

Australian Capital Territory

Territory Records (Records Disposal Schedule – Government Insurance Services Records) Approval 2009 (No 1)

Notifiable instrument NI2009—630

made under the

Territory Records Act 2002, s 19 (Approval of schedules for the disposal of records)

1. Name of Instrument

This instrument is the Territory Records (Records Disposal Schedule – Government Insurance Services Records) Approval 2009 (No 1)

2. Approval

I approve the Records Disposal Schedule – Government Insurance Services Records.

3. Commencement

This instrument commences on the day after notification.

4. Revocation

I revoke Notifiable Instrument NI2006-138 notified 20 April 2006.

David Wardle
Director of Territory Records
7 December 2009



Records Disposal Schedule

Government Insurance Services Records

Table of Contents

INTRODUCTION	5
PURPOSE	5
SCOPE	5
AUTHORITY	5
STRUCTURE AND RELATIONSHIP TO THE TERRITORY VERSION OF KEYWORD AAA	5
<i>TERRITORY VERSION OF KEYWORD AAA</i>	6
GUIDELINES FOR USE	6
<i>COVERAGE OF AUTHORITY</i>	6
<i>LAYOUT OF THE SCHEDULE</i>	7
FORMAT OF RECORD	8
<i>ELECTRONIC RECORDS</i>	8
DESTRUCTION OF RECORDS	8
UPDATING THE RECORDS DISPOSAL SCHEDULE	8
ASSISTANCE IN USING THE RECORDS DISPOSAL SCHEDULE	8
RELATED LEGISLATION	9
DEFINITIONS	10
<i>AGENCY</i>	10
<i>APPRAISAL</i>	10
<i>BUSINESS CLASSIFICATION SCHEME</i>	10
<i>PRINCIPAL OFFICER</i>	10
<i>RECORDS</i>	10
<i>RECORDS OF AN AGENCY</i>	10
<i>RECORDS DISPOSAL SCHEDULE</i>	10
<i>RECORDS MANAGEMENT PROGRAM</i>	11
<i>RECORDKEEPING SYSTEMS</i>	11
<i>SCOPE NOTE</i>	11
<i>SENTENCING</i>	11
<i>TERRITORY ARCHIVES</i>	11
BUSINESS CLASSIFICATION SCHEME	12
<i>GOVERNMENT INSURANCE SERVICES</i>	13
RECORDS DISPOSAL SCHEDULE	17
<i>GOVERNMENT INSURANCE SERVICES</i>	18
<i>Addresses (presentations)</i>	18
<i>Advice</i>	19
<i>Agreements</i>	20
<i>Claims</i>	21
<i>Claims (Continued)</i>	22
<i>Committees</i>	23
<i>Compliance</i>	24
<i>Contracting out</i>	24
<i>Distribution</i>	25
<i>Enquiries</i>	25
<i>Insurance</i>	25
<i>Insurance (Continued)</i>	26
<i>Liaison</i>	26
<i>Meetings</i>	27

<i>Planning</i>	28
<i>Policy</i>	28
<i>Policy (Continued)</i>	29
<i>Procedures</i>	29
<i>Reporting</i>	30
<i>Representatives</i>	31
<i>Research</i>	31
<i>Reviewing</i>	32
<i>Risk Management</i>	32
<i>Standards</i>	33
<i>Submissions</i>	33
<i>Tendering</i>	34
<i>Tendering (Continued)</i>	35
<i>Training</i>	35
<i>Training (Continued)</i>	36
RETAIN AS TERRITORY ARCHIVES	37
<i>GOVERNMENT INSURANCE SERVICES</i>	38
<i>Addresses (presentations)</i>	38
<i>Advice</i>	39
<i>Agreements</i>	39
<i>Claims</i>	40
<i>Committees</i>	41
<i>Meetings</i>	41
<i>Planning</i>	42
<i>Policy</i>	42
<i>Procedures</i>	42
<i>Reporting</i>	43
<i>Research</i>	43
<i>Risk Management</i>	44
<i>Standards</i>	44
<i>Submissions</i>	45
SCHEDULE OF AMENDMENTS – this information is provided for the assistance of users but does not form part of the Notifiable Instrument.	46

INTRODUCTION

The *Records Disposal Schedule – Government Insurance Services Records* is the official authority for the disposal of records relating to the insurance coverage of the Territory.

It is one of a series of Records Disposal Schedules authorised by the Director of Territory Records in accordance with the provisions of the *Territory Records Act 2002*. It is used in conjunction with the *Territory Administrative Records Disposal Schedules (TARDiS)*.

PURPOSE

The purpose of this Records Disposal Schedule is to provide for the authorised disposal of records created or maintained by ACT Government Agencies.

SCOPE

This Records Disposal Schedule applies to records created or maintained by ACT Government Agencies. It applies to records in any format, including electronic records.

AUTHORITY

The Director of Territory Records, in consultation with stakeholders and the Territory Records Advisory Council, has approved this Records Disposal Schedule for use. The schedule does not take effect until it has been incorporated into an agency's Records Management Program that has been signed off by the Principal Officer of the agency.

Even so, officers using this Records Disposal Schedule should apply it with caution. They should be aware that the authorisations for disposal are given in terms of the *Territory Records Act 2002* only. Officers must not dispose of records in contravention of this Records Disposal Schedule or other requirements.

This Records Disposal Schedule will remain in force until a new schedule supersedes it or the Director of Territory Records withdraws it from use.

STRUCTURE AND RELATIONSHIP TO THE TERRITORY VERSION OF KEYWORD AAA

A Records Disposal Schedule generally specifies retention periods. That is, how long records are to be retained by the agency before being destroyed or retained as Territory Archives.

Retention periods set down in this schedule are minimum periods only and an agency may keep records for a longer period if considered necessary for business requirements. Reasons for longer retention could include legal requirements, administrative need or agency directives. **An agency must not dispose of any**

records where it is aware of possible legal action for which the records may be required as evidence.

The *Records Disposal Schedule – GOVERNMENT INSURANCE SERVICES Records* has a hierarchical structure that reflects its arrangements according to functions and activities, rather than by subject, and this also reflects a close relationship to the Territory Version of Keyword AAA. The Records Disposal Schedule is designed to be applicable to all records regardless of titling conventions used, so that records, which have not been titled using the terminology represented by this Records Disposal Schedule, may still be sentenced with relative ease.

Territory Version of Keyword AAA

The Territory Version of Keyword AAA is the general administrative thesaurus produced by the Territory Records Office. The structure and terms used in this Records Disposal Schedule are closely related to those used in the Territory Version of Keyword AAA, which is based on functional analysis of business activity. This methodology (i.e., the analysis of business activity) produces a hierarchical model of an organisation's business activity. The hierarchical model also represents a classification scheme for the records that document functions, activities and transactions.

The disposal actions listed in this Records Disposal Schedule were determined through the process of appraisal in accordance with *Territory Records Office Standard for Records Management No.2 - Appraisal*. Appraisal is based upon the same type of analysis of business activity employed in the classification scheme used in the Territory Version of Keyword AAA. Essentially, appraisal involves attaching record retention periods and disposal decisions (and even records creation requirements and rules) to the same classification scheme.

GUIDELINES FOR USE

Coverage of authority

The Records Disposal Schedule - Records:

- covers all records;
- is intended to be used in conjunction with TARDiS;
- specifies the minimum period records should be kept (retention periods)
- specifies whether, upon the expiry of the retention periods, the records may be destroyed or are required as Territory Archives; and
- is applicable to records created and maintained in any format, including electronic or formats such as microfiche.

Layout of the schedule

This Records Disposal Schedule begins with an introduction incorporating definitions and the business classification scheme. Then each of the functions and activity disposal sets or 'disposal classes' relating to the functions are described. These are followed by a composite list of classes designated 'Retain as Territory Archives'. The functions and activity disposal sets show the following details:

Function

This is the broad level business function and is displayed in bold capital letters at the top of each page. It is the highest level in the business classification scheme. It is followed by the scope note, which provides definitions of the function and a collective view of the business activities that make that function unique.

Activity

Activities are the processes or operations that make up the business function. They are set in bold and italics below the function statement. This is the second level of the business classification scheme. The scope of the activity encompasses all of the transactions that take place in relation to the activity. Activities can relate to many functions with the scope notes covering all of these relationships (e.g. the activity 'Policy' is linked to all of the functions). However, each function and activity set represents a unique unit.

Entry No.

This is the disposal class number allocated based on the function and activity set and the class number of the record. The barcode is the same as the Entry No. and may be used in an automated recordkeeping system.

Description of Records

This is the description of the records documenting the business function, activity and transactions. The descriptions can relate to one record such as a register or a group of records documenting a particular set of transactions.

Disposal Action

This is the minimum period a record must be kept for and is the trigger event from which the disposal date can be calculated.

FORMAT OF RECORD

This Records Disposal Schedule is applicable to any record that performs the function prescribed, irrespective of format. Records may include:

- cards
- registers
- files
- microfilm
- COM (computer output microfiche)
- electronic records, including various electronic media
- any other formats.

Electronic records

Refers to records created, communicated and maintained by means of electronic equipment. Information could be maintained/stored in a number of ways - on the database (the main database, or a special archives database); on magnetic media; on optical disks; or on separate hardcopy (paper, COM).

Electronic records must be readily accessible for the length of the specified retention period. Routine treatment (such as wiping, updating, alterations or re-recording) does not constitute disposal.

DESTRUCTION OF RECORDS

When the approved disposal date for the destruction of records has been reached, appropriate arrangements for their destruction should be made. It is the responsibility of each agency to ensure that its records are destroyed in a secure and appropriate manner as indicated in the agency Records Management Program.

UPDATING THE RECORDS DISPOSAL SCHEDULE

Records Disposal Schedules are reviewed and updated from time to time. For suggested amendments or alterations to this schedule please contact the Director of Territory Records.

ASSISTANCE IN USING THE RECORDS DISPOSAL SCHEDULE

Agencies requiring any assistance in the interpretation or implementation of any Records Disposal Schedule are encouraged to contact the Director of Territory Records.

RELATED LEGISLATION

The following legislation is related to the records classes covered by this Records Disposal Schedule:

Crimes Act 1900

Evidence Act 1971

Freedom of Information Act 1989

Insurance Authority Act 2005

Privacy Act 1988 (Cwlth)

Territory Records Act 2002

DEFINITIONS

Agency

The Executive, an ACT Court, the Legislative Assembly Secretariat, an administrative unit, a Board of Inquiry, a Judicial or Royal Commission, any other prescribed authority, or an entity declared under the regulations of the *Territory Records Act 2002* to be an agency.

Appraisal

The process of evaluating business activities to:

- determine which records need to be captured;
- determine how long the records need to be kept to meet business needs; and
- meet the requirements of organisational accountability and community expectations.

Business Classification Scheme

A hierarchical scheme for identifying and defining the functions, activities and transactions an agency performs in the conduct of its business, and the relationships between them.

Principal Officer

The Chief Executive of an administrative unit, or its equivalent in other types of agencies.

Records

Information created, received, and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transition of business. This recorded information must be maintained or managed by the agency to provide evidence of their business activities. Records can be in written, electronic or any other form.

Records of an Agency

Records, in writing, electronic or any other form, under the control of an agency or to which it is entitled to control, kept as a record of its activities, whether it was created or received by the agency.

Records Disposal Schedule

A document approved by the Director of Territory Records, which sets out the types of records an agency must make and how long they must be kept.

Records Management Program

A document that complies with Section 16 of the *Territory Records Act 2002* by setting out the means by which an agency will manage its records, and is approved by the agency's Principal Officer.

Recordkeeping Systems

Information systems that capture, maintain and provide access to records over time. While the term is often associated with computer software, Recordkeeping Systems also encompass policies, procedures, practices and resources that are applied within an agency to ensure that full and accurate records of business activity are made and kept.

Scope Note

An explanation of terms used in describing the records and the context in which they were made and used.

Sentencing

The process of applying appraisal decisions to individual records by determining the part of a Records Disposal Schedule that applies to the record and assigning a retention period consistent with that part.

Territory Archives

Records preserved for the benefit of present and future generations.

BUSINESS CLASSIFICATION SCHEME

GOVERNMENT INSURANCE SERVICES

The function of providing insurance services and promoting good risk management practices to the ACT Government, community and insurance industry for both physical assets and personal liability. Identifies and provides funding for the types and levels of risk encountered by agencies and enables the costs of insurable claims and losses to be met in a timely and cost effective manner. Services include insurance protection; managing insurance claims; assessing and quantifying future financial risk; insurance specific education and training; and providing assistance in the development of agency risk management programs. Includes policy development, improving risk management practices, compliance, enquiries and research.

Addresses (presentations)

The activity of giving addresses for training, professional, community relations or sales purposes. Includes speeches and multi-media presentations.

Advice

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

Agreements

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

Claims

The process of administering and managing payments demanded in accordance with an insurance policy as compensation for injury, death, or denial of rights of a person, or damage to or destruction of property. Includes disputes over rights and ownership, and recompense sought for stolen or lost property.

Committees

The activities associated with the managing of committees and task forces. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agenda etc.

Compliance

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

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.

Distribution

The activities associated with disseminating items, correspondence or publications through sales, deliveries, or other customer services.

Enquiries

The activities associated with handling requests for information about the agency and its services by the general public, agency employees or another agency.

Insurance

The process of taking out premiums to cover loss or damage to property or premises, and to cover customers and staff against injury or death resulting from incidents on the agency's premises or whilst engaged during employment.

Liaison

The activities associated with maintaining regular general contact between the agency and professional associations, professionals in related fields, other private sector organisations and community groups. Includes sharing informal advice and discussions, membership of professional associations and collaborating on projects that are not joint ventures.

Meetings

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

Planning

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

Policy

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making.

Procedures

Standard methods of operating laid down by the agency according to formulated policy.

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 to provide formal statements or findings of the results of the examination or investigation. Includes agenda, briefing, business, discussion papers, proposals, reports, reviews and returns.

Representatives

The activities associated with the nomination, appointment or resignation of individuals or groups of personnel appointed by the organisation or their co-workers as official representatives to organisations, offices, unions, workers participation committees, councils or groups. Includes organisational legal representatives.

Research

The activities involved in investigating or enquiring into a subject or area of interest in order to discover facts, principles etc. Used to support 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.

Reviewing

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

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.

Standards

The process of implementing industry or agency specific benchmarks for services and processes to enhance quality and efficiency of an organisation.

Submissions

The preparation and submission of a formal statement (e.g, report, statistics, etc) supporting a case or opinion held by the agency which is submitted to another agency, or within the agency, for the purpose of either gain or support.

Tendering

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

Training

The activities associated with all aspects of the provision of training and development (external/internal).

RECORDS DISPOSAL SCHEDULE

Advice

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

[For the provision of advice to the Minister or Chief Minister, use GOVERNMENT RELATIONS - Advice.

For advice provided to Cabinet, the portfolio Minister and other government agencies on proposed legislation for the agency or for comments made on other agencies' proposed legislation, use GOVERNMENT RELATIONS - Advice.

For legal advice, including interpretations of the agency's legislation, use LEGAL SERVICES – Advice.

For the development of submissions in relation to advice, use INDUSTRY DEVELOPMENT – Submissions.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
120.005.001 ■■■■■■■■■■■■■■■■■■■■	Receipt and provision of advice that result in major changes relating to the government insurance services function, including specialist or technical advice provided by consultants and independent regulators. Includes policy issues and recommendations for reform.	Retain as Territory Archives
120.005.002 ■■■■■■■■■■■■■■■■■■■■	The receipt and provision of advice in support of the government insurance services function. Includes advice provided by consultants.	Destroy 10 years after last action
120.005.003 ■■■■■■■■■■■■■■■■■■■■	Working papers documenting the development of advice relating to the government insurance services function.	Destroy 2 years after last action

Committees

The activities associated with the managing of committees and task forces. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agenda etc.

[For agency representatives to external committees, use GOVERNMENT INSURANCE SERVICES – Representatives.

For audit committees, use STRATEGIC MANAGEMENT - Committees.

For the establishment of advisory councils or governing boards with decision making responsibility for agency policy and/or planning, use STRATEGIC MANAGEMENT – Committees.]

Entry No.	Description of Records	Disposal Action
120.020.001 ■■■■■■■■■■■■■■■■■■■■	Internal and external committees formed to consider potentially controversial issues and/or matters with long term social effects relating to government insurance services. Includes: <ul style="list-style-type: none"> ● establishing the committee ● terms of reference ● minutes ● reports ● recommendations ● briefing and discussion papers. 	Retain as Territory Archives
120.020.002 ■■■■■■■■■■■■■■■■■■■■	Internal and external committees formed to consider matters relating to the government insurance services function. Includes: <ul style="list-style-type: none"> ● establishing the committee ● minutes ● reports ● recommendations ● briefing and discussion papers. 	Destroy 5 years after last action
120.020.003 ■■■■■■■■■■■■■■■■■■■■	Working papers documenting the conduct and administration of committees that consider matters relating to the government insurance services function. Includes: <ul style="list-style-type: none"> ● agendas ● notices of meetings ● draft minutes. 	Destroy 6 months after last action

Distribution

The activities associated with disseminating items, correspondence or publications through sales, deliveries, or other customer services.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
120.036.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting mailouts (e.g. newsletters or promotions) and mailing lists, including email distribution lists and postal address lists.	Destroy 6 months after last action

Enquiries

The activities associated with handling requests for information about the agency and its services, programs and activities.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
120.040.001 ■■■■■■■■■■■■■■■■■■■■	Handling of public enquiries about government insurance services and its programs, products and services. Includes enquiries relating to natural disasters and other significant events.	Destroy 10 years after last action

Insurance

The process of taking out premiums to cover loss or damage to property or premises, and to cover customers and staff against injury or death resulting from incidents on the agency's premises or whilst engaged during employment.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
120.059.001 ■■■■■■■■■■■■■■■■■■■■	Master sets of insurance policies. Includes insurance renewals.	Destroy 15 years after policy is cancelled or otherwise terminated
120.059.002 ■■■■■■■■■■■■■■■■■■■■	Working papers documenting the development, establishment and renewal of insurance policies and re-insurance policies.	Destroy 7 years after last action
120.059.003 ■■■■■■■■■■■■■■■■■■■■	Sending out and receipt of proposals for insurance cover to determine if any changes are needed to the insurance policy.	Destroy 7 years after last action

Meetings

The activities associated with regular or ad hoc gatherings held to formulate, discuss, update or resolve issues and matters pertaining to the function. Includes staff meetings, arrangements, agenda, taking of minutes, etc. Excludes committee meetings.

Entry No.	Description of Records	Disposal Action
120.072.001 ■■■■■■■■■■■■■■■■■■■■	Final versions of minutes and supporting documents tabled at insurance claims review meetings. <i>[For reports tabled during claims review meetings, use GOVERNMENT INSURANCE SERVICES - Reporting.]</i>	Retain as Territory Archives
120.072.002 ■■■■■■■■■■■■■■■■■■■■	Final versions of minutes and supporting documents tabled at meetings held in relation to the government insurance services function. Includes meetings with external agencies. <i>[For meetings with insurance industry representatives, use INDUSTRY DEVELOPMENT – Meetings.]</i>	Destroy 3 years after last action
120.072.003 ■■■■■■■■■■■■■■■■■■■■	Working papers documenting the conduct and administration of meetings held to support the government insurance services function (e.g. risk management forums and network meetings). Includes: <ul style="list-style-type: none">● agendas● notices of meetings● draft minutes.	Destroy 6 months after last action

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, regulation, or legislation, e.g. Annual Report). Includes statistics and returns.

Note: Reports resulting from a routine activity, e.g. inspection reports, form part of that activity, i.e. reports resulting from an inspection are part of the inspection and not the activity of Reporting. Reports of these types should be classified as part of the greater activity generating the report.

[For the Annual Report drafting process, use PUBLICATIONS - Drafting.

For submissions of annual reports to the Portfolio Minister, use GOVERNMENT RELATIONS - Compliance.]

Entry No.	Description of Records	Disposal Action
120.088.001 ■■■■■■■■■■■■■■■■■■■■	Final versions of significant formal reports relating to the government insurance services function.	Retain as Territory Archives
120.088.002 ■■■■■■■■■■■■■■■■■■■■	Final versions of reports tabled at claims review meetings. Includes reports relating to insurance claims.	Retain as Territory Archives
120.088.003 ■■■■■■■■■■■■■■■■■■■■	Final versions of internal formal reports and reports made to external agencies relating to the government insurance services function. Includes reports relating to insurance claims.	Destroy 7 years after last action
120.088.004 ■■■■■■■■■■■■■■■■■■■■	Final versions of periodic internal reports on general administrative matters used to monitor and document recurring activities to support government insurance services. Includes the collection and reporting of statistical information.	Destroy 3 years after last action
120.088.005 ■■■■■■■■■■■■■■■■■■■■	Working papers documenting the development of all reports. Includes: <ul style="list-style-type: none"> ● drafts ● comments received ● copies of reports. 	Destroy 6 months after last action

Representatives

The activities associated with the nomination, appointment or resignation of individuals or groups of personnel appointed by the organisation or their co- workers as official representatives to organisations, offices, unions, workers participation committees, councils or groups. Includes organisational legal representatives.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
120.090.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting agency representatives for external committees and organisations relating to the government insurance services function. Includes: <ul style="list-style-type: none"> ● nominations ● appointments ● declarations of interest ● resignations and/or terminations. 	Destroy 7 years after termination of appointment

Research

The activities involved in investigating or enquiring into a subject or area of interest in order to discover facts, principles, etc. Used to support development of projects, standards, guidelines, etc. and business activities in general. Includes following up enquiries relating to programs, projects, working papers, literature searches, etc.

[For reporting on research, including statistical information, use GOVERNMENT INSURANCE SERVICES – Reporting.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
120.091.001 ■■■■■■■■■■■■■■■■■■■■	Detailed research carried out to support the government insurance services function.	Retain as Territory Archives
120.091.002 ■■■■■■■■■■■■■■■■■■■■	Routine research carried out to support the government insurance services function.	Destroy 2 years after last action

Reviewing

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

Entry No.	Description of Records	Disposal Action
120.093.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting the internal review or quality assurance of programs, operations or actions supporting the government insurance services function. Includes: <ul style="list-style-type: none">• documents establishing the review• action plans• outcomes of the review.	Destroy 5 years after action completed
120.093.002 ■■■■■■■■■■■■■■■■■■■■	Working papers documenting a review of agency programs, operations or actions supporting the government insurance services function.	Destroy 1 year 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.

[For risk management training material, use GOVERNMENT INSURANCE SERVICES – Training.

For the identification, assessment and treatment of risk for the staging of major events managed by the Territory, use Events under an appropriate functional Records Disposal Schedule (e.g. COMMUNITY RELATIONS or INDUSTRY DEVELOPMENT).]

Entry No.	Description of Records	Disposal Action
120.095.001 ■■■■■■■■■■■■■■■■■■■■	Territory insurance risk registers.	Retain as Territory Archives
120.095.002 ■■■■■■■■■■■■■■■■■■■■	Records documenting risk management relating to the government insurance services function. Includes: <ul style="list-style-type: none">• records covering each stage of the process• treatment schedules• action plans• risk management programs.	Destroy 7 years after last action

Standards

The process of implementing industry or agency specific benchmarks for services and processes to enhance quality and efficiency of an organisation.

[For the adherence and monitoring of insurance and risk management standards, use GOVERNMENT INSURANCE SERVICES - Compliance.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
120.100.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting the development of insurance and risk management standards. Includes: <ul style="list-style-type: none">• research• supporting documents• consultation• final standards.	Retain as Territory Archives
120.100.002 ■■■■■■■■■■■■■■■■■■■■	Records documenting the adoption and implementation of agency standards related to the government insurance services function.	Destroy 7 years after standard is implemented

Submissions

The preparation and submission of a formal statement (e.g. a business case, statistics, etc.) supporting a case or opinion held by the agency which is submitted to another agency or organisation, or within the agency, for the purpose of either gain or support.

[For Cabinet submissions, use GOVERNMENT RELATIONS – Submissions.]

[For the development of submissions on the proposals of new legislation or the amendment of existing legislation, use STRATEGIC MANAGEMENT - Legislation.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
120.102.001 ■■■■■■■■■■■■■■■■■■■■	Final versions of submissions regarding government administrative practices that result in changes to policy relating to the government insurance services function.	Retain as Territory Archives
120.102.002 ■■■■■■■■■■■■■■■■■■■■	Working papers documenting the development of submissions. Includes drafts.	Destroy 3 years after action completed

RETAIN AS TERRITORY ARCHIVES

Advice

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

[For the provision of advice to the Minister or Chief Minister, use GOVERNMENT RELATIONS - Advice.

For advice provided to Cabinet, the portfolio Minister and other government agencies on proposed legislation for the agency or for comments made on other agencies' proposed legislation, use GOVERNMENT RELATIONS - Advice.

For legal advice, including interpretations of the agency's legislation, use LEGAL SERVICES – Advice.

For the development of submissions in relation to advice, use INDUSTRY DEVELOPMENT – Submissions.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
120.005.001 ■■■■■■■■■■■■■■■■■■■■	Receipt and provision of advice that result in major changes relating to the government insurance services function, including specialist or technical advice provided by consultants and independent regulators. Includes policy issues and recommendations for reform.	Retain as Territory Archives

Agreements

The processes associated with the establishment, maintenance, review and negotiation of agreements. Includes records associated with preparing agreements/contracts and settling those agreements/contracts. Includes contracts, memoranda of understanding (MOU), deeds, leases, licences and mortgages.

[For agreements with other governments, including international governments, use GOVERNMENT RELATIONS – Agreements.]

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
120.006.001 ■■■■■■■■■■■■■■■■■■■■	Records documenting significant agreements made between the agency and external third parties which have implications for major liabilities or obligations. Includes: <ul style="list-style-type: none">• negotiations• establishment• reviews• maintenance• final agreements.	Retain as Territory Archives

Committees

The activities associated with the managing of committees and task forces. Includes the committee's establishment, appointment of members, terms of reference, proceedings, minutes of meetings, reports, agenda etc.

[For agency representatives to external committees, use GOVERNMENT INSURANCE SERVICES – Representatives.

For audit committees, use STRATEGIC MANAGEMENT - Committees.

For the establishment of advisory councils or governing boards with decision making responsibility for agency policy and/or planning, use STRATEGIC MANAGEMENT – Committees.]

Entry No.	Description of Records	Disposal Action
120.020.001 ■■■■■■■■■■■■■■■■■■■■	Internal and external committees formed to consider potentially controversial issues and/or matters with long term social effects relating to government insurance services. Includes: <ul style="list-style-type: none">• establishing the committee• terms of reference• minutes• reports• recommendations• briefing and discussion papers.	Retain as Territory Archives

Meetings

The activities associated with regular or ad hoc gatherings held to formulate, discuss, update or resolve issues and matters pertaining to the function. Includes staff meetings, arrangements, agenda, taking of minutes, etc. Excludes committee meetings.

Entry No.	Description of Records	Disposal Action
120.072.001 ■■■■■■■■■■■■■■■■■■■■	Final versions of minutes and supporting documents tabled at insurance claims review meetings. <i>[For reports tabled during claims review meetings, use GOVERNMENT INSURANCE SERVICES - Reporting.]</i>	Retain as Territory Archives

Planning

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

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
120.079.001 ■■■■■■■■■■■■■■■■■■■■	Final versions of plans for major or significant projects, programs or operational activities relating to the government insurance services function. <i>[For agency-wide strategic or corporate plans, use STRATEGIC MANAGEMENT - Planning.]</i>	Retain as Territory Archives

Policy

The activities associated with developing and establishing decisions, directions and precedents which act as a reference for future decision making.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
120.080.001 ■■■■■■■■■■■■■■■■■■■■	Final versions of policies supporting the government insurance services function.	Retain as Territory Archives

Procedures

Standard methods of operating laid down by the agency according to formulated policy.

<i>Entry No.</i>	<i>Description of Records</i>	<i>Disposal Action</i>
120.082.001 ■■■■■■■■■■■■■■■■■■■■	Master set of agency manuals, handbooks, directives etc. detailing procedures supporting the government insurance services function.	Retain as Territory Archives

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, regulation, or legislation, e.g. Annual Report). Includes statistics and returns.

Note: Reports resulting from a routine activity, e.g. inspection reports, form part of that activity, i.e. reports resulting from an inspection are part of the inspection and not the activity of Reporting. Reports of these types should be classified as part of the greater activity generating the report.

[For the Annual Report drafting process, use *PUBLICATIONS - Drafting*.

For submissions of annual reports to the Portfolio Minister, use *GOVERNMENT RELATIONS - Compliance*.]

Entry No.	Description of Records	Disposal Action
120.088.001 ■■■■■■■■■■■■■■■■■■■■	Final versions of significant formal reports relating to the government insurance services function.	Retain as Territory Archives
120.088.002 ■■■■■■■■■■■■■■■■■■■■	Final versions of reports tabled at claims review meetings. Includes reports relating to insurance claims.	Retain as Territory Archives

Research

The activities involved in investigating or enquiring into a subject or area of interest in order to discover facts, principles, etc. Used to support development of projects, standards, guidelines, etc. and business activities in general. Includes following up enquiries relating to programs, projects, working papers, literature searches, etc.

[For reporting on research, including statistical information, use *GOVERNMENT INSURANCE SERVICES – Reporting*.]

Entry No.	Description of Records	Disposal Action
120.091.001 ■■■■■■■■■■■■■■■■■■■■	Detailed research carried out to support the government insurance services function.	Retain as Territory Archives

SCHEDULE OF AMENDMENTS – this information is provided for the assistance of users but does not form part of the Notifiable Instrument.

Amendments to the Government Insurance Services Records Disposal Schedule **Dated September 2009**

The scope notes of the activities listed below, in all instances that they appear within this revision of the Government Insurance Services Records Disposal Schedule, have been amended to reflect modifications made to the *Territory Version of Keyword AAA (TVKAAA)* thesaurus as part of the 2009 *Territory Administrative Records Disposal Schedules (TARDiS)* review:

- Addresses (presentations)
- Agreements
- Arrangements
- Claims
- Committees
- Compliance
- Enquiries
- Liaison
- Meetings
- Policy
- Reporting
- Research
- Submissions
- Training

Function (Amendments)

The GOVERNMENT INSURANCE SERVICES function separated from NI2006-138 - Records Disposal Schedule - Treasury Management Records.

The GOVERNMENT INSURANCE SERVICES function scope note amended and expanded.

Classification and sentencing guidelines added to GOVERNMENT INSURANCE SERVICES scope note.

All entry numbers have been changed to reflect the current standard numbering system.

New Features (Amendments and Insertions)

Activity	Entry no.	Description
Addresses (presentations)		<ul style="list-style-type: none"> • Classification and sentencing guideline added • Class numbers rearranged
Addresses (presentations)	120.004.001	<ul style="list-style-type: none"> • New class
Addresses (presentations)	120.004.002	<ul style="list-style-type: none"> • Disposal action amended
Advice		<ul style="list-style-type: none"> • Classification and sentencing guideline added • Class numbers rearranged
Advice	120.005.001	<ul style="list-style-type: none"> • New class
Advice	120.005.002	<ul style="list-style-type: none"> • Class description amended
Advice	120.005.003	<ul style="list-style-type: none"> • New class

New Features (Amendments and Insertions)

Activity	Entry no.	Description
Agreements		<ul style="list-style-type: none"> • Classification and sentencing guideline added • Class numbers rearranged
Agreements	120.006.001	<ul style="list-style-type: none"> • New class
Agreements	120.006.002	<ul style="list-style-type: none"> • Class description amended
Claims		<ul style="list-style-type: none"> • Classification and sentencing guideline added • Class numbers rearranged
Claims	120.019.001 to 120.019.003	<ul style="list-style-type: none"> • New classes
Claims	120.019.004	<ul style="list-style-type: none"> • Class amended
Committees		<ul style="list-style-type: none"> • Classification and sentencing guidelines added
Committees	120.020.001 to 120.020.003	<ul style="list-style-type: none"> • Class descriptions amended
Compliance		<ul style="list-style-type: none"> • New activity and class
Contracting out	120.025.001	<ul style="list-style-type: none"> • Class description amended
Distribution		<ul style="list-style-type: none"> • New activity and class
Insurance		<ul style="list-style-type: none"> • New activity
Insurance	120.059.001	<ul style="list-style-type: none"> • Class from former activity of Insurance Policies
Insurance	120.059.002	<ul style="list-style-type: none"> • Class from former activity of Insurance Policies • Class description amended
Insurance	120.059.003 to 120.059.005	<ul style="list-style-type: none"> • New classes
Liaison	120.067.001	<ul style="list-style-type: none"> • Classification and sentencing guideline added
Meetings		<ul style="list-style-type: none"> • Classes renumbered
Meetings	120.072.001	<ul style="list-style-type: none"> • Class description amended • Disposal action amended
Meetings	120.072.002	<ul style="list-style-type: none"> • Class description amended • Classification and sentencing guideline added
Meetings	120.072.003	<ul style="list-style-type: none"> • Class description amended
Planning		<ul style="list-style-type: none"> • Classes renumbered
Planning	120.079.001	<ul style="list-style-type: none"> • New class
Planning	120.079.002	<ul style="list-style-type: none"> • Class description amended
Policy		<ul style="list-style-type: none"> • Classes renumbered
Policy	120.080.001	<ul style="list-style-type: none"> • New classes

New Features (Amendments and Insertions)

Activity	Entry no.	Description
Policy	120.080.002	<ul style="list-style-type: none"> • Class description amended
Procedures	120.082.001	<ul style="list-style-type: none"> • Disposal action amended
Procedures	120.082.002	<ul style="list-style-type: none"> • Class description amended
Reporting		<ul style="list-style-type: none"> • Classification and sentencing guidelines added • Classes renumbered
Reporting	120.088.001 120.088.002	<ul style="list-style-type: none"> • New classes
Reporting	120.088.003 120.088.004	<ul style="list-style-type: none"> • Class descriptions amended
Representatives		<ul style="list-style-type: none"> • New activity and class
Research		<ul style="list-style-type: none"> • Classification and sentencing guideline added
Research	120.091.001 120.091.002	<ul style="list-style-type: none"> • Class descriptions amended
Reviewing		<ul style="list-style-type: none"> • New activity and classes
Risk Management		<ul style="list-style-type: none"> • Classification and sentencing guidelines added • Classes renumbered
Risk Management	120.095.001	<ul style="list-style-type: none"> • Disposal action amended
Risk Management	120.095.002	<ul style="list-style-type: none"> • Class description amended
Standards		<ul style="list-style-type: none"> • New activity and classes
Submissions		<ul style="list-style-type: none"> • New activity and classes
Tendering		<ul style="list-style-type: none"> • Classes renumbered
Training		<ul style="list-style-type: none"> • New activity and classes

Deletions

Activity	Entry no.	Description
Actuarial Services		<ul style="list-style-type: none"> • Activity and classes removed
Agreements	3.4.2	<ul style="list-style-type: none"> • Class removed
Insurance Policies		<ul style="list-style-type: none"> • Activity removed • Classes incorporated into activity of Insurance
Policy	3.13.2	<ul style="list-style-type: none"> • Class removed
Reinsurance Policies		<ul style="list-style-type: none"> • Activity and classes removed
Training Services		<ul style="list-style-type: none"> • Activity and class removed
Underwriting	All	<ul style="list-style-type: none"> • Activity and classes removed