ORDA Quick Tips Library

ORDA is a secure, web-based system to manage the drafting and submission of your agency's Retention and Disposal Schedule.

Through ORDA, you can draft or import your disposal schedule, export your disposal schedule in different formats, and search across other approved disposal schedules for existing precedents. The Government Information Strategy Unit (GISU) within the Tasmanian Archive + Heritage Office (TAHO) will review your draft schedule within ORDA and provide comments to guide your development project. Collaboration between you and GISU to develop your disposal schedule, from draft to final approval, is conducted entirely through ORDA.

The ORDA Quick Tips Library is a series of 'how to' documents designed to provide staged instruction to agency staff and representatives responsible for drafting schedules through ORDA.

OQT 1.2 – TAHO Business rules

In order to support agencies developing functional Retention and Disposal Schedules, particularly those embarking on a schedule for the first time, TAHO have defined some generic business rules. These introductory 'house keeping' guidelines are intended to help reduce or eliminate the need for administrative advice during the review process, allowing GISU staff and agencies to focus on the analysis and appraisal aspects.

The preliminary tables are intended to provide advice specifically tailored to one of the following scenarios:

- Where a new schedule is being developed (or it has been some time since a schedule was developed)
- Where an existing (and relatively current) schedule requires minor amendment, or
- Where an existing schedule requires a major review (typically if 5 years or more have elapsed since release).

As most agencies will not have developed a schedule in ORDA previously, it is highly recommended the 'new schedule development' instructions be read in conjunction with either of the other two scenarios. There are also some 'general' considerations that we have provided in anticipation of likely questions from agencies during the development process, located on page 5 of this document.

Finally, advice is also provided about the assignment of restricted access to records of PERMANENT value. Traditionally determined upon the point of transfer to TAHO, the inclusion of restricted access during business functions and activities analysis allows for particularly sensitive records types to be identified and documented in the agency schedule. When disposal is undertaken, and records are identified for transfer to TAHO, this information can then be referenced for any relevant records classes.

GISU Business Rules – New Schedule Development specifications

Requirement	Who
The structure of the Retention and Disposal Schedule should be developed as a three tiered structure of Term (Function) – Term (Activity) – Class (disposal class).	Agency
Function titles must be presented in full capitals (e.g. FINANCIAL MANAGEMENT). Activity and class titles (where used) – to be presented in sentence case (e.g. Budgeting).	Agency
Functions must be arranged in alphabetical order, with Activities arranged in alphabetical order under their respective Function.	Agency
Disposal classes should be listed under each Activity, ranging from those classes identified as Permanent records, through to the shortest applicable retention (e.g. Temporary – Destroy when reference ceases).	Agency
Disposal justifications must be provided for **all** disposal classes. These provide the rationale for the recommendation, and include references to comparable schedules in other jurisdictions; regulatory frameworks (legislative or accountability requirements); business needs (as identified in staff interviews), and stakeholder expectations (internal/external/community). When used to support disposal recommendations, ensure the source is appropriately documented to assist the review process.	Agency
Ensure that the records described within a functional Retention & Disposal Schedule, relate to the unique and/or legally mandated functions of the agency. Avoid duplication of disposal classes covered by DA2157 Common Administrative Functions.	Agency
Use "See" references to help locate/identify similar or related records classes (either within the schedule under development, and also to other schedules in use by the agency, where relevant). Examples include references to related records classes within DA2157, DA2158 and DA2101. **Note:** These reference links must be made at the Function or Activity level of the disposal schedule, not at the individual class level to minimise the impact of change over time.	Agency
Disposal classes must stand alone, and be described independently of each other. For example, do not use phrases such as 'not described in xx.xx.xx'.	Agency
Examples of records should be provided, and bullet pointed for ease of reading.	Agency
Avoid jargon, and/or ambiguous or subjective statements such as "records considered significant" or "records not considered significant" *unless definitions are provided*. Be specific and meaningful in your descriptions – they should be understood by people external to (and unfamiliar with) the agency, and able to be easily applied to the records they are intended to reference.	Agency
Function and Activity level scope notes should also not be generic or ambiguous in nature. Tailor the scope note to suit the Function/Activity it reflects.	Agency
Avoid the use of acronyms unless names are also spelled out in full.	Agency
Where relevant, name specific business systems in scope notes to ensure coverage.	Agency

GISU Business Rules - Schedule Revision specifications (minor amendment)

Requirement	Who
When undertaking revision, if a term or class is to be revoked, combined or replaced, resulting renumbering will likely occur within the schedule itself. This process may impact sentencing of records already undertaken. TAHO will assist in the development of mapping or linking documents to address previously sentenced records, however agencies may require specialised Database Administrator assistance to develop scripts to perform update of classes, where superseded or significantly revised Schedules have been loaded into EDRMS systems.	TAHO +Agency (IT)
Schedules should, wherever possible, undergo a full review every 5 years. Minor amendments required within that period, such as the addition of a class, minor re-wording to a term or scope note, or adjustment to a class description or change to a disposal recommendation may be made in consultation with TAHO.	Agency + TAHO
Disposal justifications must be provided for all disposal classes *where there is a change to the original recommendation*. These provide the rationale for the recommendation, and may include reference to other jurisdictions schedules; regulatory frameworks (legislative or accountability requirements); business needs (as identified in staff interviews), and stakeholder expectations (internal/external/community). When used to support disposal recommendations, ensure the source is appropriately documented to assist review. Additionally, disposal justifications for Permanent class records may also require review.	Agency
Check that scope notes are not generic or ambiguous in nature. Tailor the scope note to suit the Function/Activity it reflects.	Agency
Check for jargon, and/or ambiguous or subjective statements such as "records considered significant" or "records not considered significant". These should be avoided *unless definitions are provided*. Be specific and meaningful in your descriptions – they should be understood by people external and unfamiliar with the agency, and able to be easily applied to the records they are intended to reference.	Agency

GISU Business Rules - Schedule Revision specifications (major review)

Requirement	Who
When undertaking revision, if a term or class is to be revoked, combined or replaced, resulting renumbering will likely occur within the schedule itself. This process may impact sentencing of records already undertaken. TAHO will assist in the development of mapping or linking documents to address previously sentenced records, however agencies may require specialised Database Administrator assistance to develop scripts to perform update of classes, where superseded or significantly revised Schedules have been loaded into EDRMS systems.	TAHO +Agency (IT)
Schedules should, wherever possible, undergo a full review every 5 years. ORDA will automatically identify schedules that require revision, and TAHO will contact agencies to advise a review is required.	TAHO
Disposal justifications must be provided for **all** disposal classes, whether new or previously existing. Where a substantial period of time has elapsed, significant changes to the legislative and operating environment may mean that former appraisal decisions no long apply. Justifications provide the rationale for the disposal recommendation, and may include reference to other jurisdictions schedules; regulatory frameworks (legislative or accountability requirements); business needs (as identified in staff interviews), and stakeholder expectations (internal/external/community). When used to support disposal recommendations, ensure the source is appropriately documented to assist review.	Agency
Check that scope notes are not generic or ambiguous in nature. Tailor the scope note to suit the Function/Activity it reflects.	Agency
Check for jargon, and/or ambiguous or subjective statements such as "records considered significant" or "records not considered significant". These should be avoided *unless definitions are provided*. Be specific and meaningful in your descriptions – they should be understood by people external to (and unfamiliar with) the agency, and able to be easily applied to the records they are intended to reference.	Agency

General Development Considerations

Issue	Requirement
Single function development	Whilst it may be desirable for functions to be developed individually and submitted for approval one at a time, this has the potential to create numbering issues within ORDA. To avoid these potential issues, agencies will be required to enter all top level Functions (and associated scope notes) into their schedule structure, *although subsequent activity and class development may be limited to a single function.* This is to ensure these additional functions act as 'placeholders' within the ORDA numbering system until such time as development is completed.
Context changes	Requirements for additional background information to be included within the Schedule's context elements, should be referred to the GISU reviewer assigned. This may include specific scope requirements, relevant background about the agency or business unit it relates to, etc.
Archival justification	Where records are identified as "Retain as State Archives" (Permanent records that must eventually transfer to TAHO), in addition to the completion of a disposal justification (free text), a corresponding appraisal principle <u>must</u> also be selected from the drop down menu selections provided. See also *ORDA Quick Tip 3.5 Development and Review – Disposal elements* for requirements relating to the assignment of archival justifications to records identified as PERMANENT.
Restricted access	Under Section 15 of the Archives Act 1983, records will become publicly accessible when transferred to TAHO unless access restrictions are set at the time of transfer. ORDA allows for agencies to pre-identify particularly sensitive records classes, and highlight access restriction requirements in the disposal schedule, that can be easily referenced later when making an application to transfer. See also *ORDA Quick Tip 4.2 Decision Making – Assigning Restricted Access* for requirements relating to the allocation of restricted access to records identified as PERMANENT that have particularly sensitive content.
Adequate training	TAHO recommends that agency representatives undertaking the development of a new disposal schedule, or a major revision of an existing schedule, attend the TAHO training course "Developing an agency disposal schedule" prior to commencing work. Scheduled training can be found on the GISU website.

Related TAHO Resources:

Appraisal Statement for State records required as State Archives

Guideline 2 Retention and disposal of State records

Guideline 4 Agency determination of access restrictions

Guideline 6 Developing a functional records disposal schedule

Advice 2 All about appraisal

Advice 13 Writing disposal classes

Advice 28 Getting started on the development of an agency functional disposal schedule

Information is available via the GISU website on relevant training programs recommended for agencies undertaking Retention + Disposal Schedule development projects.

Contact us:

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Information Security Classification

This document has been security classified using the Tasmanian Government Information Security classification standard as PUBLIC and will be managed according to the requirements of the Tasmanian Government Information Security Policy.

Document Development History
Build Status

Version	Date	Author	Reason	Sections
2.0	August 2015	Sam Foster-Davies	Review	Introduction; Resources; Contact Us
1.0	December 2014	Sam Foster-Davies	Initial Release	All

Amendments in this Release

Section Title	Section Number	Amendment Summary
Contact Us; Introduction		Updated Unit name and email address
Resources		Removed hyperlinks and updated to reflect revised tools

Issued: August 2015

Ross Latham
State Archivist