5 years after training course materials are superseded then destroy
12.	Terminated	Similar to expiry but for policy/legal agreements such as licences, authorisations, agreements that have been cancelled, revoked or otherwise terminated because of breaches of conditions etc.	Retain 15 years after licence is terminated then destroy Retain 20 years after accreditation is terminated then transfer to archives

Disposal actions

	Action	Meaning
1.	Retain as National archives Retain as Public archives Retain as State archives Retain as Territory archives	Authorised for permanent retention and eligible for transfer to the archives authority's control and in most cases its custody.
2.	Destroy	Authorised for destruction, usually after expiration of a set period of time after a specified trigger.
3.	Transfer	Authorised for transfer to another entity such as a different government jurisdiction, usually after expiration of a set period of time after a specified trigger.