



## State Records Act 1997

# Operational Records Disposal Schedule

### State Procurement Board and predecessor Boards

#### RDS 2015/24 Version 1

Effective Date: 16 August 2016 to 30 June 2026

Approved Date: 16 August 2016

Approved by SRC



State Procurement Board

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Approved by SRC



## State Procurement Board

### 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

#### State Procurement Board

**Approved Date: 16 August 2016**

**Effective Date: 16 August 2016 to 30 June 2026**

### Authorisation by State Records

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

### State Records' Contact Information

#### State Records of South Australia

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**Chair, State Records Council**

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**Director, State Records**



## State Procurement Board

# 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 and/or controlled by State Procurement Board, 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 staff from State Procurement Board 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* - available from State Records’ website ([www.archives.sa.gov.au](http://www.archives.sa.gov.au)).

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.

## Using the Schedule

The Schedule applies only to the records described within it.



## State Procurement Board

### 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 12 point bold Arial upper case at the start of each section. ( *e.g.* **PROCUREMENT MANAGEMENT**)
- Activity/Process:** The activities and processes relating to each function are shown in 12 point bold Arial sentence case (*e.g.* **Procurement Services**).
- 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 managing, undertaking, reviewing and reporting on established contracts, policy and guideline development, the compliance of policies and guidelines and procurement processes for the establishment of government contracts.**)
  - definitions of activities are located adjacent to the activity title in italics *e.g.* *The activities associated with procurement of goods and services for the government and its administration. Includes submission review.*
  - 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 of State Procurement Board. 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.



## State Procurement Board

Retention periods set down in the Schedule are minimum ones and State Procurement Board may extend the retention period of the record if it considers there is an administrative need to do so. Where State Procurement Board 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

#### Permanent Records

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

- 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.

Agencies with valid reasons to retain permanent records for longer than 15 years should apply in writing to Director [Manager], State Records requesting either a postponement or an exemption from section 19.

It should be noted that postponement or exemption are only granted in exceptional circumstances.

#### Temporary 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)***. State Procurement Board needs to comply with these policy documents - available from State Records' website ([www.archives.sa.gov.au](http://www.archives.sa.gov.au)).

The custody of official records on networks or hard drives is also the responsibility of agencies. State Procurement Board needs 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.

### Destruction of Temporary Records

Temporary records can only be destroyed with the approval of the Chief Executive or delegate in accordance with the Destruction of Official Records Guideline issued by State





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Records of South Australia. Failure to comply with this direction falls under Section 17 of the *State Records Act 1997* and may be considered by ICAC as misconduct or maladministration.

Prior to destruction, the following General Disposal Schedules (GDS) need to be consulted:

- ***GDS 16 Impact of Native Title Claims on Disposal of Records*** to ensure records which are relevant to native title claims in South Australia are identified and preserved.
- ***GDS 27 for Records Required for Legal Proceedings or Ex Gratia Applications Relating to Alleged Abuse of Former Children Whilst in State Care*** to ensure the preservation of official records that may relate to the rights and entitlements of the individuals who present a court claim or apply for an ex gratia payment and of the State Government in defending or processing those claims and applications.
- ***GDS 32 for Records of Relevance to the Royal Commission into Institutional Responses to Child Sexual Abuse*** to ensure that records of relevance to the Royal Commission are protected and available for the purposes of the Royal Commission and any subsequent actions involving the South Australian Government as well as for future reference and accountability purposes and to protect the rights and entitlements of stakeholders.

When official records, in State Procurement Board's custody or housed in secondary storage, are due to be destroyed in accordance with the provisions of this or other disposal determinations, State Records is required to be notified via an Intention to Destroy Records Report. This form is available on the State Records' website ([www.archives.sa.gov.au](http://www.archives.sa.gov.au)).

State Procurement Board must ensure that all destruction is secure and confidential and that a certificate confirming destruction is provided by private contractors.

Standard methods for destruction of paper are shredding, pulping or other means that are environmentally friendly.

Records in electronic format must only be destroyed by reformatting or rewriting to ensure that the data and any "pointers" in the system are destroyed. "Delete" instructions do not offer adequate security as data may be restored or recovered.

State Procurement Board must keep their own record of all records destroyed, noting the relevant disposal authority. Proof of destruction may be required for legal purposes, or in response to FOI applications. When records are destroyed systems that control them should also be updated by inputting destruction dates and relevant disposal authorities.

### Review

State Records' disposal schedules apply for a period of ten years. Either State Procurement Board 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.



### State Procurement Board

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

Approved by SRC



## State Procurement Board

### Context Statement

#### Context of the Agency Covered by the Schedule

##### State Procurement Board History and Background

The Supply and Tender Board came into existence in 1888, when it was constituted under the South Australian Railways Commissioners Act<sup>1</sup>. Its early development can be split into three stages:

- a. 1887 – The first Supply and Tender Board was constituted under the South Australian Railways Commissioners Act, 1887 (No. 414) as a result of the Commission on Government Stores in 1886 (The Act came into operation in June 1888.)
- b. 1894 – The second Supply and Tender Board was constituted under the South Australian Railways Commissioners Act Amendments Act 1894 (no 612) as a result of the Royal Commission on Stores in 1893. (The Act came into operation in June 1895.)
- c. 1914 – The second Supply and Tender Board was abolished by the provision of a new Act, the Public Supply and Tender Act, 1914, (No 1151). The third Supply and Tender Board was not connected with the South Australian Railways. (The Act came into operation in January 1915.) The new Board, consisting of 5 members of the Public Service, controlled the Public Stores Department, whose head (The Chief Storekeeper) was designated the Board's executive officer.

From 1914 the Department assumed control over all stores except railway engines and rolling stock from the railway store, and occupied the old railway store at Mile End for some years. By 1930 it operated an additional store at Port Adelaide. In its supply function, the Department operated by both purchasing goods for supply to other departments, and by arranging for departments to obtain supplies direct from contractors.

In 1940 it was realized that the Board was not a body corporate and therefore not a legal entity. To remedy the problem the Board became a body corporate, whereby it could sue and be sued and acquire and dispose of property in its own name.

By 1947, the Under Treasurer was Chairman of the Board. Later chairmen included; MA Wildy 1965-74 (after the creation of the State Supply Department in 1972, and an amendment to the Act in 1971, the chief executive officer of this [and successor] agency was always the chairman of the board), JR Dunstan 1974, W Voyzey 1974-82, JE Burdett 1982-86, HE Roeger 1986-87. A London office (by 1947) and regional supply centres at Whyalla (from 1978) and Mt Gambier (1979) were maintained for some time.

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<sup>1</sup> State Supply 1888-1988, published by State Supply Board 1988



## State Procurement Board

By 1969 fourteen technical advisory committees had been appointed to assist the Board in decisions on the most suitable products for use in government. The number of advisory committees varies and there were 25 of them in 1976. During the mid-1970s, the Board and the Department commenced ADP operations for various aspects of control. These included the implementation of an ADP stores/stock control system in 1975, and a system to Control Payment of Accounts in 1976. In 1973, the Board hosted the first national meeting of State Supply authorities, and a major fire damaged the Mile End store which (together with the Kent Town store) was closed in 1976. A new central store at Seaton was opened in 1976. The Produce Department was closed on October 1975 and incorporated within the Department. Subsequently, in 1979, the Light Square complex was closed down.

A series of enquiries (including a working party report...on ADP file of contract information and associated matters & public sector procurement and supply functions) were instituted in 1979, which set the scene for major changes in the Board and the Department. The Board began to issue a series of policy statements in 1981 to guide, assist and regulate the supply function in the public sector. A review and updating of the conditions of contract and tender was conducted. In 1985, the State Supply Act was proclaimed as 'an Act to provide for and control the acquisition, distribution, management and disposal of goods for or by public authorities'. The Act abolished the Supply and Tender Board, and constituted the State Supply Board.

From 25<sup>th</sup> July 1994 until 2009 the SPB also had powers and functions under the *Gaming Machines Act 1992* relating to the sale and/or transfer of machines, games on those machines and denominations that may be played on approved games and machines. In 2009 the responsibility of managing gaming machines was held by Shared Services. As at 30<sup>th</sup> June 2011 procurement of gaming machines ceased to be a function of the South Australian Government and entities now deal directly with gaming machine companies.

From 2005 to 2009 SPB was part of DAIS. When DAIS was abolished in March 2009 SPB became the responsibility of DTF. The State Procurement Board has a direct reporting line to the Minister for Finance supported by Procurement, Policy & Governance.

The State Procurement Board (SPB; established in 2005) comprises senior industry representatives and senior executives of key government agencies. This commercial and public sector mix assists the Board to develop policies which advance public sector procurement reform but which also respond to the broader interests of government including opportunities for small and medium enterprises and local and regional industry.

### State Procurement Board Role and Function

As defined by section 12 of the *State Procurement Act 2004*, the Board's functions are to:

- a) facilitate strategic procurement by public authorities by setting the strategic direction of procurement practices across government;



### State Procurement Board

- b) develop, issue and keep under review policies, principles and guidelines relating to the procurement operations of public authorities;
- c) develop, issue and keep under review standards for procurement by public authorities using electronic procurement systems;
- d) give directions relating to the procurement operations of public authorities;
- e) investigate and keep under review levels of compliance with the Board's procurement policies, principles, guidelines, standards and directions;
- f) undertake, make arrangements for or otherwise facilitate or support the procurement operations of public authorities;
- g) assist in the development and delivery of training and development courses and activities relevant to the procurement operations of public authorities;
- h) provide advice and make recommendations to responsible Ministers and principal officers on any matters relevant to the procurement operations of public authorities;
- i) carry out the Board's functions in relation to prescribed public authorities and any other functions assigned to the Board under this Act.

For the purpose of performing its functions, the Board may—

- a) acquire, hold, deal with and dispose of real and personal property; and
- b) enter into any kind of contract or arrangement; and
- c) acquire or incur any other rights or liabilities; and
- d) direct a public authority to furnish to the Board documents or information relating to the operations of the authority; and
- e) exercise such other powers as are conferred on it under this Act or as are necessary for, or incidental to, the effective performance of its functions.

The specific functions and component activities of State Procurement Board which form the structure of this RDS are as follows:

#### Procurement Management

- Advice
- Assessment
- Complaint Resolution
- Disposal Services
- Guidelines
- Policy
- Procedures
- Procurement Services
- Procurement Submissions
- Regulating
- Reporting



## State Procurement Board

- Research
  - Policy
  - Procedures
  - Procurement (Goods & Services)
  - Reviewing
  - Standards
- Training and Development**
- Advice
  - Assessment
  - Development
  - Enrolment
  - Guidelines

The Board provides strategic leadership and develops, implements and oversees high value, strategic contracts for use across government.

The Board also certifies agency procurement processes to ensure that they comply with procurement principles, in particular, that they are fair, robust in terms of probity, demonstrate sound procurement planning, risk management and will achieve best value for money. In the Board's assessment of proposals, it also considers the extent to which contract arrangements will support other government objectives such as regional development, opportunities for local business and indigenous employment.

Another principle role of the Board is public authority accreditation. This involves the Board assessing each authority's demonstrated procurement capability as well as its risk management and accountability systems to support levels of delegated authority to contract for the purchase of goods and services. Based upon this assessment, the Board accredits agency chief executives with a certain accreditation level. Improving the level of strategic skills across the South Australian government is an important imperative for the Board. The Board facilitates training that ranges from targeted information sessions to formal qualifications from Certificate IV in government (procurement and contracting) to Masters in Management (Strategic Procurement). More than 130 qualifications have been obtained by the agency procurement staff since 2010.

### State Procurement Board Structure Description

The Board reports directly to the Minister for Finance.

### Predecessor Agencies

- Supply and Tender Board, 1887-1985
- State Supply Board, 1985-October 2005

### Successor Agencies

There are no successor agencies.

### Legislation

- *State Procurement Act 2004*
- *State Supply Act 1985*



## State Procurement Board

- *Public Supply and Tender Act 1914*
- *SA Railways Commission Amendment Act 1894*
- *SA Railways Commissioner Act 1887*

## Context of the Records Covered by the Schedule

### Coverage of RDS 2015/24

This RDS covers records of predecessor agencies dating from 1940 as well as ongoing operations and specifically excludes records of former Contract Services group.

- GRS6985 - 1953-1956 - Contract Files (6 cartons) – Supply and Tender Board
- GRS11859 - 2007-current – Corporate files (30 cartons) – State Procurement Board
- GRS11860 – 2004-2006 – Corporate files (24 cartons) – State Procurement Board

### Related Series Affected by RDS 2015/24

There are no related series affected by RDS 2015/24 Version 1

### Complementary Schedules to RDS 2015/24

- RDS 2010/13 Version 1 – Department of Treasury and Finance (Corporate)

### Existing Disposal Schedules Superseded by RDS 2015/24

- RDS 2005/23 Version 1 State Procurement Board.

### Records Structure within State Procurement Board

The SPB manages its records through the DTF's Objective database. All creation and management of records is managed by the SPB's Administrative Support Officer provided by DTF Procurement, Policy & Governance. New files are created on request in the Objective database. SPB records are separated from DTF records by the function and activity. The functions of Procurement Management and Training and Development exclusively contain records of SPB.

### Broad Description and Purpose of the Records

#### 1942 - 2004

The records in this RDS identified relating to SPB are minutes and agendas dating back to 1942. These records are not numbered and are in meeting date order. These records are excluded from this schedule as they are now covered by GDS30.



## State Procurement Board

Earlier records can be found in GRG15/8 Minutes – Supply and Tender Board, and predecessors.

### 2004 – current

Records included in RDS 2015/24 cover the core functions of the SPB, namely, Procurement Management and Training and Development. The SPB's records are recorded on the Department of Treasury & Finances EDRMS (currently Objective). Prior to July 2009 RecFind and Bookmark were the two systems used. At the time of transfer of records to DTF's Electronic Document and Records Management System (EDRMS) the control records of these systems were transferred to Microsoft Excel spreadsheets and saved as files that are now captured in Objective.

In 2009 SPB ceased to provide for disposal of goods belonging to public authorities. The record classes (1.4.1 and 1.4.2) are still required to cover existing records.

### **Functions and Activities Documented by the Records**

The functions and activities of the SPB were ascertained through consultation of documentation, websites and consultation with staff both of the SPB and the DTF.

The functions and component activities of the SPB which form the structure of this RDS are as follows:

#### **Procurement Management**

- Advice
- Assessment
- Complaint Resolution
- Disposal Services
- Guidelines
- Policy
- Procedures
- Procurement Services
- Procurement Submissions
- Regulating
- Reporting
- Research

#### **Training and Development**

- Advice
- Assessment
- Development
- Enrolment
- Guidelines
- Policy
- Procedures
- Procurement (Goods & Services)
- Reviewing
- Standards

### **Arrangement of the Records**

The records entered in Objective are numbered T&F/YY/NNNN (e.g. T&F/15/0001)

Up until July 2009 the records were entered in RecFind, these records were split into two databases, the supply database and the administration database. The RecFind database followed the format of XX-XXX/YY/NNNN (e.g. 24-313/05/1111; 24-313 indicates the Procurement Team) and Bookmark is YY/NN (e.g. 05/11).





## State Procurement Board

The Contracts Services Team previously used 10-102 which was then broken down into business units.

### Agency Creating the Records

State Procurement Board (and predecessor agencies) that administers the records covered by this RDS also created them.

### Agency Owning or Controlling the Records

State Procurement Board that administers the records covered by this RDS also controls or owns them.

### Date Range of the Records

Records Date Range: 1940 to current

### Volume of the Records

The estimated volume of records affected by this RDS:

- On-site – approximately 30 linear metres
- State Records repository – approximately 12 linear metres
- Recall - approximately 34 linear metres

The annual accumulation rate is approximately 5 metres (150 files).

There are currently approximately 32.2 GB of electronic records saved within network drives and databases including drafts and possible duplications.

### 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.



## State Procurement Board

### Comments Regarding Disposal Recommendations

#### Permanent Records Rationale

Records deemed to be permanent are those which have a continuing value to the State or are of national significance. The appraisal objectives adopted by State Records of South Australia as per its *Appraisal of Official Records: Policy and Objective Guidelines*<sup>2</sup> for identifying records of permanent value relevant to the records covered by this Schedule are:

*Objective 1: 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.*

Examples of disposal classes of SPB which meet this objective include:

- Records relating to the disposal of goods that generate substantial public interest (Item 1.4.1)
- Master copy of SPB guidelines (Item 1.5.1)

#### Temporary Records Rationale

Temporary records are those considered not to have continuing value to the SPB, the government or to society. Records documenting core business activities in this Schedule that are considered of temporary value or which have short, or less-than-permanent, terms before expiry include:

- Facilitative records relating to the development of guidelines, policies and procedures. (Items 1.5.2, 1.6.2, 1.7.2)

#### Other Disposal Considerations

The following classes from 2005/23 are retired – 2.1.1-2.1.2, 2.3.1, 2.4.1-2.4.3, 2.5.1-2.5.3, 2.6.1, 2.8.1, 2.9.1-2.9.2, 2.10.1-2.10.2 for ongoing coverage for closed records relating to gaming machines.

#### Disposal Recommendation Effect on Related Records

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

#### Alternative Record Formats

There are no alternative record formats.

<sup>2</sup> Appraisal of Official Records - Policy and Objectives Guideline February 2003 Version 1.8



## State Procurement Board

### Impact on Native Title Claims

There is no discernible relevance to Native Title Claims.

### Indigenous Considerations

The determinations within *RDS 2015/24* 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.

*RDS 2015/24* meets all cultural, historical, legal and administrative requirements.

All documents considered relevant to native title in South Australia must be checked for actual relevance with the Native Title Section of the Crown Solicitor's Office before being disposed of.

Approved by SRC



## State Procurement Board

### Scope Note

#### Records Covered by this Schedule

This *RDS 2015/24* applies to the records of the State Procurement Board.

#### How to Apply this Schedule

##### Use in conjunction with GDS

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

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.

To identify records that may be potentially relevant to *Legal Proceedings or Ex Gratia Applications Relating to Alleged Abuse of Former Children Whilst in State Care*, please refer to **GDS 27**. Where records sentenced for temporary retention are identified as having potential relevance, they need to be retained until 31 December 2020.

To identify records that may be potentially relevant to the *Royal Commission into Institutional Responses to Child Sexual Abuse*, please refer to **GDS 32**. Where records sentenced for temporary retention are identified as having potential relevance, they need to be retained until 31 December 2023.

##### Use in conjunction with, or complementary to, other RDS

This RDS does not complement any existing schedules.

##### Other RDS superseded by RDS 2015/24

- 2005/23 Version 1 approved 14/2/2006
- The following classes from 2005/23 are retired – 2.1.1-2.1.2, 2.3.1, 2.4.1-2.4.3, 2.5.1-2.5.3, 2.6.1, 2.8.1, 2.9.1-2.9.2, 2.10.1-2.10.2 for ongoing coverage for closed records relating to gaming machines.

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

State Procurement Board will review and re-sentence the records whose retention periods have altered.



## State Procurement Board

### Records excluded from RDS 2015/24

The following records are excluded from cover by this RDS.

- GRS1769 – 1942-1997 – minutes of meetings (22 cartons) - Supply and Tender Board and State Supply Board – GDS30

### Application to records in all formats

RDS 2015/24 applies to records in all formats, including databases and other electronic records. The State Procurement Board 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 RDS 2015/24 are minimum retention periods for which records need to be retained. It is at the discretion of the SPB as to whether records are kept for longer than the minimum period.

### Acronyms

- APU – Accredited Purchasing Unit
- AVETMISS - Australian Vocational Education and Training Management Information Support System
- DAIS – Department of Administration and Information Services
- DTF – Department of Treasury and Finance
- RPL – recognition of prior learning

### Definitions of terms specific to RDS 2015/24

- Significant or substantial 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 State 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.
- Public interest – of interest to the welfare or wellbeing of the public.

## 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 must be deposited with (a) the National Library of Australia and (b)



## State Procurement Board

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 (section 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 the SPB 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 must not be destroyed. In such circumstances the records must 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.

## Pre-1901 Records

All pre-1901 records are required to be **retained permanently** in accordance with a motion approved by the State Records Council on 19 February 2008.

In this instance, this RDS does **NOT** apply to pre-1901 records.



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APPROVED BY SRC



**State Procurement Board**

Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
<b>1 PROCUREMENT MANAGEMENT</b>			
<b>1</b>	<b>PROCUREMENT MANAGEMENT</b>	<b>The function of managing, undertaking, reviewing and reporting on established contracts, policy and guideline development, the compliance of policies and guidelines and procurement processes for the establishment of government contracts.</b>	
<b>1.1</b>	<b>Advice</b>	<i>The activities associated with offering opinions by or to the organisation as to an action or judgement. Includes the process of advising. (KAAA)</i>	
1.1.1	Advice	Records relating to the provision of high level advice, for example to the Minister or CEO, relating to substantial procurement management aspects of the SPB. Includes advice sought for directions issued by the Minister to Government, ministerial enquiries, review of Cabinet submissions, legislation and/or policy.	<b>PERMANENT</b>
1.1.2	Advice	Records relating to advice concerning routine operational matters, excluding legal advice. Includes advice relating to day-to-day government purchasing.  See Also GDS 30 Item 11.2 LEGAL SERVICES – Litigation for complaints that lead to litigation.	<b>TEMPORARY</b> Destroy 8 years after action completed.
<b>1.2</b>	<b>Assessment</b>	<i>The activities associated with the assessment of the levels of competency and capability of individuals and public authorities in procurement and contract management.</i>	
1.2.1	Assessment	Records relating to the assessment of public authorities for their capability. Includes application for assessment and signed certificate.  See Also Item 2.2.1 – TRAINING AND DEVELOPMENT – Assessment for individual assessments.	<b>TEMPORARY</b> Destroy 7 years after action completed.





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Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
<b>1 PROCUREMENT MANAGEMENT</b>			
<b>1.3</b>	<b>Complaint resolution</b>	<i>The activities associated with managing complaints relating to procurement management made against, or to, the SPB or public authorities by clients or suppliers, the Ombudsman or a Member of Parliament that do not lead to litigation.</i>  <i>See GDS30 Legal Services – Litigation for complaints that lead to litigation.</i>	
1.3.1	Complaint resolution	Register of complaints relating to procurement. The register includes date complaint lodged, organisation name, file number, summary of complaint, agency responsible, relevant contract, status, learnings and outcomes.	<b>PERMANENT</b> Actively manage and migrate to ensure ongoing accessibility for evidentiary and/or historical purposes.
1.3.2	Complaint resolution	Records relating to documenting complaints relating to procurement made against or to the SPB or public authorities by clients or suppliers, the Ombudsman or a Member of Parliament and/or relatives on behalf of a client that do not lead to litigation.	<b>TEMPORARY</b> Destroy 10 years after action completed.
<b>1.4</b>	<b>Disposal services</b>	<i>The activity of providing for the disposal of goods belonging to South Australian public authorities. Includes, cash sales, auctions, destruction etc. Includes the disposal, with the approval of the Minister, of goods for a body other than a public authority or prescribed public authority.</i>	
1.4.1	Disposal services	Records relating to the disposal of goods that generates substantial public interest (e.g. sale of historic or significant state items).  No longer undertaken since 2009.	<b>PERMANENT</b>



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Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
<b>1 PROCUREMENT MANAGEMENT</b>			
1.4.2	Disposal services	Records relating to the disposal of goods that does not generate substantial public interest, (e.g. government motor vehicle auctions, office equipment). No longer undertaken since 2009.	<b>TEMPORARY</b> Destroy 7 years after action completed.
<b>1.5</b>	<b>Guidelines</b>	<i>The activity of developing guidelines for operation laid down by the State Procurement Board according to formulated policy.</i>	
1.5.1	Guidelines	Original Master copy of agency guidelines.	<b>PERMANENT</b>
1.5.2	Guidelines	Records relating to the development of SPB guidelines.	<b>TEMPORARY</b> Destroy 8 years after action completed.
<b>1.6</b>	<b>Policy</b>	<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 agency's operating procedures are determined. (KAAA)</i>	
1.6.1	Policy	Records relating to SPB wide operational policies that have the authorisation of the Board. Includes master copies of proposals adopted, consultation papers, final reports, and master copies of policy circulars.	<b>PERMANENT</b>
1.6.2	Policy	Records relating to the background and development of SPB operational policies. Includes working papers, interim and draft reports, surveys, and proposals not adopted.	<b>TEMPORARY</b> Destroy 10 years after action completed.
1.6.3	Policy	Records relating to input by external public authorities into SPB wide operational policies.	<b>TEMPORARY</b> Destroy 10 years after action completed.
<b>1.7</b>	<b>Procedures</b>	<i>Standard methods of operating laid down by an agency according to formulated policy. (KAAA)</i>	



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Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
<b>1 PROCUREMENT MANAGEMENT</b>			
1.7.1	Procedures	Original Masters of SPB operational and administrative procedures.	<b>PERMANENT</b>
1.7.2	Procedures	Records relating to the development and implementation of SPB operational and administrative procedures.	<b>TEMPORARY</b> Destroy 10 years after action completed.
<b>1.8</b>	<b>Procurement services</b>	<p><i>The activities associated with procurement of goods and services for the government and its administration.</i></p> <p><i>Note: Purchasing on behalf of agencies ceased in 1996.</i></p> <p><i>See also GDS 30 FINANCIAL MANAGEMENT – Procurement (Goods &amp; Services)</i></p> <p><i>See <b>Procurement Submissions</b> for records post 1996.</i></p>	
1.8.1	Procurement services	Records relating to procurement of asbestos.	<b>TEMPORARY</b> Destroy 100 years after action completed.
1.8.2	Procurement services	Records relating to procurement services. Includes acquisition plans, purchase recommendations, proposals, and responses.	<b>TEMPORARY</b> Destroy 20 years after action completed.
<b>1.9</b>	<b>Procurement submissions</b>	<p><i>The activities associated with submissions for procurement of goods and services for the government and its administration. Includes procurement submission review.</i></p> <p><i>Note: Purchasing on behalf of agencies ceased in 1996.</i></p> <p><i>See also GDS 30 FINANCIAL MANAGEMENT – Procurement (Goods &amp; Services)</i></p>	



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Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
<b>1 PROCUREMENT MANAGEMENT</b>			
1.9.1	Procurement submissions	Records relating to procurement submissions. Includes acquisition plans, purchase recommendations, proposals, and responses.	<b>TEMPORARY</b> Destroy 10 years after action completed.
1.9.2	Procurement submissions	Procurement submissions register. Includes details of value of submission, date approved/refused, key points of approval and conditions of approval. Includes actual database.	<b>TEMPORARY</b> Destroy 10 years after last entry. Manage & reformat as required to maintain accessibility for administrative & evidentiary purposes.
<b>1.10</b>	<b>Regulating</b>	<i>The activities associated with regulating State Procurement Board requirements and enforcing its legislated responsibilities. Includes audit, inspection, authorisation, monitoring, review and enforcement.</i>	
1.10.1	Regulating	Records relating to the regulating of agencies for compliance with the SPB's requirements. Includes program of audits, action plans, reviews.	<b>TEMPORARY</b> Destroy 10 years after action completed.
<b>1.11</b>	<b>Reporting</b>	<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. (KAAA) See GDS 30 STRATEGIC MANAGEMENT – Reporting for other forms of reporting</i>	
1.11.1	Reporting	Records relating to reports to the Minister or Parliament. Includes actual reports.	<b>PERMANENT</b>



State Procurement Board

Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
<b>1 PROCUREMENT MANAGEMENT</b>			
<b>1.12</b>	<b>Research</b>	<i>The activities involved in investigating or enquiring into a subject or area of interest in order to discover facts, principles, etc. Used to support the development of projects, standards, guidelines, etc. and the business activities of the agency in general. Includes following up enquiries relating to agency programs, projects, working papers, literature searches, etc. (KAAA)</i>	
1.12.1	Research	Records relating to major research projects relating to procurement management (e.g. Procurement Reform initiatives).	<b>PERMANENT</b>
1.12.2	Research	Records relating to minor research projects relating to procurement.	<b>TEMPORARY</b> Destroy 5 years after action completed.



**State Procurement Board**

Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
<b>2 TRAINING AND DEVELOPMENT</b>			
<b>2</b>	<b>TRAINING AND DEVELOPMENT</b>	The function of developing, delivering and managing training for increasing competency and capability in procurement.	
<b>2.1</b>	<b>Advice</b>	<i>The activities associated with offering opinions by or to the organisation as to an action or judgement. Includes the process of advising. (KAAA)</i>	
2.1.1	Advice	Records relating to the provision of high level advice, for example to the Minister or CEO, relating to substantial training and development aspects of the SPB (e.g. across government training initiatives supported by the Board, i.e. Procurement Learning Program or Procurement Capability Development Program).	<b>PERMANENT</b>
2.1.2	Advice	Records relating to advice concerning routine operational matters, excluding legal advice (e.g. records relating to training solutions for individuals and/or procurement authorities).	<b>TEMPORARY</b> Destroy 8 years after action completed.
<b>2.2</b>	<b>Assessment</b>	<i>The activities associated with the assessment of the levels of competency and capability of individuals and public authorities in procurement and contract management.</i>	
2.2.1	Assessment	Records relating to individual assessments. Includes workplace assessments, RPL, statement of attainment and AVETMISS. See Also Item 1.2.1 – PROCUREMENT MANAGEMENT – Assessment for public authority assessments.	<b>TEMPORARY</b> Destroy 30 years after action completed.
2.2.2	Assessment	Records relating to assessment manuals, assessment forms and training needs analysis. Includes actual forms and manuals.	<b>TEMPORARY</b> Destroy 2 years after action completed.



**State Procurement Board**

Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
<b>2 TRAINING AND DEVELOPMENT</b>			
<b>2.3</b>	<b>Development</b>	<i>The activities of designing and developing materials for the provision of education services.</i>	
2.3.1	Development	Records relating to development of curriculum. Includes course work development, RPL guidelines etc.	<b>TEMPORARY</b> Destroy 7 years after action completed.
<b>2.4</b>	<b>Enrolment</b>	<i>The activities involved in processing applications for enrolment.</i>	
2.4.1	Enrolment	Records relating to enrolment. Includes enrolment application form, attendance sheets and letter of confirmation.	<b>TEMPORARY</b> Destroy 7 years after action completed.
<b>2.5</b>	<b>Guidelines</b>	<i>The activity of developing guidelines for operation laid down by the State Procurement Board according to formulated policy.</i>	
2.5.1	Guidelines	Master copy of agency guidelines.	<b>PERMANENT</b>
2.5.2	Guidelines	Records relating to the development of SPB guidelines.	<b>TEMPORARY</b> Destroy 8 years after action completed.
<b>2.6</b>	<b>Policy</b>	<i>The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making, as the basis from which the organisation's operating procedures are determined.</i>	
		<i>See Also GDS 30 Item 13.17 – STRATEGIC MANAGEMENT - Policy</i>	
2.6.1	Policy	Records relating to SPB wide operational policies that have the authorisation of the CEO. Includes master copies of proposals adopted, consultation papers, final reports, and master copies of policy circulars.	<b>PERMANENT</b>



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Item No.	FUNCTION Activity / Process	Description / Disposal Class	Disposal Action
<b>2 TRAINING AND DEVELOPMENT</b>			
2.6.2	Policy	Supplementary records relating to the background and development of operational SPB policies. Includes working papers, interim and draft reports, surveys, and proposals not adopted.	<b>TEMPORARY</b> Destroy 5 years after action completed.
2.6.3	Policy	Records relating to input by external public authorities into SPB wide operational policies.	<b>TEMPORARY</b> Destroy 5 years after action completed.
<b>2.7</b>	<b>Procedures</b>	<i>Standard methods of operating laid down by an organisation according to formulated policy. (KAAA)</i>	
2.7.1	Procedures	Master copy of agency procedures.	<b>PERMANENT</b>
2.7.2	Procedures	Records relating to development and implementation of SPB operational and administrative procedures.	<b>TEMPORARY</b> Destroy 5 years after action completed.
<b>2.8</b>	<b>Reviewing</b>	<i>The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.</i>	
2.8.1	Reviewing	Records relating to reviewing of curriculum, presenter, venue etc.	<b>TEMPORARY</b> Destroy 5 years after action completed.





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State Procurement Board

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