

Common administrative records created and maintained by New South Wales Public Offices

Authority number: GA28

Dates of coverage: 1940+

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EQUIPMENT & STORES - Acquisition

5.0.0 EQUIPMENT & STORES

The function of acquiring, supplying, maintaining, repairing and disposing of equipment and stores stocked and used by the organisation. Items of equipment include instruments, implements, tools, machines, plant, furniture and furnishings. Stores include chemicals, hardware, homeware items, kitchen/cleaning items, medical supplies and stationery.

See **FINANCIAL MANAGEMENT - Asset register** for records relating to the monitoring and assessment of equipment as corporate assets.

See **OCCUPATIONAL HEALTH & SAFETY - Risk management** for records relating to the assessment and control of risks arising from the use of equipment or stores within the workplace.

See **TECHNOLOGY & TELECOMMUNICATIONS** for records relating to the management of telecommunications and technological equipment such as telephones, facsimiles and computer hardware and software.

5.1.0 Acquisition

The process of gaining ownership or use of equipment and stores required for the conduct of business through purchase or requisition.

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

See **EQUIPMENT & STORES - Evaluation** for records relating to the assessment of the suitability of potential or existing items of equipment or stores.

See **EQUIPMENT & STORES - Leasing** for records relating to the leasing of items of equipment.

See **FINANCIAL MANAGEMENT - Accounting** for records relating to financial transactions supporting acquisition activities.

See **TENDERING** for records relating to receiving and assessing tenders.

5.1.1	Records relating to the acquisition of equipment and stores where there is no tendering or contracting-out process, i.e. where the cost of the acquisition is below the threshold for tendering. Records include: • formal requests for quotes and quotes received • business cases and/or approvals • orders • handover reports and goods inwards books • correspondence and negotiations, including minutes or notes of meetings or notes of discussions.	Retain minimum of 7 years after end of financial year in which transaction was completed, then destroy
5.1.2	Records relating to investigations into the acquisition of equipment & stores not proceeded with.	Retain until administrative or reference use ceases, then destroy
5.1.3	Records relating to warranties and guarantees for equipment and stores.	Retain until warranty or guarantee expires or until item is disposed of,

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EQUIPMENT & STORES - Agreements

		whichever is shorter, then destroy
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5.2.0 Agreements

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

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

See **EQUIPMENT & STORES - Acquisition** for records relating to warranties and guarantees.

See **EQUIPMENT & STORES - Leasing** for records relating to leasing agreements for equipment.

See **EQUIPMENT & STORES - Leasing-out** for records relating to leasing-out agreements for equipment.

See **TENDERING** for records relating to receiving and assessing tenders.

5.2.1	Records relating to the establishment, negotiation, maintenance and review of agreements regarding the provision or supply of equipment and stores that do not form part of contracting-out or tendering arrangements, e.g. servicing agreements. Records include: - correspondence and negotiations including minutes or notes of meetings with main stakeholders - drafts exchanged between parties - final, approved versions of agreements - reviews of agreements. Note: In some cases the agreement may specify retention periods for records relating to the agreement or the fulfilment of conditions of the agreement. In these cases the 'expiry of the agreement' should be interpreted to include the fulfilment of these retention periods or conditions.	Retain minimum of 7 years after expiry or termination of agreement or minimum of 7 years after action completed, whichever is longer, then destroy
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5.3.0 Allocation

The process of assigning equipment or stores to employees or organisational units.

See **FINANCIAL MANAGEMENT - Accounting** for records relating to the receipt and distribution of grant moneys.

See **FINANCIAL MANAGEMENT - Allocation** for records relating to Treasury allocations in response to the organisation's budget request.

5.3.1	Records relating to the allocation of equipment and stores to organisational units.	Retain minimum of 2 years after action completed, then destroy
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EQUIPMENT & STORES - Allocation

5.3.2	Records relating to the allocation of equipment to individuals for their ongoing use.	Retain minimum of 2 years after return, disposal or reallocation of equipment, then destroy
5.3.3	Records relating to the usage of equipment, e.g. bookings.	Retain until administrative or reference use ceases, then destroy

5.4.0 Arrangements

The activities involved in making arrangements for the delivery and usage of equipment or stores.

See **OCCUPATIONAL HEALTH & SAFETY - Compliance** for records relating to the identification of hazardous substances, e.g. the hazardous substances register.

5.4.1	Records relating to arrangements for the delivery of equipment and stores to the organisation. Records include delivery dockets. Note: Organisations covered by the <i>Corporations Act 2001</i> (Commonwealth) may be required to retain these records for a minimum of 7 years after end of financial year in which record was created. See EQUIPMENT & STORES - Acquisition for goods inward books.	Retain minimum of 2 years after end of financial year in which record was created, then destroy
5.4.2	Records relating to arrangements for the storage of non-hazardous equipment and stores within the organisation. Records include location management and stock control records. See PROPERTY MANAGEMENT - Maintenance for records relating to the storage, removal and off-site disposal of toxic or hazardous substances.	Retain minimum of 2 years after action completed, then destroy

5.5.0 Audit

The activities associated with officially checking quality assurance and operational records, systems or processes to confirm legislation, directions and regulations have been adhered to or that operations are carried out efficiently, economically and in compliance with requirements.

See **EQUIPMENT & STORES - Compliance** for records relating to the organisation's compliance with mandatory or optional standards or with statutory requirements regarding equipment and stores.

See **FINANCIAL MANAGEMENT - Audit** for records relating to formal audits of accounts or the management of financial resources.

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EQUIPMENT & STORES - Audit

5.5.1	Records relating to audits of the organisation's equipment and stores. Records include: • records of audit planning or liaison with auditing body • minutes or notes of meetings • notes taken at interviews • correspondence • draft versions of reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports • records of remedial action.	Retain minimum of 6 years after action completed, then destroy
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5.6.0 Claims

The process of administering and managing payments demanded in accordance with an insurance policy as compensation for damage to or destruction of property. Includes recompense sought for stolen or lost property.

See **COMPENSATION - Claims** for records relating to compensation claims for damage to or loss of personal property made by employees or members of the public.

See **EQUIPMENT & STORES - Insurance** for records relating to the management of insurance policies for equipment and stores.

5.6.1	Records relating to insurance claims for damage and loss incurred to the organisation's equipment and stores.	Retain minimum of 7 years after finalisation or withdrawal of claim, then destroy
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Committees

See **COMMITTEES** for records relating to the formation, meetings and decisions of committees, task forces, working groups or parties etc.

5.7.0 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.

See the organisation's functional retention and disposal authority for records relating to compliance if one of the functions of the organisation is to monitor and assess the compliance of other organisations with policies, standards and requirements on equipment and stores.

See **LEGAL SERVICES - Litigation** for records relating to prosecution of the organisation for breaches of compliance requirements.

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EQUIPMENT & STORES - Compliance

See **OCCUPATIONAL HEALTH & SAFETY - Compliance** for records relating to the licensing or registration of a business, substance, place or type of work as required by occupational health and safety legislation.

5.7.1	Records relating to the organisation's compliance with mandatory or optional standards or with statutory requirements regarding the management or use of equipment and stores, e.g. compliance with Treasurer's Directions. Note: The retention period provided is a guideline only. Any records providing evidence of organisational compliance with statutory or mandatory operating requirements should be kept as long as the organisation has to account for its actions.	Retain minimum of 7 years after action completed, then destroy
5.7.2	Records relating to registering, licensing or obtaining permits for the use of equipment and plant. Records include: • applications for registration or permit, renewals, cancellations or details regarding cancellation or suspension of permits, licences or registration • receipts for payment of fees (if relevant) • copies of permits, licences, certificates of registration • conditions of licensing or registration • applications for review of decisions regarding licensing or registration.	Retain minimum of 7 years after licence, permit or certificate of registration expires or is terminated, then destroy

Construction

See **EQUIPMENT & STORES - Compliance** for records relating to the registration or licensing of equipment or plant.

See **EQUIPMENT & STORES - Evaluation** for records relating to investigations undertaken to determine the organisation's requirements for equipment or stores.

See **EQUIPMENT & STORES - Maintenance** for records relating to the maintenance of equipment and stores.

See **OCCUPATIONAL HEALTH & SAFETY - Compliance** for records relating to the licensing or registration processes for a business, substance, place or type of work as required by occupational health and safety legislation.

See **PROPERTY MANAGEMENT - Construction** for records relating to the construction of premises or structures.

See **STRATEGIC MANAGEMENT - Intellectual property** for records relating to the management of intellectual property rights associated with equipment and plant designed by the organisation.

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EQUIPMENT & STORES - Disposal

Contracting-out

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

See **TENDERING** for records relating to receiving and assessing tenders

5.8.0 Disposal

The process of disposing of equipment and stores no longer required by the organisation by sale, transfer, termination of lease, auction or destruction.

See **FINANCIAL MANAGEMENT - Asset register** for records relating to removal of items from the organisation's asset register.

5.8.1	Records relating to the disposal of equipment and stores, including leased equipment and stores, through any means including sale, transfer, auction, exchange, return or destruction. Records include: • written notices and related correspondence, e.g. to and from leasing companies • handover reports • assessments and certifications of value of goods • independent valuation certificates verifying work undertaken on assets prior to valuation • written quotes • approvals to proceed • auction, sale or transfer records • related correspondence.	Retain minimum of 7 years after disposal of asset, then destroy
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Distribution

See **EQUIPMENT & STORES - Allocation** for records relating to the allocation of equipment and stores to individuals or organisational units.

See **EQUIPMENT & STORES - Arrangements** for records relating to the delivery and storage of equipment and stores.

5.9.0 Evaluation

The process of determining the suitability of potential or existing items of equipment or stores in relation to meeting the needs of the given situation. Includes ongoing monitoring.

See **EQUIPMENT & STORES - Acquisition** for records relating to the acquisition of equipment and stores.

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EQUIPMENT & STORES - Evaluation

See **EQUIPMENT & STORES - Reviewing** for records relating to the review of equipment and stores.

5.9.1	Records relating to investigations undertaken to determine the organisation's requirements for equipment or stores. Records include: • assessments of whole-of-government solutions, i.e. period contracts, buyers guides, endorsed suppliers • justifications of decisions on how to proceed • records of the development and issue of specifications and/or business cases • records of the evaluation and selection of storage areas. Also includes records relating to evaluation and monitoring undertaken for existing equipment.	Retain minimum of 2 years after action completed, then destroy
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Inspections

See the organisation's functional retention and disposal authority for records relating to the conduct of inspections of other organisations as part of core functions.

See **EQUIPMENT & STORES - Audit** for records relating to formal audits of items of equipment and stores.

See **EQUIPMENT & STORES - Compliance** for records relating to the organisation's compliance with mandatory or optional standards or with statutory requirements regarding equipment and stores.

See **EQUIPMENT & STORES - Stocktake** for records relating to stocktakes of equipment and stores.

See **OCCUPATIONAL HEALTH & SAFETY - Inspections** for records relating to inspections undertaken for occupational health and safety reasons.

See **OCCUPATIONAL HEALTH & SAFETY - Risk management** for records relating to the assessment and control of risks arising from plant or asbestos or hazardous materials.

5.10.0 Installation

The activities involved in placing equipment in position and connecting and adjusting it for use.

See **OCCUPATIONAL HEALTH & SAFETY - Risk management** for records relating to the assessment and control of risks arising from the use of equipment, plant or hazardous materials.

See **PROPERTY MANAGEMENT - Construction** for records relating to installations of equipment and plant undertaken as part of construction or renovation projects that involve structural changes.

See **TECHNOLOGY & TELECOMMUNICATIONS - Installation** for records relating to the placing of technology and telecommunications equipment in position and connecting and adjusting it for use.

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EQUIPMENT & STORES - Installation

5.10.1	Records relating to the installation and configuration of equipment and plant that does not involve structural changes to premises or sites of installation.	Retain minimum of 2 years after installation is completed, then destroy
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5.11.0 Insurance

The process of taking out premiums to cover loss or damage to equipment and stores.

See **COMPENSATION - Claims** for records relating to compensation claims by employees or others for personal injury, loss or damage to property.

See **FINANCIAL MANAGEMENT - Reporting** for records relating to reporting to Treasury on yearly premium renewals for insurance policies.

5.11.1	Insurance policies covering equipment and stores including information provided for renewals and summary records facilitating the management of policies, e.g. registers of insurance policies. Note: With paper-based registers, retain minimum of 7 years after last entry in the register. With electronic registers, retain minimum of 7 years after last update or amendment to an entry, or after data has become obsolete, then destroy.	Retain minimum of 7 years after expiry of the policy, then destroy
5.11.2	Records relating to the administration of insurance policies. Records include notices of renewals, advice on premiums payable etc.	Retain minimum of 1 year after action completed, then destroy

Inventory

See **EQUIPMENT & STORES - Stocktake** for records relating to stocktakes of equipment and stores.

See **FINANCIAL MANAGEMENT - Asset register** for records relating to the monitoring and assessment of equipment as corporate assets.

5.12.0 Leasing

The activities involving in leasing items of equipment from another organisation.

See **EQUIPMENT & STORES - Disposal** for records relating to the disposal of leased equipment and stores.

See **EQUIPMENT & STORES - Maintenance** for records relating to the maintenance of leased equipment and stores.

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EQUIPMENT & STORES - Leasing

See **FINANCIAL MANAGEMENT - Accounting** for records relating to financial transactions supporting leasing activities.

See **OCCUPATIONAL HEALTH & SAFETY - Risk management** for records relating to the assessment and control of risks arising from the use of items of equipment or plant.

5.12.1	Records relating to the administration and management of leased equipment, including: - signed copies of lease agreements - reports received from leasing companies.	Retain minimum of 7 years after lease expires or is terminated, and equipment is returned, then destroy
5.12.2	Records relating to leasing which is not proceeded with.	Retain minimum of 2 years after action completed, then destroy

5.13.0 Leasing-out

The activities involved in leasing-out equipment and stores to another organisation or person for a specified period and agreed price. Includes the formal documentation setting out conditions, rights, responsibilities etc of both parties. Also includes subleasing.

See **EQUIPMENT & STORES - Leasing** for records relating to leasing from another organisation.

See **FINANCIAL MANAGEMENT - Accounting** for records relating to financial transactions supporting leasing-out activities.

See **OCCUPATIONAL HEALTH & SAFETY - Risk management** for records relating to the assessment and control of risks arising from equipment, plant or hazardous materials.

5.13.1	Records relating to arrangements for leasing-out the organisation's equipment or stores to other organisations. Records include signed copies of lease agreements.	Retain minimum of 7 years after lease expires or is terminated, and equipment is returned, then destroy
5.13.2	Records relating to leasing-out which is not proceeded with.	Retain minimum of 2 years after action completed, then destroy

5.14.0 Maintenance

The activities associated with the upkeep, repair, servicing and preservation of internal/external conditions of equipment and stores.

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EQUIPMENT & STORES - Maintenance

See **CONTRACTING-OUT** for records relating to maintenance of equipment and stores undertaken as part of maintenance contracts.

See **EQUIPMENT & STORES - Agreements** for records relating to maintenance of equipment and stores undertaken as part of servicing agreements.

See **FINANCIAL MANAGEMENT - Asset register** for summary records which provide accountability for purchase.

5.14.1	Records relating to tests, repairs, maintenance, inspections, commissioning or alteration of plant and equipment that are relevant to controlling risks associated with the use or operation of that particular item of plant or equipment.	Retain until plant or equipment is disposed of, then destroy
5.14.2	Records relating to tests, repairs, maintenance inspections, commissioning or alteration of plant and equipment not relating to controlling risks associated with a particular item of plant or equipment.	Retain minimum of 2 years after action completed, then destroy

Meetings

See the relevant function/activity for records relating to meetings held as part of the management or conduct of those activities or processes, e.g. use **EQUIPMENT & STORES - ALLOCATION** for records relating to meetings held in order to decide where equipment and stores will be allocated.

See **COMMITTEES** for records relating to the formation, meetings and decisions of committees, task forces, working groups or parties etc.

See **GOVERNMENT RELATIONS - Meetings** for records relating to meetings between Chief Executives and Ministers, Ministerial employees or senior executives of other government organisations when those meetings are not related to specific functions and activities.

See **STRATEGIC MANAGEMENT - Meetings** for records relating to general, section or unit meetings of employees.

5.15.0 Policy

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.

See **EQUIPMENT & STORES - Compliance** for records relating to the organisation's compliance with mandatory or optional standards or with statutory requirements regarding equipment and stores.

See **GOVERNMENT RELATIONS - Policy** for records relating to advice or notifications regarding policies that apply to the whole-of-government, e.g. Premier's Memoranda and Circulars, Treasurer's Directions.

See **GOVERNMENT RELATIONS - Submissions** for records relating to submissions by the organisation on the development or review of government-wide policies developed by central coordinating agencies.

See **STRATEGIC MANAGEMENT - Implementation** for records relating to the implementation of government-wide policies by the organisation.

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EQUIPMENT & STORES - Policy

See **STRATEGIC MANAGEMENT - Policy** for records relating to the organisation's policies on cross functional or organisation-wide matters.

5.15.1	Final, approved versions of the organisation's policies relating to the acquisition, disposal, use and maintenance of equipment and stores and associated correspondence indicating who the policies apply to and responsibilities for their implementation. Note: There may be some policies relating to the acquisition or disposal of equipment that need to be kept for longer retention periods than that specified because they may impact on the organisation's accountability with respect to the management of assets.	Retain minimum of 5 years after policy is superseded, then destroy
5.15.2	Records relating to the development and review of the organisation's policies relating to the acquisition, disposal, use and maintenance of equipment and stores. Records include: • policy proposals • background research • records of consultations • draft versions of policies containing significant changes/alterations or formally circulated for comment • reports analysing issues and the outcomes of consultation with employees, unions, stakeholders etc.	Retain minimum of 3 years after action completed, then destroy

5.16.0 Procedures

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

See **STAFF DEVELOPMENT - Training** for records relating to training in procedures.

5.16.1	Final, approved versions of manuals, handbooks, directives, etc., detailing procedures regarding the acquisition and disposal, use and maintenance of equipment and stores and associated correspondence indicating who the procedures apply to and responsibilities for their implementation. Note: There may be some procedures relating to the acquisition or disposal of equipment that need to be kept for longer retention periods than that specified because they may impact on the organisation's accountability with respect to the management of assets.	Retain minimum of 5 years after procedures are superseded, then destroy
5.16.2	Records relating to the development and review of procedures regarding the acquisition, disposal, use and maintenance of equipment and stores. Records include:	Retain minimum of 3 years after action

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EQUIPMENT & STORES - Procedures

	- background research - draft versions of procedures containing significant changes/alterations or formally circulated for comment - reports analysing issues and the outcomes of consultation with employees, unions, other stakeholders etc.	completed, then destroy
5.16.3	Operating manuals and instructions for equipment or plant. See OCCUPATIONAL HEALTH & SAFETY - Procedures for records relating to procedures addressing safety issues for the use of equipment or plant.	Retain until superseded or equipment or plant is disposed of, then destroy or transfer to new owner

5.17.0 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 providing formal statements or findings of the results of the examination or investigation.

5.17.1	Records relating to formal external reports regarding equipment and stores. Records include: - background research - draft versions of reports containing significant changes/alterations or formally circulated for comment - final, approved versions of reports.	Retain minimum of 7 years after action completed, then destroy
5.17.2	Records relating to periodic internal reports on general administrative matters used to monitor and document recurring activities, e.g. statistics monitoring usage of equipment and stores. Records include: - background research, e.g. collection of statistics - draft versions of reports containing significant changes/alterations or formally circulated for comment - final, approved versions of reports.	Retain minimum of 3 years after action completed, then destroy

5.18.0 Reviewing

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

See **EQUIPMENT & STORES - Audit** for records relating to formal audits of items of equipment and stores.

See **EQUIPMENT & STORES - Evaluation** for records relating to investigations undertaken to determine the organisation's requirements for equipment or stores.

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EQUIPMENT & STORES - Reviewing

See **EQUIPMENT & STORES - Policy** for records relating to the review of policies.

See **EQUIPMENT & STORES - Procedures** for records relating to the review of procedures.

5.18.1	Records relating to the review of items of equipment and stores and of systems and processes associated with their acquisition, disposal, maintenance etc. Records include: • documents establishing the review • background research • draft versions of review reports containing significant changes/alterations or formally circulated for comment • final, approved versions of reports • project or action plans.	Retain minimum of 5 years after action completed, then destroy
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Risk management

See **EQUIPMENT & STORES - Insurance** for records relating to the management of insurance policies for equipment and stores.

See **OCCUPATIONAL HEALTH & SAFETY - Risk management** for records relating to the assessment and control of risks arising from equipment, plant or hazardous materials

See **STRATEGIC MANAGEMENT - Risk management** for records relating to the identification and assessment of organisational risks regarding equipment and stores as part of broader strategic risk management processes.

5.19.0 Security

The activities associated with measures taken to protect equipment and stores from accidental or intentional damage or from unauthorised access.

See **PERSONNEL - Misconduct** for records relating to disciplinary action taken against personnel for security breaches.

See **TECHNOLOGY & TELECOMMUNICATIONS - Security** for records relating to security protection against unauthorised access to technology and telecommunications systems.

5.19.1	Records relating to the loss of or damage to equipment and stores. Records include investigations into theft or intentional damage and referral of alleged incidents to law enforcement authorities. See FINANCIAL MANAGEMENT - Corruption for records relating to misappropriations of funds.	Retain minimum of 7 years after action completed, then destroy
5.19.2	Records relating to combinations and/or control of keys for accessing items of equipment or plant, including safes or filing cabinets. Records include registers recording details of the issue of keys etc.	Retain until superseded, then destroy

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EQUIPMENT & STORES - Stocktake

5.20.0 Stocktake

The activities associated with the examination, counting and valuing of equipment and stores in the organisation with a view to reassessing the need for replacing them, identifying missing items and determining the condition of the existing items.

See **FINANCIAL MANAGEMENT - Asset register** for records relating to changes to the asset register.

5.20.1	Records relating to the inventory and stocktake of equipment and stores. Includes examining, counting and valuing equipment and stores. Records include: • stock/stores control records • stock reconciliations • stocktake reports • stocktaking sheets/records. Note: If the organisation is covered by the <i>Commonwealth Corporations Act 2001</i>, these records should be retained for a minimum of 7 years after end of financial year in which record was created.	Retain minimum of 2 years after action completed, then destroy
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Tendering

See **CONTRACTING-OUT** for records relating to the acquisition of services through a contracting-out or outsourcing process.

See **TENDERING** for records relating to receiving and assessing tenders.