

## PROCUREMENT

The function of obtaining goods and services to support an agency's business, including the services of consultants and contractors. Includes the activities of acquisition, agreements, contracting-out and tendering. Also includes the development and review of policies and procedures to support the function, planning the procurement process, assessment and management of associated risks, auditing, authorisation of delegations and reporting. Excludes acquisition of land and construction of buildings, and procurement undertaken to support the Defence combat function.

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### Acquisition

The process of gaining ownership or use of property and other items, or the provision of services required in the conduct of business through purchase or requisitions.

*For the acquisition of equipment, goods and services through a tender process, use PROCUREMENT – Tendering.*

*For records relating to the leasing of equipment, goods and services, use PROCUREMENT – Leasing.*

*For the acquisition of land and construction of buildings, use PROPERTY MANAGEMENT – Acquisition.*

*For the management of contracted services, use PROCUREMENT – Contracting-out.*

*For the entry of equipment and stores into an agency's asset register, use FINANCIAL MANAGEMENT – Asset Register.*

*For managing financial transactions supporting acquisition activities, use FINANCIAL MANAGEMENT – Accounting and/or FINANCIAL MANAGEMENT – Payments.*

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Entry	Description of records	Disposal action
19477	<p>Records documenting the acquisition of equipment, goods and services where there is no tender or contracting-out process (that is, where the cost of the acquisition is below the threshold for tendering or where a purchase is made against a period contract). Includes:</p> <ul style="list-style-type: none"> <li>• formal requests for quote</li> <li>• orders</li> <li>• handover reports</li> <li>• correspondence relating to acquisition.</li> </ul> <p>Excludes the acquisition of vehicles for Commonwealth use.</p> <p><i>For the assessment of the suitability of equipment, goods and services considered for procurement and the preparation of specifications, use PROCUREMENT – Evaluation.</i></p>	Destroy 7 years after action completed
19478	<p>Records documenting the acquisition of vehicles for Commonwealth use. Includes:</p> <ul style="list-style-type: none"> <li>• quotes</li> <li>• justification for choice</li> <li>• orders</li> <li>• handover reports.</li> </ul> <p><i>For the assessment of the suitability of equipment, goods and services considered for procurement and the preparation of specifications, use PROCUREMENT – Evaluation.</i></p>	Destroy 7 years after disposal of vehicle

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<b>Entry</b>	<b>Description of records</b>	<b>Disposal action</b>
19479	Investigations into the acquisition of equipment, goods and services that were not proceeded with.	Destroy 2 years after action completed
19480	Records relating to warranties and guarantees for equipment, goods and services. Includes vehicle warrantees and guarantees.	Destroy when warranty or guarantee expires or item is disposed of, whichever is sooner

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### Advice

The activities associated with offering opinions by or to an organisation as to an action or judgement. Includes the process of advising.

<b>Entry</b>	<b>Description of records</b>	<b>Disposal action</b>
19481	Records relating to the receipt and provision of advice on the procurement function.	Destroy 7 years after action completed

### Agreements

The processes associated with the establishment, maintenance, review and negotiation of agreements.

*For the leasing of equipment, goods and services in support of an agency's business, use PROCUREMENT – Leasing.*

<b>Entry</b>	<b>Description of records</b>	<b>Disposal action</b>
19482	Final versions of agreements made relating to the procurement of equipment, goods and services (for example, memoranda of understanding). Includes agreements with vendors or other agencies to provide equipment, goods and services.	Destroy 7 years after expiry or other termination of agreement

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### Audit

The activities associated with officially checking financial, quality-assurance and operational records to ensure they have been kept and maintained in accordance with agreed or legislated standards, and correctly record the events, processes and business of an organisation in a specified period. Includes compliance audits, financial audits, operational audits, recordkeeping audits, skills audits, system audits and quality-assurance audits.

Entry	Description of records	Disposal action
19483	Final internal or external audit reports relating to the procurement function.	Destroy 7 years after action completed
19484	Records documenting the planning and conduct of internal and external audits relating to the procurement function. Includes: <ul style="list-style-type: none"> <li>• liaison with the auditing body</li> <li>• minutes of meetings</li> <li>• notes taken at opening and exit interviews</li> <li>• draft reports</li> <li>• comments.</li> </ul>	Destroy 3 years after action completed

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### Authorisation

The process of delegating power to authorise an action, and the seeking and granting of permission to undertake a requested action.

<b>Entry</b>	<b>Description of records</b>	<b>Disposal action</b>
19485	Delegations of power to agency staff to authorise administrative action relating to the procurement function.	Destroy 7 years after delegation expires
19486	Authorisations for administrative action supporting the procurement function.	Destroy 7 years after action completed

### Compliance

The activities associated with complying with mandatory or optional accountability, fiscal, legal, regulatory or quality standards or requirements to which the organisation is subject. Includes compliance with legislation, and with national and international standards such as the ISO 9000 series.

*Other activities within this function may also be relevant to the Compliance activity.*

<b>Entry</b>	<b>Description of records</b>	<b>Disposal action</b>
19487	Records documenting agency compliance with mandatory or optional standards, or with statutory requirements relating to the procurement function.	Destroy 7 years after action completed

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### Construction

The process of making or building something.

Entry	Description of records	Disposal action
19488	Records documenting the in-house construction of equipment and plant.  <i>For the design of equipment and plant, use PROCUREMENT – Evaluation.</i>  <i>For establishing and managing the intellectual property of agency-designed equipment and plant, use LEGAL SERVICES – Intellectual Property.</i>	Destroy 7 years after disposal of asset

### Contracting-out

The activities involved in managing the performance of work or the provision of goods and services by an external contractor, vendor or consultant, or by using external bureau services. Includes outsourcing.

*For information on records issues relating to outsourcing and contracting-out, see General Disposal Authority 25.*

Entry	Description of records	Disposal action
19489	Records documenting contract management relating to the procurement function. Includes: <ul style="list-style-type: none"> <li>• minutes of meetings with main stakeholders</li> <li>• performance and evaluation reports.</li> </ul>	Destroy 7 years after completion or other termination of contract

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### Evaluation

The process of determining the suitability of potential or existing programs, items of equipment, systems or services in relation to meeting the needs of a given situation. Includes systems analysis and ongoing monitoring.

*For the assessment of the suitability of technology and telecommunications equipment, goods and services, use TECHNOLOGY & TELECOMMUNICATIONS – Evaluation.*

Entry	Description of records	Disposal action
19490	<p>Initial evaluation of requirements for equipment, goods and services. Includes assessment of whole-of-government solutions (that is, period contracts, buyers' guides and endorsed suppliers). Also includes justification of decisions not to proceed with such solutions.</p> <p><i>For the acquisition of equipment, goods and services where there is no tender or contracting-out process, use PROCUREMENT – Acquisition.</i></p> <p><i>For the acquisition of equipment, goods and services by a tender or contracting-out process, use PROCUREMENT – Tendering.</i></p> <p><i>For the re-evaluation of existing equipment, goods and services, use the Reviewing activity under the relevant function.</i></p>	<p>Destroy 7 years after action completed</p>

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<b>Entry</b>	<b>Description of records</b>	<b>Disposal action</b>
19491	<p>Records documenting the development and issue of specifications for equipment and stores (including purpose-built equipment and stores).</p> <p><i>For the development of specifications for technology and telecommunications equipment, goods and services, use TECHNOLOGY &amp; TELECOMMUNICATIONS – Evaluation.</i></p>	Destroy 7 years after action completed

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### Leasing

The activities involved in leasing items, equipment, accommodation, premises or real estate from another organisation. Includes the process of chartering.

*For the leasing of accommodation, premises or real estate from another organisation or individual, use PROPERTY MANAGEMENT – Leasing.*

Entry	Description of records	Disposal action
19492	Records documenting the leasing of equipment, goods and services (that is, where the agency is the lessee). Includes: <ul style="list-style-type: none"> <li>• negotiations</li> <li>• cost-benefit analyses</li> <li>• assessments</li> <li>• signed leases.</li> </ul>	Destroy 7 years after lease expires or is terminated

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Entry	Description of records	Disposal action
19493	<p>Records documenting the administration and management of leased equipment, goods and services. Includes reports received from leasing companies and signed leases.</p> <p><i>For the disposal of leased equipment, use the Disposal activity under the relevant function.</i></p> <p><i>For the maintenance of leased equipment, use the Maintenance activity under the relevant function.</i></p> <p><i>For fringe benefit tax reports received from a leasing company, other than for the leasing of vehicles, use PERSONNEL – Salaries.</i></p> <p><i>For fringe benefits tax reports relating to the leasing of vehicles, use FLEET MANAGEMENT – Compliance.</i></p> <p><i>For managing financial transactions supporting leasing activities, use FINANCIAL MANAGEMENT – Accounting and/or FINANCIAL MANAGEMENT – Payments.</i></p>	<p>Destroy 7 years after lease expires or is terminated</p>
19494	<p>Records documenting the administration of short-term rental vehicles for official business.</p> <p><i>For managing financial transactions associated with the short-term rental of vehicles, use FINANCIAL MANAGEMENT – Accounting and/or FINANCIAL MANAGEMENT – Payments.</i></p>	<p>Destroy 7 years after action completed</p>
19495	<p>Records relating to the leasing of equipment, goods or services, where the lease is not proceeded with.</p>	<p>Destroy 2 years after action completed</p>

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### Meetings

The activities associated with ad hoc gatherings held to formulate, discuss, update or resolve issues and matters pertaining to the management of the section, department or organisation as a whole. Includes arrangements, agenda, taking of minutes, etc. Excludes committee meetings.

<b>Entry</b>	<b>Description of records</b>	<b>Disposal action</b>
19496	Final versions of minutes and supporting documents tabled at meetings held to support the procurement function. Includes meetings with external agencies.	Destroy 3 years after action completed
19497	Working papers documenting the conduct and administration of meetings held to support the procurement function. Includes agenda, notices of meetings and draft minutes.	Destroy 1 year after action completed

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### Planning

The process of formulating ways in which objectives can be achieved. Includes determination of services, needs and solutions to those needs.

<b>Entry</b>	<b>Description of records</b>	<b>Disposal action</b>
19498	Final versions of agency-wide plans supporting the procurement function.	Destroy 7 years after plan is superseded
19499	Final versions of a section's or business unit's plans supporting the procurement function, including those of state, regional or overseas offices.	Destroy 2 years after plan is superseded
19500	Working papers used in developing all plans supporting the procurement function. Includes draft plans, reports analysing issues, and comments received from other areas of the agency.	Destroy 1 year after adoption of the final plan

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### Policy

The activities associated with developing and establishing decisions, directions and precedents that act as a reference for future decision-making, and as the basis from which the organisation's operating procedures are determined.

Entry	Description of records	Disposal action
19501	Records documenting the development and establishment of the agency's policies supporting the procurement function. Includes: <ul style="list-style-type: none"> <li>• policy proposals</li> <li>• research papers</li> <li>• results of consultations</li> <li>• supporting reports</li> <li>• major drafts</li> <li>• final policy documents.</li> </ul>	Destroy 7 years after policy is superseded
19502	Records documenting comments made on the development of government-wide policies supporting the procurement function.	Destroy 3 years after promulgation of the new policy
19503	Working papers documenting the development of all policies supporting the procurement function.	Destroy 3 years after promulgation of the new policy

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### Procedures

Standard methods of operating laid down by an organisation according to formulated policy.

<b>Entry</b>	<b>Description of records</b>	<b>Disposal action</b>
19504	Master sets of agency manuals, handbooks, directives, etc. detailing procedures supporting the procurement function.	Destroy 7 years after procedures are superseded
19505	Records documenting the development of agency procedures supporting the procurement function.	Destroy 2 years after action completed

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### Reporting

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 with providing formal statements or findings of the results of an examination or investigation. Includes agenda; briefing, business and discussion papers; proposals; reports; reviews; and returns.

<b>Entry</b>	<b>Description of records</b>	<b>Disposal action</b>
19506	Final versions of formal internal reports and reports made to external agencies relating to the procurement function.	Destroy 7 years after action completed
19507	Final versions of periodic internal reports on general administrative matters used to monitor and document recurring activities to support the procurement function.	Destroy 3 years after action completed
19508	Working papers documenting the development of all reports. Includes drafts and comments received.	Destroy 2 years after action completed

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### Reviewing

The activities involved in re-evaluating or re-examining products, processes, procedures, standards and systems. Includes recommendations and advice resulting from these activities.

<b>Entry</b>	<b>Description of records</b>	<b>Disposal action</b>
19509	Records documenting a review of agency programs and operations supporting the procurement function. Includes documents establishing the review, the final report and action plan.	Destroy 7 years after action completed
19510	Working papers documenting a review of agency programs and operations supporting the procurement function.	Destroy 3 years after action completed

### Risk Management

The process involving identification of risks, likelihood and consequences of those risks, and implementation of appropriate practice and procedures to treat the risks.

<b>Entry</b>	<b>Description of records</b>	<b>Disposal action</b>
19511	Records documenting risk management relating to the procurement function. Includes documentation covering each stage of the process, treatment schedules and action plans.	Destroy 7 years after next risk assessment
19512	Procurement risk registers.	Destroy 7 years after next risk assessment

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### Tendering

The activities involved in receiving and assessing tenders, making offers and finalising contract arrangements for the supply, sale or purchase of goods and services.

*For tendering in relation to the acquisition of land and construction of buildings, use PROPERTY MANAGEMENT – Tendering.*

<b>Entry</b>	<b>Description of records</b>	<b>Disposal action</b>
19513	Records documenting the development and issue of tender documentation. Includes business plans, statements of requirement, requests for proposal, expressions of interest, requests for tender, draft contracts and tender evaluation plans.	Destroy 7 years after tender process completed
19514	Evaluation of tenders received against selection criteria. Includes records documenting arrangements for carrying out the evaluation process, evaluation reports, recommendations, final reports and public notices.	Destroy 7 years after tender process completed
19515	Records documenting post-offer negotiations and due diligence checks.	Destroy 7 years after tender process completed
19516	Records of unsuccessful tenders, a tender process where there is no suitable bidder, or where the tender process is discontinued. Includes submissions, notifications of outcome and reports on debriefing sessions.	Destroy 3 years after tender process completed or decision made not to continue with tender
19517	Tender registers.	Destroy 7 years after last entry

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19518	Signed contracts under seal prior to 15 November 2005 resulting from tenders and supporting records: Western Australia. Includes the successful tender documentation.	Destroy 21 years after completion or other termination of contract
19519	Signed contracts under seal resulting from tenders and supporting records: Victoria and South Australia. Includes the successful tender documentation.	Destroy 15 years after completion or other termination of contract
19520	Signed contracts under seal resulting from tenders and supporting records: New South Wales, Western Australia (from 15 November 2005), Queensland, Tasmania, Australian Capital Territory and Northern Territory. Includes the successful tender documentation.	Destroy 12 years after completion or other termination of contract
19521	Signed simple contracts and agreements resulting from tenders and supporting records. Includes the successful tender documentation.	Destroy 7 years after completion or other termination of contract
19522	Contract registers.	Destroy 7 years after last entry